



## 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.**

Rec'd 19 January 2011

### 1. TITLE: Samoa City Development Strategy Programme

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

Name and Title: Mr. Jude Kohlhase, ACEO  
Organisation: Planning and Urban Management Agency (PUMA), Ministry of Natural Resources, Environment and Meteorology  
Address: Mail Box, Apia, Samoa  
Telephone/Fax/E-mail: Ph (685) 23092. Email: [jude.kohlhase@mnre.gov.ws](mailto:jude.kohlhase@mnre.gov.ws)

#### 3. CITIES ALLIANCE MEMBER(S) SPONSORING THE APPLICATION:

Name and Title: Mr. TOSHI NODA, Director, Regional Office for Asia and the Pacific (ROAP)  
Organisation: United Nations Human Settlements Programme (UN-HABITAT)  
Address: ACROS 8F, 1-1-11 Tenjin, Chuo-ku, Fukuoka, Japan  
Telephone/Fax/E-mail: (+81-92) 724-7121 / (+81-92) 724-7124 / [toshi.noda@fukuoka.unhabitat.org](mailto:toshi.noda@fukuoka.unhabitat.org)  
Contact Person/Title: Mr Chris Radford  
Telephone/Fax/E-mail: Tel (8192) 724-7121; Fax: (8192) 724-7124 Email: [chris.radford@fukuoka.unhabitat.org](mailto:chris.radford@fukuoka.unhabitat.org)

Name and Title: Steve Blaik, Water and Sanitation Specialist Organisation: Asian Development Bank  
Address: 6 ADB Avenue, Manila, Philippines  
Telephone/Fax/E-mail: (+632) 6326127. Fax: (+632) 6362442 [sblaik@adb.org](mailto:sblaik@adb.org)

Name and Title: Ms. Georgina Bonin  
Organisation: United Nations Development Programme – Apia  
Address: Private Mail Bag, Matautu-uta, Apia, Samoa  
Telephone/Fax/E-mail: (685) 23670; (685) 23555; [georgina.bonin@undp.org](mailto:georgina.bonin@undp.org)

Name and Title: Mr Marius-Adrian Oancea (under final discussion, as just joined)  
Organisation: EC Delegation to the Pacific  
Address: NDF, 410 Victoria Parade, Suva, Fiji  
Telephone/Fax/E-mail: (679) 331 3633 Fax: (679) 3300370 Email: [Marius-Adrian.OANCEA@ec.europa.eu](mailto:Marius-Adrian.OANCEA@ec.europa.eu)

Name and Title: Rob Jauncey, Senior Country Officer for the Pacific  
Organisation: World Bank (Timor-Leste, PNG and the Pacific Islands Office)  
Address: Level 19, 14 Martin Place, Sydney, NSW 2000, Australia  
Telephone/Fax/E-mail: +61-2-9235-6522; [rjauncey@worldbank.org](mailto:rjauncey@worldbank.org)

#### 4. RECIPIENT ORGANISATION: – organisation that will receive and execute the grant:

Name & Title: ~~\_\_\_\_\_~~ ~~Tupaimatuna Iulai Lavea, CEO~~  
Organisation: ~~\_\_\_\_\_~~ ~~Ministry of Finance~~  
Address: ~~\_\_\_\_\_~~ ~~Private Bag, Apia, Samoa~~  
Contact Person/Title: ~~\_\_\_\_\_~~ ~~Mr. Leiataua Henry Ah Ching, ACEO (Economic Policy and Planning Division)~~  
Telephone/Fax/E-mail: ~~\_\_\_\_\_~~ ~~(685) 34324; (685) 21312; [henry.ahching@mof.gov.ws](mailto:henry.ahching@mof.gov.ws)~~

<sup>1</sup> While there is no provision in the Constitution for a system of elected local government, the Village Fono Act, 1990 validates the authority of village *fono* to have authority "in accordance with Samoan custom and tradition". The Internal Affairs Act 1995 establishes the [Ministry] Division of Internal Affairs, whose purpose among other things is to make provisions to recognize and organize village authority, and to advance local government through the development of village authority (s5(1)). "Local Government" is defined as including the Government of Samoa and administration of a village by its Fono. It advocates a partnership in governance. Note there is no formal system of local government in Samoa and thus there is no institution such as Apia City Council or local government per se, but rather a series of 'village' councils but only in areas where traditional villages exist.

Name and Title: Mr Chris Radford, Senior Human Settlements Officer, Regional Office for Asia/Pacific  
 Organisation: United Nations Human Settlements Programme (UN-HABITAT)  
 Address: ACROS 8F, 1-1-11 Tenjin, Chuo-ku, Fukuoka, Japan  
 Telephone/Fax/E-mail: (+81-92) 724-7121 / (+81-92) 724-7124 chris.radford@fukuoka.unhabitat.org

## 5. OTHER IMPLEMENTING PARTIES (if any):

### INFORMATION ON PROPOSED PROJECT:

6. Type of project (*check one*):  
 City Development Strategy  Slum Upgrading  Both
7. Geographic scope of project (*specify*):  
 Cities: Apia, Vaitele,  
 Country: Samoa
8. Expected duration: 2 years

### BUDGET SUMMARY:

9. Amount of total budget requested from Cities Alliance funding: US Dollars **237,000**  
 10. Co-financing amount of total budget, including local partners: US Dollars 452,500  
 11. Total project budget cost: US Dollars **689,500**

### DESCRIPTION OF PROPOSED PROJECT:

#### 12. Background – issues to be addressed and scope of project

Samoa has a national population of 195,234 persons (2006) of which 40% is urban with the bulk living in the capital Apia and the adjoining northwest slopes of Upolu island<sup>2</sup>. While the Government has been proactive in addressing urban issues by establishing the Planning and Urban Management Agency (PUMA) in 2003 under the Ministry of Natural Resources and Environment, along with supporting legislative and institutional reforms, many urban infrastructure issues remain outstanding in Apia and elsewhere as PUMA gains gradual acceptance especially urban sanitation (septic tank), drainage and flooding issues in the low lying traditional villages of Apia, that will further deteriorate as climate change impacts increasingly take effect. Whilst some of these urban growth issues have in part been addressed by the ADB and World Bank, national service providers are still struggling to keep up with demands, with recent reports (ADB, 2008) suggesting that the economic, health and environmental impacts of flooding and wastewater to the Apia community concentrated in the low lying floodplain areas are now more severe than they were 5 years ago, due in part to increased economic activity and population growth and an absence of guidelines, policy framework and a coordinated approach.

With a growing population in urban and peri-urban areas often quite far away from trunk services and employment opportunities, new villages on freehold lands or villages where there is a mixture of both freehold and customary lands, are increasingly challenging traditional chiefly governance systems. Strong anecdotal evidence suggests that under these circumstances, unemployment is high, particularly amongst the youth, crime is escalating, and there is limited access to land for sport, traditional subsistence farming etc. In non traditional villages, there is no formal system of governance and social control. It is also evident that the rapidly increasing population in these areas is exerting pressure on all aspects of urban infrastructure, land use and development, including the provision of social services. The village of Vaitele in North West Apia has seen an increase in population of 323% in ten years. With an estimated residential population of 7,000, the village is representative of the growing number of non-traditional village areas around Apia, dominated by freehold land (approximately 5% nationally) without traditional village council governance. This is a unique situation in Samoa and presents significant challenges for Government in terms of not only social and community development but the provision of orderly services where demand is greatest. It is increasingly clear that in many of Apia's more densely populated villages there is an overriding need to manage urban growth demands so as to ensure that basic serviced land and housing standards are maintained, and that responses to enforcing compliance within existing laws and regulations are improved. In addition to improved urban services, this also suggests the urgent need to review the need for improved forms of urban governance.

Whilst extreme poverty does not exist in Samoa, a "poverty of opportunity" affects many communities. The 2002 Household Income and Expenditure Survey indicated that 70% of GDP is generated in and around the capital city

<sup>2</sup> The Apia urban area grew to 38,836 people in 2001. Adding two administrative districts to east and west of the core Apia urban area gives a population of 60,872 or 35 per cent of the 2001 national population. If all of the north west of the main island of Upolu is taken into account, then this population, including Apia, increases to 52 per cent (2001) of the total population of Samoa (Sagapolutele et al, 2003).

Apia, approximately 20% of Samoans are estimated to be living below the national Basic Needs Poverty Line, and 9% below the Food Poverty Line. Many are experiencing financial hardship on a daily or weekly basis; with youth, the elderly, the disabled and women being recognised as the most disadvantaged. (ADB, 2004). As a result, Samoa has been designated as a LDC, constrained by its size, isolation from foreign markets, narrow economic base, proneness to natural disasters, and human capacity constraints in specialist areas. Furthermore, with more than 80% of the country's economic activity and population concentrated in coastal areas (including its capital Apia), it is extremely vulnerable to natural hazards (as demonstrated by last year's tsunami along the south, east and southwest coast of Upolu Island) and the adverse impacts of climate change on often fragile ecosystems. Detailed mapping has shown that 80% of the 573-kilometre coastline is sensitive to erosion, flooding and landslides. Natural disasters, especially cyclones, have devastated the country in the past 10 years. Environmental degradation and measures for reversal continue to be important issues for the country.

Given Samoa's vulnerability to external factors and natural disasters, it is committed to put in place prudent and responsible measures that would provide stimulus for sustained economic performance. Samoa is experiencing the effects of climate change associated with higher temperatures, rising sea levels, declining marine resources, and losses of flora and fauna. National environmental policies and plans are in place (as is a national climate change policy), and initiatives to address priority environmental issues must be supported. Cities such as Apia continue to be the main emitters of green house gases. PUMA is an active implementer in addressing priority area 3 (flood management) identified by the National Adaptation Programme of Action (NAPA) and anticipates that vulnerability assessment of "hot spots" in the Greater Apia area proposed in this document would contribute to priority area 4 (flood management) of the NAPA. The protection of coastal zones helps to safeguard the livelihoods of those households who depend on the natural resources as a main source of income and improve community resilience to natural hazards.

The Government of Samoa continues on its goal of providing good infrastructure and services for all people. Customary and traditional rights, particularly regarding land tenure persists as a major constraint to development;. PUMA has a key role to perform in national efforts to determine ways by which customary owned land, could be accessed for development purposes while at the same time ensuring that ownership is not compromised. This includes coordination with relevant authorities such as the Ministry of Women, Community and Social Development who is the main avenue into the community. In approaching communities a more inclusive approach is used in order to gauge all members of the community including women.

The absence of a formal local government to manage the day-to-day demands of communities places much urban planning and management responsibility on central Government, that is, PUMA, which requires a significant increase in human and financial resources to effectively implement its mandate. In addition, there is little awareness and understanding by communities of standard urban planning requirements, which adds further to the challenges of effectively managing urban growth. As a result, PUMA requested urgent budgetary support to implement its 2008-2011 Capability Plan to rectify (i) the limited technical, administrative, policy development and decision making skills, as well as (ii) to strengthen legal support for its procedures, compliance and enforcement. Such systems must be proactive rather than reactive so as to better manage urban development. PUMA therefore see this Cities Alliance proposal as an opportunity to introduce innovative cutting edge proactive approaches like the CDS to address current urban management concerns.

### **13. Objectives and Scope of the Proposal**

The overall objective of the project is to prepare an integrated sustainable management plan (as defined under the PUM Act) for the greater Apia area (including the main growth village of Vaitele) through a "climate proofed" City Development Strategy (CDS) approach for Vaitele and Apia. In recognition of the effectiveness of working with community leaders and community members, and given the challenging "governance issues" being faced in non-traditional urban villages, this proposal represents an additional opportunity for inclusive development of the truly vulnerable (with particular regard for women) as genuinely engaged participants in the decision making process.

The sustainable management plans will define the strategic development thrusts and options for socio-economic and infrastructural development city-wide, including priority settlements for future upgrading support. Concurrently, this process will strengthen Samoa's urban management institutional framework so it can better create more inclusive, participative, productive, liveable and sustainable towns. It is expected that by taking such action the outputs will collectively make a positive contribution to the social, economic and environmental quality of life of urban dwellers; and, at a broader level, contribute to Samoa's achievement of the MDGs through 5 support components.

The scope of the proposal includes the following components;

**Component 1 – Assessment, Analysis and Strategy:** Combined Vaitele community assessment and Ministry of Women, Community and Social Development Village Profiling exercise utilising rapid urban profiling methodology to consolidate the current situation, development opportunities and drivers, including assessment of priority infrastructural investments and settlement areas for upgrading (with explicit considerations of governance, services, types of settlements by land tenure, climate/environment vulnerabilities, and hardships/gender dimensions). Use the CDS approach to prepare a Vision for the development/management of urban areas, reflecting their comparative advantages (through SWOT analysis), and develop an integrated Strategy for their longer-term development including a strategy for addressing hardship(s) and climate change.

**Component 2 – Supporting Infrastructure Investment Programme for Priority Projects:** In preparation for pre-feasibility studies and design, identify priorities and potential funding sources for infrastructure development and settlement upgrading to meet the long-term development objectives of Apia (which includes an urban area with improved economic, social and environmental sustainability whilst respecting and maintaining traditional practices) amid growing pressures of adapting to impacts of climate change and changing land use patterns..

**Component 3 – Institutional Strengthening:** Assess city/national institutional strengthening needs, including those identified in PUMA's Capacity Building Plan, 2008-2011 and contributing to needs assessment for the next training cycle. Design and implement an institutional strengthening strategy with key local stakeholders including community leaders, private sector, NGOs and CBOs through a "learning by doing approach" and support from national and local training institutions (where applicable).

**Component 4 – Policy Learning and Knowledge Sharing:** Disseminate the City Profile, CDS vision, and Infrastructure Investment Programme widely to initiate a dialogue for policy reform at the national level on CDS and its relevance to planning and development. Support Knowledge Sharing mechanisms on how city and regional strategic planning can be coordinated to achieve more effective development outcomes. Document the implemented process, analyse and build the lessons learned into city and especially national urban management policy and NSDP process. Disseminate the processes, methodologies and techniques to other cities/growth centres and regions for potential replication. Disseminate documented thematic good practices to further stimulate the policy dialogue.

**Component 5 – Monitoring and Evaluation (M&E):** Establish and implement a framework for Monitoring and Evaluation of process of implementing the CDS, its achievements and the eventual outcomes.

#### **14. Methodology and Sequencing of Activities**

Following a Preparatory Phase, the CDS will be conducted in three sequential phases (Components 1-3). The other Components will run as cross-cutting themes including gender, disaster mitigation and governance throughout the CDS preparations.

##### **Preparatory Phase – Project Start Up, Establishing the Implementation Structures:**

- 1) Complete arrangements for refresher orientation/awareness building for the Planning and Urban Management Board), and Project Steering Committee members, to ensure clarity of objectives and expectations of support for Vaitele project, other parallel programmes and citywide replication.
- 2) Consolidate Vaitele and Village Profiling work to update the overall Work Plan and reaffirm the process steps, communication mechanisms, participation, roles and responsibilities to achieve consensus on way forward.
- 3) Develop and agree the M&E Framework.
- 4) Record approaches from community leaders "community action plans"

##### **Component 1: Assessment, Analysis and City Strategy**

- 1) Review all existing relevant plans and regulations for Samoa and the greater Apia area which would include growth village Vaitele, and hold Focus Group Discussions to identify priority thematic areas through stakeholder discussions.
- 2) For Apia, undertake urban profiling using indicators from original research on current situation with particular regard for socio-economic trends, infrastructure and environmental service delivery, land management and governance structures.
- 3) Conduct a strategic environment and urban risk assessment drawing on climate change vulnerability and adaptation assessments and disaster risk reduction programmes with PUMA and MNRE.
- 4) Conduct city/community consultations with key stakeholders, drawing from the priority thematic areas (shelter, infrastructure/services, environment/land/climate change, governance) to identify Vision and Objectives for overall development of greater Apia including Vaitele.
- 5) Identify Intervention Strategies with inputs from national and community leaders, staff and related key stakeholders, in line with CDS Vision and Objectives; particularly Climate Change related adaptation and mitigation strategies as well as Shelter strategies including a focus on adequate infrastructure provision. Targeted areas could include combined geographical areas where issues are cross-boundary and where agreements can be made.
- 6) Conduct SWOT analysis with stakeholders to verify situation analysis and identify areas of comparative advantage and priority capacity needs.
- 7) Prioritise Strategies and key intervention areas for follow-up detailed action planning

##### **Component 2: Supporting Infrastructure Investment Programme for Priority Projects:**

- 1) Building on project briefs developed from Apia and Vaitele and national profiles - support Urban Investment Dialogues between the communities, government and international donors to list possible projects/investments in line with priority strategies.
- 2) Identify options/costings for climate proofing infrastructure and 'green infrastructure'
- 3) Highlight social, economic, financial and environmental issues that require in-depth review during feasibility work
- 4) Identify finance available for implementing proposed projects

- 5) Prioritise projects/actions/investments linked to available resources – building on the Vaitele local area investment project foundations
- 6) Develop a plan for generating investment finance to meet investment priorities
- 7) Approve Implementation Plans and assign responsibilities for implementation

**Component 3 – Institutional Strengthening:**

- (1) Support the Urban Environmental Planner and Legal Specialist for effective engagement with community and key stakeholders to develop priority responses that actively improve living conditions and promote economic development and build resilient communities.
- (2) Focus Dialogue led by legal specialist to analyse the existing arrangements involved in negotiating land use agreements with investors, developers and governments with particular regard for women and vulnerable groups.
- (3) Desktop review to assess capacities of local and national institutions in upgrading (including financial management systems); assess capacities of local and national training and academic institutions in providing technical support and undertaking implementation and linking technical work with community participatory processes.
- (4) Assess local CBOs and NGOs as potential supporting implementing agencies – work with them and build their capacities
- (5) Develop a capacity action plan (through stakeholder participatory process with national and local key actors) focusing on improved services to identified communities upgrading skills at the local and national level.
- (6) Implement the action plan through local partners

**Parallel Activities:**

**Component 4: Policy Learning and Knowledge Sharing:**

- 1) Synthesise the Greater Apia and Vaitele City Profiles into a National Profile with clear urban indicators that allow use as an urban policy advocacy tool.
- 2) Document the implementation of CDS components and activities.
- 3) Prepare Policy Proposition Papers on CDS and its relevance to improving socio-economic planning, urban and regional planning and investment planning in Samoa, in line with Cities Alliance role as a “Learning Alliance”.
- 4) Organise a structured Policy Learning Dialogue with MNRE and other relevant Ministries, on the significance of the CDS experience, for socio-economic planning with built in environmental/disaster mitigation considerations for Samoa, as well as the concept of improving under serviced villages.
- 5) Prepare a Knowledge Sharing Plan with Pacific Cities and the Pacific Capital Cities Forum.
- 6) Make CDS process and servicing of underserved villages documentation available for its relevant use by other stakeholders,
- 7) Involve appropriate partners/orgs/communities in training and workshops to facilitate up-skilling in the techniques and approaches involved in preparing CDS.

**Component 5: Monitoring and Evaluation (M&E):**

- 1) Develop, establish and agree with relevant Authorities and community groups an M&E Framework and Plan for CDS Process, during “Phase 1: Preparatory Phase”.
- 2) Monitor each component of CDS vis-a-vis the M&E Framework.
- 3) M&E Framework in place to enable regular review of outcomes against the overall city and regional strategy.

Components 1-3 will be undertaken consecutively providing for a clear vision and strategy for village and city-wide infrastructure investment needs with identification of follow-up investment opportunities. The integration of climate change considerations in environmental management and planning processes will be a key cross-cutting component; as would gender concerns where efforts will be made to strengthen gender disaggregated data and gender responsive stakeholder involvement. Given Samoa’s unique system of ‘local government’, attention to participatory governance will also be central to each of the components.

Throughout the development of a strategy for servicing the ‘more disadvantaged’ urban villages, proposals will be developed keeping in mind the need to strengthen clear and transparent responsibilities; with the aim to foster networks and cooperation between management agencies advocating for proactive integrated management; the promotion of a multi-agency approach; and building better practice with community leaders networks.

**15. Deliverables**

The methodology will produce the following deliverables:

i) **Component 1 – Assessment, Analysis and Strategy:**

- a) ***Situation Assessment – Urban Profiling:*** A situation assessment of Apia and other identified urban centres based on extensive reviews of existing plans and original research.
- b) ***Vulnerability Assessment:*** A specific assessment of social and environmental vulnerabilities (especially to climate change) in Apia, identified urban centres and neighbouring villages identifying options for poverty alleviation in the regional context.
- c) ***SWOT Analysis:*** An analysis of the Strengths-Weaknesses-Opportunities-Threats (SWOT) for the development strategy undertaken through consultation with stakeholders.
- d) ***Vision and Prioritised Strategies:*** A CDS prepared for Apia and Vaitele, through structured consultation with stakeholders containing a Vision, overall direction and specific strategies, for sustainable long-term development.



ii) **Component 2 – Supporting Infrastructure Investment Programme for Priority Projects:**

- a) **Investment Plan:** Building on the local area investment programme (physical works, institutional and legislative adjustments, infrastructure upgrading, and installation of basic social services) that will improve living conditions and promote economic development and build resilient communities. Priorities developed with inclusive consultations of the Project Steering Committee, community leaders and community members. The investment plan would contain approximate costing, and identify sources of potential funding with actions to mobilise investment funds.

(iii) **Component 3 – Institutional Strengthening:**

- a) The assessment of city and national needs with in-country (priority) training of trainers anchored in identified body such as PUMA.  
 b) Assessment of land use arrangements and identify options for protecting vulnerable groups and environmental sensitive locations.  
 c) Detailed capacity action plan for identified settlement upgrading at the local and national levels.  
 d) Road map for the development of institutional capacity.

vi) **Component 4 – Policy Learning and Knowledge Sharing:**

**Policy Learning:** To support Cities Alliance role as a “Learning Alliance”, for improving socio-economic planning, urban and regional planning and investment planning in Samoa, CDS will deliver:

- a) Documentation of the implementation of CDS components and activities.  
 b) Policy Proposition Papers on CDS and its relevance to improving socio-economic planning, urban and regional planning, climate change and investment planning in Samoa.  
 c) Reports on the Structured Policy Learning Dialogue with PUMA, relevant Ministries, on the significance of the CDS experience, including socio-economic planning, urban and regional planning and investment planning in Samoa.

**Knowledge Sharing:** For use by other centres/districts in Samoa and for dissemination by the National Ministries, the CDS will deliver:

- a) Documentation on and sharing of expertise in how to conduct CDS and strategies for under serviced villages in Samoa with a regional context, working with stakeholders such as UNDP,  
 b) Reports on appropriate methodologies for consultative prioritisation of investment projects which can be applied effectively in a Samoa context.  
 c) Knowledge Sharing Plan developed  
 d) Piloting of procedures while developing linked plans for socio-economic development, urban planning, environment and Climate Change.

(v) **Component 5 – Monitoring and Evaluation (M&E):**

- a) An M&E Framework developed by PUMA and relevant authorities/stakeholders.  
 b) Reports on the Monitoring and Evaluation of the preparation process.

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

The immediate outcome of the CDS will be targeted and prioritized investment for the identified urban centres from governments, the private sector, donor/aid agencies and financial institutions, which will contribute to and drive urban growth meeting the needs of the most vulnerable. The immediate outcome of the strategies for underserved villages will be a suite of target local investments to undertake, where possible with the villages themselves so as to encourage ownership and learn by doing (such as local drainage works and environmental mitigation). The investment strategy and priorities will be directed toward those areas which will achieve the most significant impact for city and economic development.

- **In the short term**, investment will address some of the most immediate environmental challenges arising from lack of adequate physical infrastructure in villages fringing the CBD and at the lower end of the valley catchments and should result in improvements in water quality, community drainage and sanitation. The CDS will also build the capacity of authorities to undertake improved strategic planning and to support a higher flow of investment to targeted areas and better incorporate the socio-economic dimensions of the coastal infrastructure management plans.
- **In the longer term**, implementation of the CDS is expected to see an increase in balanced economic activity to ensure that the benefits are not limited to the Apia central area but flow also into neighbouring districts. It will also help balance increasing socio-economic growth with planning strategically for environmental impacts and solutions; and assist with the fuller application of the Planning and Urban Management Act 2004.

The methodology to be applied will ensure that an appropriate M&E Framework with identified indicators is developed early in the process of undertaking the CDS, so that it can be used to evaluate and inform both the CDS process and the outcomes of CDS implementation, which is part of capacity building. The detailed M&E Plan will therefore be developed by the Project Steering Committee with grant and TA support around the architecture indicated in the Matrix below.

Objective	Deliverables	Outcomes	Indicators
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<b>Component 1A:</b> Conduct a comprehensive analysis of the current urban situation and development opportunities and drivers for Apia and its adjacent districts (with explicit consideration of governance, climate/environment vulnerabilities and hardships dimensions).	Situation Assessment Profiling  Vulnerability Assessment  Identified priority areas for intervention  SWOT Analysis	Comprehensive understanding of economic and social situation and of comparative advantages	-- Economic situation assessed -- Hardship levels assessed and mapped -- Environmental situation and Climate Change Vulnerability assessed, through support from UN-Habitat's Cities and Climate Change Initiative. -- Comparative advantages identified
<b>Component 1B (Strategy):</b> Prepare a Vision for the development of Apia, Vaitele, and their immediate peri urban districts, reflecting their comparative advantages, and an integrated Strategy for the longer-term development maximizing their regional impact.	Vision and Prioritised Strategies	Consensus on future development orientation for the city/Villages  Clear strategies for achieving the Vision	-- Attendance at workshops and meetings held to establish Vision and strategies -- List of Strategies which link clearly to Vision and address key development challenges identified in assessment/ analysis -- Priorities reflected in the CDS
<b>Component 2:</b> Identify priorities and potential funding sources for infrastructure development to meet the long-term development objectives of the urban centres..	Investment Plan	Investment priorities and packages defined  Financial resources are identified, including potential for private sector involvement	-- Prioritised list proposed investment projects completed  -- Prioritised list includes strategies for mobilising and securing finance
<b>Component 3:</b> Institutional strengthening	ToT of relevant local institutions  Capacity Action Plans	Needs Assessment embedded within PSC and selected (anchor) training institute.	Enhanced regional, national and local dialogue and exchange of experiences in sustainable settlement upgrading policy development.
<b>Component 4:</b> (i) Support a structured policy learning dialogue for policy reform at the national-level on CDS and its relevance to planning and development; and (ii) Support Knowledge Sharing mechanisms to provide an illustration in the Samoan context of how city and regional strategic planning can be coordinated to achieve more effective development outcomes and make the processes, methodologies and techniques available for other cities and regions for potential replication.	See Section 15	-- Clear documentation of CDS preparation process -- Improved policy discussion and dialogue on the integration of CDS into the planning and development apparatus of Samoa -- Better understanding and capability of other cities and Provinces in integrated, strategic planning and approach and methodologies -- Better response mechanisms to Climate Change available for replication by other cities/communities.	-- Organisation of a series of policy dialogue on CDS at the national-level  -- Dissemination and training programme developed with PUMA -- Attendance by PUMA and its members in workshops and training during CDS process (local and overseas)
<b>Component 5:</b> Establish and implement a framework for Monitoring and Evaluation (M&E) of the process of implementing, the achievements and the eventual outcomes.	M&E Framework	-- M&E framework in place for long-term assessment and review of outcomes and impacts	-- M&E Framework developed -- Element of framework being actively applied and integrated with routine M&E conducted by the relevant authorities.

### 17. Sources of investment to implement the CDS

The Government of Samoa has received significant assistance for infrastructure and private sector development in recent years, particularly from ADB, the EU and the World Bank:.

The ADB is supporting Phase II to its Sanitation and Drainage project in response to its Country Partnership Strategy 2008-2012, and continued contribution towards the improved delivery of water supply, sanitation and drainage services in Samoa, particularly in the Greater Apia area. Whilst the EU supported Water Sector Support Programme (WaSSP) developed water and sanitation strategies and proposed actions, these remain to be prioritised (to be supported by this proposal), with implementation support through EU budgetary support to GoS over the next 3 years. In 2007 (June) the World Bank approved an additional US\$8.27 million to fund ongoing transport and coastal infrastructure in Samoa, with some funds to provide gap financing for road and bridge works in Apia and other areas that are part of the ongoing Second Infrastructure Asset Management Program (SIAM). The Bank will continue its assistance in helping the government to manage the risks of Samoa's vulnerability to natural hazards

All three investments are very sectoral however, with broad agreement amongst stakeholders that a National "Sanitation Master Plan"; an Apia "Drainage Master Plan" and a Sustainable Management Plan for the Greater Apia need to be developed that build on these sustainable and positive health and economic outcomes; which will be provided through this CDS for Apia and its environs

While some infrastructure is in place, advocating for the governance and management issues shall be supported by this CDS proposal through the situation assessment and analysis, preparatory work for pre-feasibility studies, capacity action plans, and through this proposal's dedicated knowledge sharing to improve awareness and understanding of stakeholders as to the benefits for better managing centres of economic growth. A CDS will contribute to the identification of key strategic interventions in which to maintain existing and improved infrastructure with increased contribution from the community level.

## 18. Partnerships

**Local Level:** In the absence of any formal western governance structures, PUMA will work closely with the appointed heads of families, communities, districts as well as Members of parliament in order to access the communities. Church networks, and where, applicable, NGOs which shall have representation in consultations shall also be considered as partners at the local level to ensure community mobilization.

**National Level:** The key local partners for the proposal are the Ministry of Women, Community and Social Development (in particular the Youth and Internal Divisions), the Ministry of Works, Transport and Infrastructure, the Land Transport Authority, Samoa Water Authority, Samoa Land Corporation which are in Vaitele Project Executive Group. Other divisions within the Ministry of Natural Resources and Environment such as Land Management, Water Resources, Environment and Conservation will provide technical inputs and contribute to this grant's implementation.

**International Level.** The main international partners which have been engaged during preparation (and will remain engaged during implementation) of this CDS/Cities without Slums proposal are: UN-HABITAT, UNDP and ADB (Manila and Suva, Fiji), EU and World Bank (Sydney). Collaboration and support from the Pacific Islands Planners Association (PIPA), the Commonwealth Local Government Forum (CLGF) Pacific Project has been obtained as well as potential access to the Pacific Infrastructure Advisory Centre and similar regional technical centres.

**ADB** has undertaken major drainage and sanitation improvements to the Apia CBD and surrounding low lying city center areas. There is broad agreement amongst stakeholders for the development of a Sanitation master plan for the Greater Apia area. (The total cost of the project preparation/development is estimated at \$1,200,000 equivalent. It is proposed that the ADB will provide \$600,000 equivalent and the Government of Australia, through the Pacific Region Infrastructure Facility, provide \$500,000 on a grant basis towards the costs of the PPTA. The Government will finance the remaining \$100,000 equivalent in-kind.).

**UN-Habitat:** Will support the Project Team with Cities and Climate Change training, especially in conducting Green House Gas/Vulnerability and Adaptation Assessments at the City and Community-levels, which will be further complemented with specialised inputs in partnership with UNEP through their Ecosystem based Adaptation tools and methodology under a new project about to be signed in Nairobi

**World Bank:** The above UN-Habitat Cities and Climate Change support, along with this proposal will also complement the work of the World Bank's Coastal Infrastructure Management Plans which has focused on improving infrastructure such as roads, seawalls and the like in the Apia urban area as well as rural coastal areas. The profiling of the greater Apia area under the Cities Alliance proposal would provide the data and analysis for the masterplan for Apia augmenting the synergy of efforts of partners and assisting government agencies in the identification of and prioritisation of service/infrastructure needs in communities.

**UNDP's** governance program has initiated a pilot to develop the sustainable management plan provisions for targeted peri-urban areas such as Vaitele as well as with its Community Centered Sustainable Development Programme. In consultation with UN-HABITAT, both organisations have made efforts to design respective projects to maximize the complementation of activities and cost-sharing with the proposed sharing of a Project Manager and Project Steering Committee in an integrated effort to provide the Government of Samoa with an improved institutional and technical capability to plan and manage land uses, development and the protection of land.

UNDP has committed a US\$400,000 cash grant over a 4 year period for the Vaitele Urban Governance Pilot Project which aims at developing an approach to urban and environmental planning that assists with the pursuit of economic development, the protection of cultural systems and local ecology and that accords with the benefits of traditional village governance but assists with particular challenges from population increase and vulnerabilities beyond the usual resources of communities.

The **Commonwealth Local Government Forum (CLGF) Pacific Project** supports central government under its 5 key programme objectives and is promoting awareness of strategies for strengthening good local governance and continues roll-out of its Good Practice Schemes (GPS) building capacity and creating a more enabling environment



for social and economic development. Under the Village Governance Strengthening and Capacity Building Strategy (VGSCBS) for Samoa, CLGF is partnering with UNDP's Community Centered Sustainable Development Programme, the Vaitele Project and lending support to this proposal's governance theme for integration with the intended VGSCBS's Village Governance Strategy.

#### 19. Government commitment and approval

The Strategy for the Development of Samoa (SDS) 2008 – 2012 underpins Samoa's macro framework priorities. Under the SDS's priority area 3, namely, "environmental sustainability" there is significant emphasis on supporting the implementation of the Planning and Urban Management Act.

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### IMPLEMENTATION AND FINANCING PLANS:

#### 20. Implementation arrangements

The Project Executive Group of the UNDP supported Vaitele Governance Project will be used as this Project's Steering Committee in order to expand support from Vaitele to Greater Apia with minimum extension and possible strain on existing institutional structures and human resources, charged with the overall direction and monitoring of both projects. Similarly a joint Project Management Unit shall be responsible for the operational implementation of both projects and it is intended, as part of the cost-share with UNDP, to utilize the Vaitele Project Manager to oversee the complementary projects. The Project Manager will provide overall guidance to, and supervise and coordinate the work of team members and other partners/consultants involved in the project as well as liaise with the Project Steering Committee.

#### Project management arrangements

Organisation	Function	Responsibilities
Ministry of Finance	Project funds management	Disbursement and reporting (senior management part-time, junior staff part-time to handle administrative matters)
Project Steering Committee (Comprising senior members of key government agencies)	Advisory	Overall direction, monitoring (GoS senior staff part-time to attend meetings, provide guidance and technical assistance at scheduled meetings)
Project Management Unit (MNRE/PUMA, etc)	Strategic planning/development control implementation and learning-by-doing	Operational, will include the sharing of the Vaitele Project Manager responsible for sharing briefs, reports, information dissemination etc. (GoS staff part-time and supported, as necessary, by local consultants)
PUMA	Implementation	Oversee project implementation and ensure strengthened linkages with and between other urban planning focused programmes and projects. Monitoring and reporting to PSC and partners (Senior staff x 4 part-time)
UN-HABITAT	Technical assistance, training and supervision on behalf of the Cities Alliance	Provision of urban sector profiling training, including preparation of Vulnerability and Adaptation Assessments from its Cities and Climate Change Initiative; sharing of best practices, resource mobilisation for follow-up investments, synergy with partners, provision of technical toolkits e.g. peoples' housing process, coordination with the Pacific Regional Support CA proposal and overall project implementation supervision on behalf of the Cities Alliance.
UNDP-MCO Samoa and Pacific Centre	Specialist governance input	Funding and technical support (Senior staff part time for targeted technical input)

#### 21. Project schedule and delivery targets

Preparation of the CDS and feasibility studies for Apia, Greater Apia and Vaitele will be scheduled over 24 months.

Activities																								
	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 Start-up</b>																								
<b>2 Assessment and Analysis and Strategy</b>																								
2.1 Review existing plans FG discussions /priority themes																								
2.2 City Urban Sector Profiles (FGD and info collection, opportunities and drivers)																								
2.3 City Climate Change Vulnerability Analysis																								
2.4 Vision and Strategic interventions (CDS)																								
2.5 National Urban Sector Profiles (FGD and info collection)																								
2.6 National Climate Change Scoping Study																								
2.7 City Consultations																								
<b>3 Infrastructure Investment pre-Feasibility</b>																								
3.1 Urban Investment Dialogues																								
3.2 Socio-economic, financial and environmental review for full Pre-feasibility study																								
3.3 identify finance options																								
3.4 Prioritise actions																								
3.5 Develop action plan																								
3.6 Implement through local partners																								
<b>4 Institutional Strengthening</b>																								
4.1 Assess Capacities																								
4.2 Develop a Institutional Strengthening Action Plan																								
4.3 Implement the Action Plan																								
<b>5 Policy Learning and Knowledge Sharing</b>																								
5.1 Finalise and synthesise the City Profiles																								
5.2 National Consultation																								
5.3 National Sustainable Development Planning																								
5.4 Document overall Implementation																								
5.5 Policy Learning Dialogues																								

Noting that monitoring and evaluation activities will be determined by the framework established during Phase 1 (the preparatory phase)

**22. Financing plan**

~~It is proposed that the majority of the grant (\$211,000) will be downloaded to the Ministry of Finance, subject to satisfaction of the fiduciary requirements by the Cities Alliance Secretariat. The project will also receive As UN-Habitat will provide technical support to the Samoan partners and from UN-Habitat who will supervise implementation on behalf of the Cities Alliance, it is proposed that for which UN-Habitat will receive the grant of \$26,000., with A all recruitment and procurement will be done in accordance with UN-Habitat rules and regulations, as approved by the Cities Alliance Secretariat~~

**A. CITIES ALIANCE GRANT REQUEST**

Components / Main Activities	Total (US\$)	Type of Expenditure			
		Consulting Services (US\$)	Training/ Capacity Building (US\$)	Dissemination Costs (US\$)	Other (US\$)
<b>PROJECT ACTIVITIES:</b>					
Component 1 Assessment and Analysis and Strategies	35,000	28,000 2wm international and 2wm local consultants	5,000 City/community consultations	2,000	
Component 2 Investment programme	38,000	28,000 2wm international consultant 2wm local consultant	5,000 Urban Investment Dialogues	5,000	
Component 3 – Institutional Strengthening	85,000	60,000 22,000 for international legal specialist 38,000 for local consultants	20,000 Community consultations	5,000 Dissemination of capacity action plans	
Component 4 – Policy learning and knowledge sharing	43,000	18,000 Total of 6wm National consultants	20,000 Dialogues for policy propositions for CDS	5,000	
Component 5 – M&E	10,000	6,000 2 wm national consultant		4,000 reporting	
<i>Sub-Total – Project Activities</i>	<i>211,000</i>	<i>140,000</i>	<i>50,000</i>	<i>21,000</i>	
<b>PROJECT ADMINISTRATION &amp; SUPERVISION:</b>					
Independent Audit (1):					
Supervision Costs (2): a) fees/labour/wages b) travel costs c) office running cost	26,000				
<i>Sub-Total – Project Administration &amp; Supervision</i>	<i>26,000</i>				
<b>TOTAL A (Cities Alliance Grant Request)</b>	<b>237,000</b>				

**B. CO-FINANCING**

Co-financing Partner #1: <b>UN-HABITAT</b>	120,000	90,000	30,000		
Co-financing Partner #2: <b>UNDP</b> – expert time hours (Governance Specialist UNDP Pacific Centre)	200,000	100,000	80,000	20,000	

Co-financing Partner #3: CLGF	32,500	15,000	15,000		2,500
Local partners in-kind	100,000	50,000			50,000
<b>TOTAL B (Co-Financing)</b>	<b>452,500</b>	<b>255,000</b>	<b>125,000</b>	<b>20,000</b>	<b>52,500</b>

**C. TOTAL**

<b>TOTAL PROJECT BUDGET COST (A + B)</b>	<b>689,500</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**

GoS staff: Director level at 20% of time per annum US\$5,614

Senior management at 30% of time per annum US\$4,250 x 3 staff

Technical staff at 30% of time per annum US\$2,950 x 3 staff

National/local consultants at UNDP rates of \$3,000 a month all inclusive

International consultants at US\$10,000 per month (including DSA) plus \$2,000 international travel

One day training and policy learning events at \$3,000

Un-Habitat technical support and supervision travel: Average , 3 nights a mission

Office rental US\$1,680 per annum (PUMA space inputs for project team support)

Communications at US\$4,600 per annum (PUMA input for project support)

**24. Expected currency of expenditures**

Into what currency (or currencies) do you expect the grant funding (provided in U.S. dollars) to be converted?  
 Samoan Tala (WST)

What exchange rate assumptions have you used? On the UN rate of USD1 is equal to WST1.90.

**25. Co-financing arrangements**

Co-financing Source	Description of Co-Financing	Expected Outputs
1. UN-HABITAT (\$120,000)	<b>Cash:</b> support to prepare a Climate Change Vulnerability Assessment \$20,000, plus \$30,000 support to Ecosystem based Adaptation approaches/action planning (in partnership with UNEP) <b>In-kind:</b> \$70,000 (1 wm pa from SHSO ROAP (\$30,000) Plus 20% HPM Suva \$40,000)	Vulnerability and Adaptation Assessment for Greater Apia Report(s) on staff trained on city-level vulnerability and adaptation assessment tools Documented adapted tools to Samoa context
2. UNDP (\$200,000)	<b>Cash:</b> \$200,000 consulting services and procurements (100k per annum) <b>In Kind:</b> 20,000 – 2 months pa staff-time inputs by Governance specialist (Pacific Centre) USD30,000 Training (gender and M&E in first project year)	Improved capacity of PUMA staff to mainstream gender in management plans Vaitele Socio-Economic Reports Village Development Plans
4. CLGF (\$32,500)	<b>Cash:</b> USD2,500 Assisting with the updating of village profiles USD15,000 CYP diplomas and financial management training USD15,000 Collaboration with Vaitele and Good Practice Scheme (exchanges with PUMA)	Report on community capacity needs through Village Governance Strategy Programme (component 3)
4. GoS (\$100,000)	<b>In Kind:</b> USD30,000 in office accommodation and transportation USD50,000 in counterpart staff, per diems etc (maintenance of PEG) USD20,000 in contingency	M&E reports Support for Project Steering Committee

Is all co-financing confirmed/committed? Yes

**26. Additional Financial Management Information from Recipient**

**Ministry of Finance:**

- ~~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)~~

**UN-Habitat:**

- ~~g.a.~~ Is the Recipient a registered organization under the countries/cities legal requirement? - (No)
- ~~h.b.~~ Can the recipient provide proof of GLOBAL registration and years of operation? - (YES) ~~Ne~~
- ~~i.c.~~ Does the recipient have prior experience managing other Donor funds and provide documentation to support this? (Yes)
- ~~j.d.~~ Does the recipient have or can open a bank account? - (Yes)
- ~~k.e.~~ Is the recipient audited annually? - (Yes)
- ~~l.f.~~ Do you produce periodic financial reports for monitoring and evaluation? (Yes)