



**European Commission**



# EU – ASIA PRO ECO II B

## Post-Tsunami PROGRAMME

**Grant Application Form – 2005**  
(Annex A to the Guidelines for Applicants 2005)

[http://europa.eu.int/comm/europeaid/projects/asia-pro-eco2/index\\_tsunami.htm](http://europa.eu.int/comm/europeaid/projects/asia-pro-eco2/index_tsunami.htm)

**Budget line 19.1002**

**Please tick ONE component as appropriate.**

Programme Components and Type of activities	
<input checked="" type="checkbox"/>	Component A: Partnership Projects
<input type="checkbox"/>	Component B: Capacity-Building

Name of applicant:	ICLEI – European Secretariat, GmbH
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Dossier No	
(for official use only)	

## I. THE ACTION

### 1. Description

#### 1.1 Title

**Strengthening Local Governance for Increased Resilience in Coastal Communities**

#### 1.2 Location(s)

Thailand, City of Phuket

#### 1.3 Amount requested from the EC

Total eligible cost of the action	Amount requested from the EC	% of total cost of action
699,854.90 EUR	699,854.90 EUR	100%

#### 1.4 Summary

This action aims to increase the City of Phuket's resilience to disasters—and its sustainability—by strengthening its local governance. Through a participatory, multi-stakeholder process, a Local Resilience Agenda will be developed that outlines how Phuket will increase its resilience through the implementation of disaster risk management and preparedness measures and lays out the structures, stakeholders, and necessary funding.

Target groups include the City of Phuket, the communities of San-Suk and Sap-Hin, local stakeholders representing a cross-section of the community, neighbouring local governments within Phuket, and other Southeast Asian local governments.

The action will involve developing a community vision to guide the development process, conducting field visits and experts' exchanges for local government officials and staff from Phuket and Europe, training local government staff and community stakeholders in disaster risk management and resilience-building, and developing and implementing a Local Resilience Agenda plan.

## 1.5 Objectives

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The **overall objective** of the action is to increase the City of Phuket's resilience to disasters and thereby increase its sustainability.

The **specific objectives** of the action are:

1. To set up the project management and coordination mechanism, operational framework, and workplan to ensure the delivery of the project results through results-oriented management, in accordance with the rules and requirements of the European Commission. Agreements will be embodied in a project management and coordination protocol.
2. Develop a community and city government Baseline Report to guide the Local Resilience Agenda development process.
3. To develop a Local Resilience Agenda plan for Phuket for coastal communities/zones.
4. To initiate the implementation of selected measures outlined in Phuket's Local Resilience Agenda for coastal communities.
5. To establish tools and procedures for the monitoring and evaluation of the progress of Phuket in implementing the Local Resilience Agenda and its overall resilience and sustainability. These tools and procedures should enable the community and the city government to:
  - Provide a schedule and guidelines for all actors to report to each other
  - Establish a set of indicators to measure performance in achieving targets
  - Provide a periodic opportunity for all actors to meet to review each others' performance compared to their commitments and target and discuss how to better coordinate their actions
  - Provide an opportunity to expose local residents to the different project and campaigns being implemented, and to inform them about how they can participate
  - Link performance reporting to relevant statutory planning cycles of the municipality so that the municipality can adjust its plans based on actions taken by other sectors
6. To build the capacity of stakeholders and local government staff on participatory approaches to planning, criteria for resilience, identified/selected disaster management tools and resilience-building, and enable the exchange and transfer of technology, expertise and experience between and among European and Southeast Asian local governments with Phuket.
7. To communicate progress and lessons learned to other local governments within Phuket, the general public, other local governments in Southeast Asia, and the members of ICLEI

## 1.6 Justification

### ***Relevance of the Action to the Objectives of the Programme***

The Indian Ocean tsunami affected many South Asian and Southeast Asian communities in different ways. In Thailand, a post-tsunami report prepared by the City of Phuket identified the impacts as loss of lives and damage to fisheries, employment and livelihood, agriculture and the environment (coral reserves, beaches, mangroves, forest and saline soil) as well as damage to freshwater resources, landfill and sewage treatment plant and utilities, and transportation paralysis.

The local governments in Phuket have been left with the responsibility for mitigating the damage caused by the disaster and getting the island ready for business and local tourism to thrive again and support human productivity in a sustainable manner. The ability to spring back to form requires a mechanism that could be spelled out in a Local Resilience Agenda- a document that outlines a community's plans to increase its resilience to disasters through the implementation of disaster risk management and preparedness measures and lays out the structures, stakeholders, and funding necessary to do so.

With Phuket's being a prime tourism area, the damage caused by the disaster does not make resilience only a local issue, but also a global concern. This justifies the call for local-global cooperation in setting up mechanisms for resilience in Phuket and in strengthening local governance mechanisms for risks and disasters.

### ***Relevance of Proposed Action to the Priorities of the Programme***

This action is an excellent fit with several of the programme's priorities, namely:

- *To educate and involve local populations in the realm of environmental hazards risk management and planning.*

The proposed action will result in the direct engagement of citizens in the Local Resilience Agenda planning process. Additionally, the dissemination of lessons to other local governments within Phuket will educate the wider public. The involvement of schools and experts from the academe are groundwork to integrate lessons learned into the school curriculum.

- *To enhance capacities to improve the existing coastal and urban environment applying environmental hazard risk management criteria and to plan likewise for new or expanding settlements/civil and public infrastructures in a sustainable way.*

The development of a Local Resilience Agenda will result in increased knowledge of disaster risk reduction techniques and policies among city staff, elected officials, community leaders, and citizens and will ensure that disaster risk reduction is considered as part of plans for future development. The primary locus of the proposed activity is a coastal community directly affected by the tsunami and the planned output will be part of the 2006-2009 City Development Plan of Phuket.





- *To encourage EU-Asian partnerships and to reinforce existing links between European and Asian environmental stakeholders.*

Creating opportunities for European and Asian local governments to meet, share their experiences, expertise, and existing contacts and networks will usher in potential long-term partnerships and strengthen exchange between the two continents. Improved communication systems between these regions are one area of competency that the proposed project aims to effect. Specifically, in response to the capacity needs for resilience that the stakeholders of Phuket outlined, the two European partner cities have offered their core competencies (for more details see section 1.8).

### ***Identification of Perceived Needs and Constraints***

In a workshop session on Climate, Water and Resilience held in Bangkok in February 2005, the Vice Mayor of the City of Phuket shared some post-tsunami reflections and noted the absence of early warning systems, natural buffer zones, and public awareness of disasters and response. In addition to the impacts listed above, *the inability to effectively respond to the disaster was traced back to an absence of command, communication, coordination, and control among sectors, between and among local governments, and between and among departments within local governments.*

Furthermore, in a scoping workshop in March 2005 led by the city and facilitated by ICLEI, it was revealed that despite the occurrence of several previous disasters, the city government affirmed that except for the allocation of an emergency fund, disaster management mechanisms are not incorporated into any of the city's development plans. Although the city could allocate funds for mangrove rehabilitation, additional resources need to be earmarked to establish disaster management mechanisms.<sup>1</sup> Such on-the-ground experience and reflection highlighted the role of local government in setting up mechanisms to prepare for, and respond to, disasters.

The Vice Mayor indicated that building resilience to disasters, implementing water resource management, pursuing sustainable tourism and ensuring a sustainable post-disaster reconstruction mechanism emerged as needs in the aftermath of the disaster. In a follow-on stakeholders' workshop in Phuket in March 2005<sup>2</sup> participants identified other community needs springing from their experience with the post-tsunami response, including:

- developing a disaster response plan and warning system and communicating the plan to all citizens;
- increasing public awareness on disasters (risks and hazards, vulnerabilities, preparedness);
- strengthening the management structure to ably respond to the immediate impacts of disasters and enabling the community to recover more quickly;
- mitigating the potential impact of disasters through, among others, coastal reconstruction/structural measures such as tree/mangrove planting, zoning, buffer zone creation, the use of flood control techniques, post-disaster livelihood development plan.

<sup>1</sup> Tracker, ICLEI Southeast Asia newsletter, October 2004 – March 2005 Issue

For this reason, the City Government of Phuket has articulated the need to mobilize capacity-building resources to strengthen the institutional infrastructure to respond to disasters and increase resilience. This institutional management infrastructure—starting with a Local Resilience Agenda—would serve as the basis to scope gaps and bottlenecks to respond to the issues and recommendations that the city government and stakeholders jointly identified at the scoping workshop.

Possible constraints in the target city could include institutional boundaries (such as City of Phuket’s mandate or jurisdiction), the ability and will of stakeholders to successfully implement measures identified in the Local Resilience Agenda, and available resources (financial, human, time) to systematically implement the measures outlined in the Local Resilience Agenda.

### ***List of Target Groups and Direct and Indirect Beneficiaries***

The main target groups of the action are:

#### ***a. The City of Phuket, Thailand***

The primary target groups for capacity-building are the staff and elected officials in Phuket who serve as members of the post-tsunami management team and board. Added to this are the community leaders in Phuket who are part of the management team as indicated in the chart, plus other representatives of various stakeholders in Phuket who are yet to be identified. The residents of the City of Phuket serve as indirect beneficiaries of information and dissemination activities.

#### ***b. Two Coastal Communities***

The coastal community of San-Suk is the poorest community in the city that rests on public land and is defined as a “slum” area with roughly 150 households. It was directly hit by the tsunami and falls within the political jurisdiction of Phuket City. Being a poor community, it does not have any governance structure (e.g., community organizations) in place and basic services are wanting. Most of the residents are employed at the center of the city.

The target beneficiaries are community’s residents who will benefit from training and dissemination activities. Representative stakeholder groups will be formed from this group to facilitate their meaningful participation in the planning process and in implementing possible measures in the plan. Being a slum area, resilience criteria to ensure the recovery of basic services after a disaster would be relevant for the community.

The Coastal Community of Sap-Hin, adjacent to San-Suk, will serve as a replication site of the process. While Sap-Hin belongs to another district outside the political and administrative jurisdiction of Phuket City, the City has identified this community as a springboard to initiate instituting an inter-local government mechanism for adjacent coastal communities.

*c. Other Local Stakeholders*

The stakeholders (e.g. volunteer groups, business, etc.) will be selected so as to involve a cross-section of the community members in the planning process and ensure that all relevant actors are included. The planned activities will serve to increase the capacity of the target groups, respond to their needs, and lead to an overall improvement in the community's resilience and sustainability.

*d. Other Local Governments within Phuket*

The other local governments in Phuket will serve as a repository of lessons learned. The objective is for the City Government of Phuket to convene local government representatives from the other 6 districts to scale-up lessons learned for replication. Engaging other local governments also aims to start the networking and coordination activities to improve resilience on a wider scale.

*e. Other Local Governments within Southeast Asia*

Still along the lines of resilience, inter-local governmental exchanges within the region (15 local governments mainly from the Philippines, Indonesia and Thailand) would bear the same objectives for networking and exchange of lessons and experiences to improve local resilience management.

**Profile of Direct and Indirect Beneficiaries of the Action**

Beneficiaries	Direct	Indirect
City of Phuket elected officials	3	10-15
City of Phuket administration staff	11	10-15
Business (tourism, small business, etc.)	2	15-20
Non-governmental organizations	1	5
Volunteer groups	To be organized within the community	
Community groups	To be organized within the community	2-3 adjacent coastal communities
Schools	1	3
Universities/colleges	2	
Trade unions	2	
Humanitarian/relief agencies	5	
Other Local Governments in Phuket		6
Other local governments in Southeast Asia		15 from the Philippines, Indonesia, Thailand
Citizens of the City of Phuket		75,000

## 1.7 Detailed description of activities

The activities set out for this action are organized into seven work packages, each with a main objective and tasks. This section describes the main outputs per work package, the estimated timeframe to deliver the outputs, the time period within which the work packages are planned to be undertaken, and the key partners who will be involved in delivering each work package.

### Work Package 1: Project Co-ordination Mechanisms and Project Workplan

**Objective:** To set up the project management and coordination mechanism, operational framework, and workplan to ensure the delivery of the project results through results-oriented management, in accordance with the rules and requirements of the European Commission. Agreements will be embodied in a project management and coordination protocol.

#### Task 1.1: Form a Project Team

- Form a Project Team consisting of one representative from each project partner

#### Task 1.2: Hold Project Partner Meetings

##### 1.2.1 Hold a kick-off meeting of all project partners in Freiburg, Germany

- Jointly put together a framework (parameters, process and limitations) for the Local Resilience Agenda planning process and capacity-building requirements and delivery of these requirements (e.g. European cities share their experiences with disasters, Local Agenda 21, coastal issues; Phuket discusses its experiences and priorities following the tsunami and the highlights of the consultations conducted)
- Outline management expectations, clarify roles and responsibilities of project partners and project deliverables
- Undertake workplanning
- Sign MOUs to jumpstart the partnership between European and Asian partners and seal the commitment to undertake the project
- Set up project management protocols (See Task 1.3)

##### 1.2.2 Hold a second partner meeting in Phuket, Thailand

- Hold the second meeting back-to-back to the introductory training (see Task 1.4)

##### 1.2.3 Hold a third partner meeting in Phuket, Thailand

- Hold the third meeting back-to-back to the field visit to Phuket (see Task 6.3)

##### 1.2.4 Hold a fourth partner meeting in Phuket, Thailand

##### 1.2.5 Hold a fifth partner meeting in Europe

- Hold the third meeting back-to-back to the field visit to Europe (see Task 6.4).

#### 1.2.6 Hold the final partner meeting in Phuket, Thailand

- Hold the final meeting back-to-back to the dissemination workshop (see Task 7.2).
- Draw final conclusions and plan for the finalization of all remaining tasks.

### Task 1.3: Set up Project Management Protocols for Coordination, Communication, Progress Reporting, Decision-making, Monitoring and Evaluation

- Clarify requirements for project management and deliverables of all partners
- Outline appropriate/workable communication and reporting methods and schedule among partners (such as intranet, teleconferences, email, project newsletter)
- Formulate an internal evaluation system to monitor and evaluate project progress
- Clarify tasks and deliverables (e.g. preparation and submission of project progress reports to European Commission, financial reports/audits in accordance with European Commission requirements)

### Task 1.4 Establish Phuket's Post-Tsunami Project Management Team

- Set up the project office in Phuket
- Launch the project in Phuket and conduct a project meeting with team members
- Communicate the workplan and results of the kick-off meeting in Europe to the members of the city-based Post-Tsunami Project Management Team
- Conduct introductory training on the Local Resilience Agenda process and the role of the team
- Create a framework for stakeholder involvement in the development of Phuket's Local Resilience Agenda
- Identify the stakeholders and community representatives who will be involved in the planning process
- Refine the workplan and clarify the roles and responsibilities of the project team members in ensuring the execution of the workplan
- Communicate/launch the project to the target coastal communities in Phuket
- Publish initial communication about the project via planned communication tools as a preliminary communication campaign to generate public interest and support
- Define the scope of the next set of activities
- Establish coordination and communication protocols among team members and stakeholders as guide for the project management team to work together

Formaterade: Punkter och numrering

#### Outputs:

- Project Team formed



- Two meetings of project partners held in Europe, four meetings of project partners held in Thailand
- Project Management Team meeting held in Phuket
- Local Resilience Agenda development process framework clarified/developed
- Project Management Protocols clarified and established for coordination, monitoring and evaluation, reporting and communication
- Roles of members of Phuket's Post-Tsunami Project Management Team clarified
- Profile/list of stakeholder participants in the planning process drawn
- Workplan developed

**Period:** Months 1-6

**Partners Responsible:** ICLEI ES, with the support of all partners

## Work Package 2: Defining the Vision and Review of the Local Situation

**Objective:** Develop a community and city government base-line report to guide the Local Resilience Agenda development process

### Task 2.1 Undertake a Review of Community-Level Situation

- Conduct a Community Visioning exercise
- Conduct a Community-Based Analysis using the tools developed/learned under Task 7.2 (e.g., vulnerability assessment, risk and hazard assessment, gaps and opportunities for community resilience, etc.)
- Complete the community base-line report

Formaterade: Punkter och numrering

### Task 2.2 Review of City Government Mechanisms

- Conduct a review of gaps and enabling mechanisms (policies, structures, budgets, processes) and issues at the city government
- Outline capacity needs requirements at the community level for resilience
- Integrate the above to the local government base-line report

Formaterade: Punkter och numrering

### Task 2.3 Complete the Local Base-line Report



- Complete the local base-line report and initial capacity needs requirements, identify any issues that require further assessment, identify any proposals or options for action that should be considered in the action planning process.
- Communicate the base-line report to the public

**Formaterade:** Punkter och numrering

#### Task 2.4 Establish Working Groups

- Prioritize issues in the local base-line report
- Examine/expand/form working groups to meet the organizational requirements to address the issues in the local base-line report
- Establish terms of reference for the groups' activities

#### Outputs:

- Community Vision
- Draft Local Base-line Report
- Priority issues identified
- Working groups established and roles and responsibilities outlined

**Formaterade:** Punkter och numrering

**Duration:** 2 – 3 weeks

**Period:** Month 6-12

**Partners Responsible:** Phuket Post-Tsunami Project Management Team, ICLEI SEO, ADPC

### Work Package 3: Resilience Action Planning Process for Coastal Communities in Phuket

**Objective:** To develop a Local Resilience Agenda plan for Phuket for coastal communities/zones.

**Task 3.1: Review the Local Base-line report and Integrate advice from the first field visit**

**Task 3.2: Establish strategic action goals and set targets and triggers**

**Task 3.3: Identify measures** (e.g. effective hazard and risk reduction measures, mitigation of vulnerability, others parameters for resilience for the short-, medium-, and long-term) that cover the four phases of disaster management: mitigation/ preparedness/ response/ recovery

**Task 3.4: Prioritize actions** and identify resource requirements (identify each action's level of effectiveness, cost).

**Task 3.5: Develop a timeline for these actions** through the implementation of measures identified.

**Task 3.6: Identify actors** in charge of the implementation of specific measures and funds for implementation

**Task 3.7: Formulate a monitoring and evaluation tool/mechanism** to ensure the implementation of the Local Resilience Agenda (related to WP5)

- Select specific implementation strategies and programs

**Task 3.8 Enable an experts' exchange in aid of developing/enriching the plan** (See Work Package 6 for a description of capacity-building activities)

**Task 3.9 Ratification of the Plan by the Council**

**Outputs:**

- Strategic action goals established, targets and triggers set
- Risk reduction measures identified
- Actions prioritized
- Actors and funds for implementation identified
- Timeline for implementation set
- Monitoring and evaluation plan/mechanism/tool formulated
- Local Resilience Agenda approved by the Council for integration in the 2006-2009 City Development Plan

Formaterade: Punkter och numrering

**Duration:** 5-6 weeks

**Period:** Months 13-18

**Partners Responsible:** City of Phuket, with assistance from ICLEI SEO; ADPC



## Work Package 4: Implementation of Local Resilience Agenda

**Objective:** To initiate the implementation of selected measures outlined in Phuket's Local Resilience Agenda for coastal communities.

### Task 4.1: Work with various stakeholders to coordinate efforts and implement measures

- Implement a mix of measures, including some actions that are immediately doable

### Task 4.2: Review existing city policies, budgetary priorities, and internal practices and procedures to test their compatibility with the Local Resilience Agenda

- Establish procedures, rules, and standards that put the Local Resilience Agenda into effect as a matter of internal operations

### Task 4.3: Establish a formal linkage between the Local Resilience Agenda and local municipal statutory planning process (budgeting, land use planning, development planning, etc).

### Task 4.4: Draw up a list of recommendations for city government reforms to support plan implementation partnership arrangements with other local governments within Phuket Island (e.g. jurisdictional reform, decentralization, interdepartmental coordination, quasi-governmental and community agencies)

### Task 4.5: Monitor new or future city policies, decisions, or actions to ensure their consistency with the Local Resilience Agenda (related with WP5)

- Establish a management system that monitors compliance with new procedures and standards

### Task 4.6: Document actions taken (by stakeholders and the municipality) to implement the Local Resilience Agenda (related with WP5)

- Establish documentation program

#### Outputs

- Measures started
- List of recommendations regarding new (or reformed) local government structures, policies and processes to support implementation
- Formal linkages between Local Resilience Agenda and municipal processes established
- Inter-local governmental partnership mechanisms established
- Monitoring and evaluation system to measure progress established

Formaterade: Punkter och numrering

**Partners Responsible:** City of Phuket, with assistance from ICLEI SEAO; ACDP

**Period:** The implementation of measures could be started as soon as the local base-line report has been finalized. This could start on month 12 onwards, depending on the measures selected for immediate implementation.

**Period:** Month 19-31

### **Work Package 5: Set up Evaluation and Feedback Mechanisms for the Local Resilience Agenda Process**

**Objective:** To establish tools and procedures for the monitoring and evaluation of the progress of Phuket in implementing the Local Resilience Agenda and its overall resilience and sustainability. These tools and procedures should enable the community and the city government to:

- Provide a schedule and guidelines for all actors to report to each other
- Establish a set of indicators to measure performance in achieving targets
- Provide a periodic opportunity for all actors to meet to review each others' performance compared to their commitments and target and discuss how to better coordinate their actions
- Provide an opportunity to expose local residents to the different project and campaigns being implemented, and to inform them about how they can participate
- Link performance reporting to relevant statutory planning cycles of the municipality so that the municipality can adjust its plans based on actions taken by other sectors

**Task 5.1: Establish a community-based reporting system for performance reporting**

**Task 5.2 Develop a tool to document progress** in instituting reforms at the city government level

**Task 5.3 Document progress** (using the tools developed in Tasks 5.1 & 5.2)

**Task 5.4 Conduct an evaluation of progress, challenges and lessons learned** using the local base-line report as benchmark, the action points to define progress, and a focus group discussion for a qualitative evaluation of the project every six months

**Task 5.5 Prepare a case study** at the end of the project that details the successes and challenges of the project and lessons learned so that other cities can undertake a Local Resilience Agenda process in their communities.

**Task 5.6 Communicate the highlights and disseminate the case study** in planned communication strategies and dissemination activities (See WP 7)



*Note: The development of monitoring and evaluation mechanisms will scale up starting with community-based mechanisms.*

#### Outputs:

- Community-based and city-government performance reporting system established
- Monitoring reports that will be integrated in the project reports to the EC, web articles, local publications
- Community-based progress reporting system created
- Case Study and other information materials developed
- Mechanisms to share performance and progress reports with residents

Formaterade: Punkter och numrering

**Period:** Month 13 to 33

**Partners Responsible:** City of Phuket, with assistance from ICLEI SEAIO; ADPC

### Work Package 6: Training and Experts' Exchange

**Objective:** To build the capacity of stakeholders and local government staff on participatory approaches to planning, criteria for resilience, identified/selected disaster management tools and resilience-building, and enable the exchange and transfer of technology, expertise and experience between and among European and Southeast Asian local governments with Phuket.

#### Task 6.1: Framework-Building for Local Resilience Agenda

This will take place during the kick-off workshop (see Task 1.2.1) in Europe where European and Asian partners level off on their understanding on the criteria for resilience, participatory processes for local resilience planning.

#### Task 6.2: Training Session on the Components of Disaster Management (3 – 5 days)

This training will be targeted for the City Project Management Team and other identified stakeholders in preparation for the city to prepare the Local Baseline Report. This will be undertaken with the ADPC.

- Conduct facilitators' training for the city-based Post-Tsunami Project Management Team on Local Agenda 21, the parameters of resilience, components of disaster management and preparedness
- Define target communities and target groups to be recruited for participation

This training will enable the team to:

- identify and implement complementary participant and technical assessments of key issues (e.g., risk assessment, vulnerability assessment, etc)
- Select and develop appropriate methods and tools for the participant and technical assessment of the chosen issues
- Establish baseline data on key conditions
- Present findings of technical assessments to the issue analysis participants before the conclusion of the participant assessment exercises.

### **Task 6.3: Field Visit of European Partners to Phuket**

This activity aims to transfer European expertise to Phuket based on identified expertise and enable the city to enrich the local resilience plan and gain knowledge and tools on specific disaster management tools and technologies. The field visit are also envisioned to build the partnership arrangements between European Cities and Phuket.

### **Task 6.4: Study Visit to Europe**

Selected Phuket elected officials and city staff travel to Stockholm and Ancona to learn firsthand about these partners' existing technical solutions and resilience-building initiatives in order to enrich the development of Phuket's Local Resilience Agenda, implement selected components of the agenda, and strengthen the partnership arrangements between Europe and Asia.

#### **Outputs:**

- Training sessions conducted for the community/City of Phuket
- Field visit to Phuket by European partners
- Study visit to Europe by local government officials from Phuket

**Period:** Months 1-36

**Partners Responsible:** All partners

## **Work Package 7: Communication, Dissemination and Network-Building**

**Objective:** To communicate progress and lessons learned to other local governments within Phuket, the general public, other local governments in Southeast Asia, and the members of ICLEI.

**Task 7.1: Post project progress updates in the city's magazine and other possible press materials, broadcast in the local radio program, and conduct a local government forum within Phuket**

**Task 7.2: Communicate progress and lessons learned to 15 local governments through a Southeast Asia Dissemination Workshop**

- Hold a workshop at the end of the project to disseminate the lessons learned from the project to 15 local government participants from Southeast Asia and provide an opportunity for an exchange of regional experiences.

**Task 7.3: Project Website**

- Create and maintain a project website to describe and promote the project, report on progress, and broadly disseminate lessons learned.

**Task 7.4: Web articles on partners' websites**

- When and where applicable, write and post articles about the project on the partners' websites to disseminate project information and progress to a wide audience.

**Task 7.5: Establishment of Listserve**

- Establish and maintain listserv of local government elected officials and city staff active in resilience-building to exchange experiences.

**Outputs:**

- Project brochure
- Project updates in ICLEI's and project websites, listserv
- Highlights/progress in local media (magazine, radio program)
- dissemination workshop conducted
- Case study disseminated
- Project Reports

**Period:** Months 1-36

**Partners Responsible:** City of Phuket, ICLEI SEAO, with assistance from all partners

## 1.8 Methodology

### *Methods of implementation and reasons for the proposed methodology*

This project aims to strengthen local governance in City of Phuket by capacitating the city management post-tsunami team, through learning by doing. While resilience management has different components, this action aims to contribute to instituting a community-based mechanism for resilience and fine-tuning the city government mechanism to complement the community-based mechanism. In the long term, the project aims to contribute to scaling up such institutional improvements to increase Phuket's resilience to future disasters and work towards local and global sustainability. The methodologies and strategies are anchored on resilience management and Local Agenda 21 principles. The strategies to undertake this capacity-building project are four-fold:

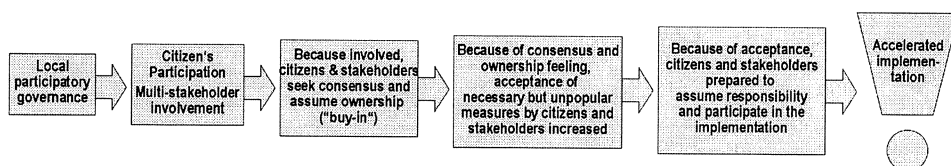
#### 1. Use of participatory and stakeholder approaches to local planning

Borttaget: ¶

**Local Agenda 21 (LA21)** is a participatory, multi-sectoral process to achieve the goals of *Agenda 21* at the local level through the preparation and implementation of a long-term strategic action plan that addresses priority local sustainable development concerns. This involves a partnership of stakeholders conducting community-based issue analysis and then designing an action plan to be instituted and monitored by the community.

A key requirement for local governments undertaking Local Agenda 21 planning is strong local leadership. Local capacity needs to be built so that leaders are able to understand the basis on which decisions can be made, along with the full implications of those decisions. The strength of communities that have undertaken a Local Agenda 21 process is that they have learned to work effectively with their local government and have an understanding of their respective roles, putting them in a strong position to work towards goals in areas such as the development of resilience.

Chart 1: How Local Agenda 21 works to accelerate the implementation of sustainable development



Experience has shown that discussing basic needs and visions for a sustainable future within a LA21 participatory planning process can improve relationships between local governments, citizens and diverse groups thereby creating a foundation for consensus. Securing long-term planning decisions that allow for local innovation and adaptation to adverse conditions is a key contribution of LA21 to the building of local capacity for resilience. Additionally, the involvement of stakeholders in the development of laws and regulations relating to disaster prevention, for example, increases the likelihood of the laws being adhered to.



Furthermore, the LA21 process examines the systemic and interrelated social issues such as deprivation and inequality, which ensures that the resilience strategies do not favour certain social groups at the expense of others. This is particularly important, since it is known that the poor and other marginalized groups are more vulnerable to, and seriously affected by, disasters.

In **summary**, the potential added value of the Local Agenda 21 process to the established methods of disaster risk reduction is:

- LA21 builds consensus, transparency and partnerships;
- LA21 can integrate local community development with long-term risk awareness and management;
- In the event of a disaster, LA21 can ensure that local actors are prepared to react appropriately and minimize the impact of the disaster;
- LA21 creates a wide network of established relationships, both locally within the community and broadly between local governments;
- People have confidence in and trust joint planning and action programs;
- Better, more detailed “on-the-ground” knowledge about the nature of local risks, hazards, and vulnerability;
- Greater “buy-in” or commitment to the resilience-building process from citizens;
- A common understand of risks, hazards, and vulnerabilities facing the community;
- A wider range of solutions to identified problems.

## **2. Integration of resilience management criteria in the local base-line report and plan**

The Local Resilience Agenda process draws on existing disaster risk reduction tools (such as the risk assessment methodology) and embeds them in an established, community-based, multi-stakeholder, participatory planning process called Local Agenda 21. This process was created on the premise that disaster risk reduction must be a community effort, rather than simply being handled internally by government staff. Additionally, resilience management goes beyond disaster risk reduction and management and factors in measures to mitigate socioeconomic and environmental impacts of disasters.

## **3. Technical/Experts' Exchange**

While the project employs a highly participatory approach to capacity-building, technical exchanges between European and Asian cities will form a core part of the strategy and methodology, both in developing the plan and in enabling implementers to start instituting implementable components of the plan. At the local level, the team will benefit from the participation of local experts to ensure that the Local Resilience Agenda is implemented and sustained beyond the project period.

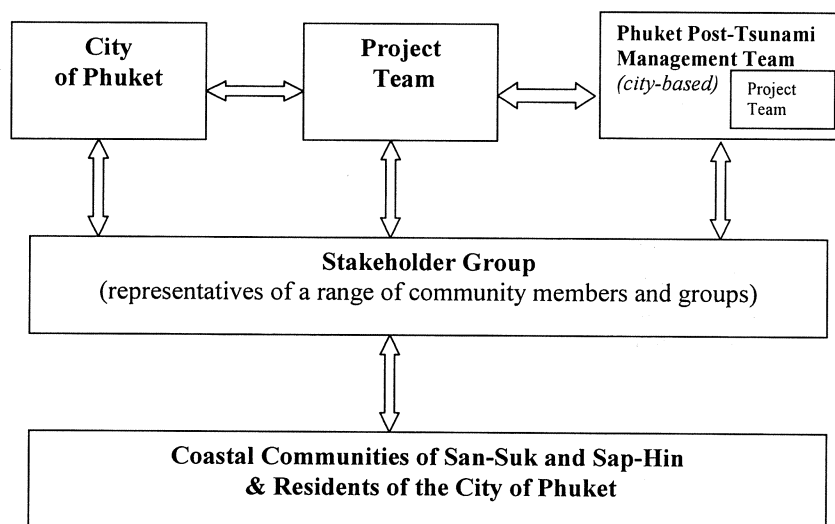
#### 4. Communication, Dissemination and Partnership/Network-Building

While this is an inherent component of Local Agenda 21, this strategy/methodology is highlighted to define the critical role of inter-local governmental relations in improving resilience at the local and global levels. It also capitalizes on public awareness as a key component for resilience.

##### *Procedures for internal evaluation*

The Project Team, composed of one representative from each partner, will serve as the structure for internal evaluation. Issues and concerns raised in project progress reports and other means will be discussed and resolved during regular teleconferences among the Project Team members. Mechanism for internal evaluation is described in Work Package 6.

Chart 2: Organization Chart for Local Resilience Agenda project in Phuket, Thailand





### ***Role and Level of Involvement of the Partners***

This action will be set up and implemented by 5 **consortium partners**:

#### **ICLEI- European Secretariat (ICLEI ES)**

The project applicant, ICLEI ES, is an international networking institution that promotes the world's local sustainable development. It also plays the role of a communication platform for exchanging sustainable development related information and experience. ICLEI ES's main activities include the promotion of stakeholder participation and the implementation of LA21, improved water management, environment management, climate protection, and sustainable economic development. ICLEI ES has extensive experience managing international projects including European Commission-funded projects.

**Role:** ICLEI ES will be responsible for the overall management of the project. ICLEI ES will also make a significant contribution to the implementation of the Local Resilience Agenda plan for Phuket, in particular by designing the overall process and ensuring stakeholder participation.

#### **City Management Team of Phuket**

The City of Phuket has a population of 75,298<sup>3</sup> and a population density of 6,275 people per square kilometer. An ICLEI member since 1997, the City has participated in several ICLEI campaigns and international projects. The City of Phuket, Thailand, is the administrative and commercial centre for Phuket Island. The mayor has volunteered to lead efforts towards resilience planning to the communities within its political jurisdiction and adjacent local governments directly affected by the tsunami. The members of the city-based Post-Tsunami Management Team are the focal persons in driving the planning process, starting local partnerships with other stakeholders and European city partners, integrating the Local Resilience Agenda in its local development plan, engaging other local governments in order to improve inter-local governmental coordination and scaling up lessons learned for adoption and replication of other areas affected by the tsunami, and instituting reforms that will be identified in the course of the planning process.

**Role:** As project partner, the City Management Team of Phuket will ensure that the planned project deliverables are carried out. It will also take charge of mobilizing the target community, in undertaking the planning process with the guidance of ICLEI and other partners, in convening stakeholders and other local governments within Phuket Island and within Thailand for the dissemination and network-building activities, and in communicating progress and lessons periodically.

#### **City of Ancona, Italy**

An ICLEI member since 2002, the City of Ancona has experience in coastal management (as Lead Partner of the Adriatic Action Plan), disaster risk management, promoting sustainable tourism and sustainable livelihoods in coastal communities, and international partnership projects with Asian cities and regions (including an Asia Urbs project called INNOBP with the Malaysian region of Ipoh).

<sup>3</sup> as of December 2004



As well, the City of Ancona has extensive experience with LA21. The City has been part of the Italian LA21 movement since its inception and its Vice-Mayor is Chair of the Italian Local Agenda 21 Network.

**Role:** The City of Ancona will contribute to the project by bringing their firsthand experience and expertise on the topics above that are of greatest relevance to the process being developed in Phuket.

#### **City of Stockholm, Sweden**

The City of Stockholm has been a member of ICLEI since 1992. Älvsjö is one of 18 local districts within the City of Stockholm. Älvsjö was seriously affected by the Indian Ocean tsunami as some local families lost children, parents, or close relatives. One child lost his entire family and schoolchildren lost their teacher and their headmistress.

**Role:** In dealing with the post-tsunami situation, the local administration of Älvsjö has gained significant experience in emergency as well as long-term post-trauma assistance. This is the main reason for Älvsjö's involvement in the project. Related areas where Älvsjö may also contribute to the project are establishing local emergency response plans, managing the emergency organization and coordinating the measures taken by different stakeholders in the community, like medical care centres, churches, etc. With these experiences as a starting point, Älvsjö wants to contribute to the process to increase the City of Phuket's resilience to disasters and thereby increase its sustainability.

#### **Asian Disaster Preparedness Center (ADPC)**

The Asian Disaster Preparedness Center is an inter-governmental non-profit organization supporting the advancement of safer communities and sustainable development, through implementing programs and projects that reduce the impact of disasters upon countries and communities in Asia and the Pacific, by:

- developing and enhancing sustainable institutional disaster risk management capacities, frameworks and mechanisms, and supporting the development and implementation of government policies;
- facilitating the dissemination and exchange of disaster risk management expertise, experience and information; and
- raising awareness and enhancing disaster risk management knowledge and skills.

**Role:** An expert resource on disaster risk reduction/management, ADPC will provide services along the lines of training, advice, inputs to the Local Resilience Agenda and case studies that will be developed, and serve as resource speaker in dissemination activities.

In addition to this core consortium team, the city of Phuket (the main beneficiary) will bring an additional partner to support in the implementation at the local level. This **supporting partner** will be **ICLEI- Southeast Asia Office (ICLEI-SEAO)**.

ICLEI's Southeast Asia Office has a strong background in working with Southeast Asian local governments to undertake Local Agenda 21 processes. It has applied participatory approaches to



planning for ICLEI's Cities for Climate Protection Campaign, Sustainability Management (Eco-Budget), and Water Governance. In addition, the SEA Office has worked closely with the City of Phuket facilitate a post-tsunami scoping workshop in March 2005. It has also worked with ICLEI-European Offices on other programs. The office has been working with several local governments across the Southeast Asia region for several years, although its legal independent establishment was only finalised in 2004.

**Role:** The role of the SEA Office is to provide direct support to the city of Phuket as a process facilitator and design expert in local development planning and institutional development, and to coordinate actions with ICLEI-Europe and other partners in ushering in expert advice for Phuket. The office will also serve as main actor in setting up the project management office in Phuket, and in organizing the dissemination activities in Southeast Asia. It will also lead the development of the case study, along with the other project partners. The city of Phuket as thus decided to allocate ICLEI-SEAO to carry out the task mentioned.

### ***Team proposed for implementation of the action***

There are several teams and groups that will be formed in order to effectively implement the action:

#### **1. Project Team**

The Project Team will include one representative from each consortium partner (ICLEI ES, City of Phuket, City of Ancona, City of Stockholm, ADPC) for a total of five members, and a supporting partner (ICLEI SEAO). The Project Team will be responsible for the smooth running of the project and for contributing and/or coordinating different tasks and/or workpackages in the project.

#### **2. Phuket Post-Tsunami Management Team**

The Phuket Post-Tsunami Management Team will be composed of key city staff and elected officials as well as the on-site project manager, a total of 8-10 people. The Post-Tsunami Management Team will act as the focal point for the Local Resilience Agenda process within the City of Phuket. Its members will provide data and information, report and liaise between the municipality and the rest of the Local Resilience Agenda Forum (i.e. the Stakeholder Group and Project Team), review action strategies and proposals, and integrate stakeholder planning decisions with formal planning processes. The Committee will also work closely with project partners (via the Project Team), particularly with ICLEI SEAO, as well as Stakeholder Group members to enable the smooth implementation of the Local Resilience Agenda process in Phuket.

### **3. Phuket Local Resilience Agenda Stakeholder Group**

The Stakeholder Group will consist of one representative from each stakeholder group below, total of 15-20 members.

- Business
- Non-governmental organizations (NGOs)
- Community groups
- Women
- Minority groups/Under-represented groups
- Schools
- Youth
- Universities/colleges
- Fishermen
- Trade unions
- Professional associations
- Humanitarian/relief agencies
- Phuket Municipality administration staff
- Phuket Municipality elected officials
- ICLEI SEAO representative
- On-site project manager (who works in the project office)- as a rep from the Phuket City Team

The Stakeholder Group's role will be to coordinate and guide the overall planning effort and integrate the results of discussions, research, and planning into the Phuket Local Resilience Agenda.

## 1.9 Duration and action plan

The duration of the action will be 36 months.

**Formaterade:** Punkter och numrering

Year 1													
Activity	Semester 1						Semester 2						Implementing body
	Month 1	2	3	4	5	6	7	8	9	10	11	12	
Work Package 1.1: Form Project Team													ICLEI ES
Work Package 1.1 to 1.2: Hold Project Partner Meetings			X						X				ICLEI ES
Work Package 1.3: Set up management protocols													ICLEI ES
Work Package 1.4: Establish Phuket's Post-Tsunami Management Team													City of Phuket
Work Package 6.2: Train City-Based Team													ADPC
Work Package 2.1: Undertake Review of Community-Level Situation													City of Phuket, ICLEI SEAO, ADPC
Work Package 2.2: Review of City Government Mechanisms													City of Phuket, ICLEI SEAO, ADPC
Work Package 2.3: Complete the Local Baseline Report													City of Phuket, ICLEI SEAO, ADPC
Work Package 2.4: Establish Working Groups													City of Phuket, ICLEI SEAO
Work Package 6.2: Conduct the Workshop/Training													ICLEI SEAO, City of Phuket, City of Ancona, City of Stockholm, ICLEI ES
Work Package 6: Training and Experts' Exchange (Field visits)													ICLEI ES, ICLEI SEAO and ADPC
Work Package 7: Communication, Dissemination, Network-Building													ICLEI ES, ICLEI SEAO

Years 2 and 3					
Activity	Semester 3 (months 13-18)	4 (months 19-24)	5 (months 25-30)	6 (months 31-36)	Implementing body
Work Package 1.3 to 1.6: Hold Project Partner Meetings	X	X	X	X	



Work Package 3: Resilience Action Planning Process for Coastal Communities in Phuket					City of Phuket, ICLEI SEAO
Work Package 4: Implementation of Local Resilience Agenda					City of Phuket, ICLEI SEAO
Work Package 5: Set up of Evaluation and Feedback Mechanisms for Local Resilience Agenda Process					City of Phuket, ICLEI SEAO
Work Package 6: Training and Experts' Exchange					All partners
Work Package 7: Communication, Dissemination, Network-Building					All partners

## **2. Expected results**

### **2.1 Expected impact on target groups**

As indicated in the previous section of this proposal, the City Government of Phuket does not have any disaster management plan nor an institutional mechanism for resilience. Thus, this project aims to contribute in building the capacity of city staff and partners from the community and non-government organizations on disaster management as they undertake the local resilience agenda planning.

The main target groups of the action are:

- City of Phuket staff
- City of Phuket elected officials
- Community leaders in Phuket (representatives of various stakeholders in Phuket)

The citizens of City of Phuket are the direct and indirect beneficiaries of the action.

#### **City of Phuket Management Staff**

As a result of this action, the management staff of the City of Phuket will increase their awareness and knowledge of disaster risk reduction and resilience-building, particularly in the local government context. The action will also capacitate the team undertake resilience planning process which, beyond the project phase, could be undertaken in other communities not covered by the project.

Apart from the planning process, the staff will also gain knowledge and a certain level of competency on, among others, community risk assessment, hazard and vulnerability assessment, and instituting community-based mechanisms. Staff will also have access to European expertise.

Phuket municipal staff will be able to systematically take steps to increase Phuket's resilience in the future. They will also have made new contacts with peers in Europe with whom they can continue to exchange ideas and experiences. Through their training and involvement in Phuket's Local Resilience Agenda process they will enhance their knowledge and experience with participatory, multi-stakeholder planning processes and be able to better incorporate community input into future planning efforts.

#### **City of Phuket Elected Officials**

Similarly to City of Phuket staff, through their involvement in this action elected officials in Phuket will have an opportunity to increase their knowledge of disaster risk management and how to increase their community's resilience to disasters.

With increased interaction through, among others, network-building, elected officials would be able to clarify who leads certain actions and therefore avoid confusion and delayed response time to disasters. Through close involvement all throughout the project phase, elected officials will deepen their understanding on the importance of allocating resources, instituting reforms, resource-sharing with the community and other local governments, equitable distribution of relief goods. Interaction between and among the officers from the executive and legislative branches would also aid in gaining political approval/legitimacy of the plan and allocating internal resources accordingly.

Elected officials would also be able to undertake advocacy and networking activities and facilitate decisions and actions with the community, with other stakeholders and local governments. This would widen the scope of resilience in Phuket, as well as mobilize support to implement the resilience agenda.

### **Community Leaders in Phuket**

Through the Local Resilience Agenda process the representatives of various stakeholders in Phuket will gain hands-on knowledge of disaster risk reduction tools and techniques and methods of building community resilience.

Involvement of community leaders would aid the setting up of community-based mechanisms (e.g., formation of stakeholder groups) not only in plan development, but also in implementing components of the plan.

Involvement of community leaders would institute proactive actions and facilitate cooperation among community members. Sustainability of the contributions of the project is assured because community ownership over the process and the results is seeded at the beginning of the project.

### **Citizens of City of Phuket**

Through their involvement in Phuket's Local Resilience Agenda process, citizens will gain increased knowledge of the risks, hazards, vulnerabilities and capacities of their community as well as ways that they can increase their resilience to disasters. As measures are implemented that make Phuket more resilient to disasters citizens' livelihoods and quality of life will be improved as their vulnerability decreases and their capacity to proactively address disasters increases.

Keeping citizens aware of the progress of the project is also an investment in resource-mobilization and network-building in aid of refining and expanding the local resilience agenda after the project. This is another sustainability mechanism that the project will put in place.



## 2.2. Publications and other outputs

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- **Phuket Local Resilience Agenda document:** A city plan focused on coastal communities developed with community stakeholders that outlines disaster mitigation, preparedness, response, and recovery actions to increase the community's resilience to disasters. The plan will take off from the community vision and local base-line report using the parameters for disaster management and resilience, coupled with coastal zone management.
- **A list of recommendations regarding reforms** to improve city government processes and mechanisms in aid of implementing the local resilience agenda
- **A project case study** that puts together lessons learned, key results and challenges, and experiences of other local governments in disaster management
- **Web articles** that highlights the progress of the project
- **Press release** in the city's magazine
- **Leaflets and posters** that capture priority measures to be instituted for resilience management

Formaterade: Punkter och numrering

## 2.3 Multiplier effects

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Work Package 7 outlines the communication and networking strategy that would benefit other local governments within Phuket, within Southeast Asia and other members of ICLEI through the communication mechanisms and the dissemination workshops planned for this project. More importantly, training a core team as facilitators will enable a replication of the process to more communities within Phuket.

The involvement of political officials in establishing a network with other local governments would also be key in ensuring that the lessons are shared. Support of local officials to adopt and expand the resilience agenda is also critical in ensuring sustainability and replicability of project results on a wider scale.

The involvement of academe representatives in the city project management team bears a strong replication potential for the student population.



- Based on Phuket's experience the Local Resilience Agenda process could be replicated in many other coastal communities, starting with other Thai communities affected by the tsunami.
- As well, other ICLEI members in Southeast Asia (15 members in Thailand, Indonesia, and the Philippines) are potential replication sites.
- ADPC has worked with many Asian communities on disaster risk reduction- there may be a possibility for further partnership in using the Local Resilience Agenda process to reach even more communities.
- European cities would also benefit from the action and increase their knowledge of resilience-building. They could share their experience with other European cities, particularly ICLEI European members through scheduled Congresses/meetings.

## 2.4 Short- and long-term impact

Work packages 2, 3, 4 and 5 of the action include activities that will ensure the successful implementation and long-term sustainability of the project. Such activities include:

- a list of recommendations concerning the creation of new structures or the reform of existing structures to support implementation partnerships (e.g. jurisdictional reform, decentralization, interdepartmental coordination)
- the establishment of a formal linkage between the Local Resilience Agenda and local municipal statutory planning process (such as budgeting, land use planning, development planning)
- the review of existing municipal policies, budgetary priorities, and internal practices and procedures to test their compatibility with the Local Resilience Agenda
- the establishment of procedures, rules, and standards that put the Local Resilience Agenda into effect as a matter of internal operations
- monitoring new or future municipal policies, decisions, or actions to ensure their consistency with the Local Resilience Agenda

Implementing these activities will result in disaster risk reduction measures being incorporated into the day-to-day business of City of Phuket.

These activities are hoped to influence local decision making and policies on (a) allocating a block of internal revenue funds solely for disaster management/preparedness; (b) resolutions creating a mechanism for disaster response; (c) approaches in coastal resource management that takes into account buffer zones, etc. Additionally, inter-local governmental arrangements will be improved and potential European-Asian partnerships could be strengthened.

### 3. Budget for the action

Please see Annex B (Excell) for detailed information on the budget .

#### Budget Justification

The total budget is 699,854.90 Euro, all of which will be used for the direct implementation of the proposed actions. The majority of the budget (over 50%) will be allocated to actions being developed by the partners in the target region. The most of the budget for the organisations in the region will then be allocated to the Municipality of Phuket has the main beneficiary of the action.

Being a Partnership Projects initiative fostering participation and interactions between organisations and communities, most of the resources will be allocated to human resources in order to the develop the actions or benefit from the results. In order to enable the wide participation enshrined in the approach of the project, the budget also includes resources to support stakeholders to participate.

The budget includes a reasonable amount of resources for traveling as to enable the exchange between the European and Asian partners, as expected by the concept of the AsiaProEco Program.

The budget also includes appropriate resources to cover local costs (office and actions), as well as the costs associated to the overall project implementation, such as for translation, audit and financial services.

The project consortium request for 100% funding from the European Commission. There are several reasons for that, namely:

- The project focus on building and enabling partnerships and supporting participation, which are issues that often have very reduced capacity to draw resources from other organisations, may them be national governments in the region or other donors.
- By building partnerships and fostering participation, the project will be improving the baseline conditions to, in the future, the target area make further use of their own resources. Thus the project will work as a seed for further actions.
- None of the partners is a for profit organisation, thus there is limited access to own resources.
- Currently the resources from the city of Phuket are rather stretched, so there is no potential for a direct contribution.
- European local governments are also facing extensive budget pressure, so there direct economic contributions are not possible. They make extensive contribution to the project by make



themselves available to share experiences and make use of their expertise to help supporting the process.

#### **4. Expected sources of funding**

Please see Annex B (worksheet 2) that provides information on the expected sources of funding for the action.



## II. THE APPLICANT

### 1. Identity

Full legal name:	ICLEI European Secretariat, GmbH
Acronym (where applicable):	ICLEI ES
Legal status: <sup>4</sup>	Private non-for-profit
VAT registration number (where applicable):	DE 153445986
Official address	Leopoldring, 3 D- 79098 Freiburg, Germany
Postal address:	Leopoldring, 3 D- 79098 Freiburg, Germany
Contact person:	Wolfgang Teubner (Executive Director)
Telephone number:	Tel : + 49 - 761 368 92 20
Fax number:	Fax : + 49 - 761 368 92 29
E-mail:	Email : wolfgang.teubner@iclei-europe.org
Internet site:	www.iclei-europe.org

### 2. Bank details

The bank must be located in the country where the applicant is registered.

Account name	ICLEI Europasekretariat GmbH
Account number	125 487 02
Sort code	680 900 00
IBAN code (optional)	DE39 6809 0000 0012 5487 02
Bank name	Volksbank Freiburg e.V.
Address of bank	Bismarckallee 10 79098 Freiburg, Germany
Name of signatory/ies	Wolfgang Teubner, Elke Rick
Position of signatory/ies	Executive Director, Financial Coordinator

<sup>4</sup> e.g. state whether the applicant is a for-profit or not-for-profit organisation.



NB: Before the grant contract is signed, the applicants selected will have to supply a financial identification form using the model in Annex V to the contract, certified by the bank named above.

#### Correspondent bank (where relevant)

Account name	
Account number	
Sort code	
IBAN code (optional)	
Bank name	
Address of bank	

### 3. Description of applicant (one page maximum)

#### 3.1 When was your organisation founded and when did it start its activities?

More than 200 municipalities from 43 countries participated in ICLEI's founding at the World Congress of Local Governments for a Sustainable Future held in September, 1990 at the United Nations in New York. The World Congress and the launching of ICLEI were sponsored by the United Nations Environment Programme, the International Union of Local Authorities (IULA), and the Centre for Innovative Diplomacy. In 1991 ICLEI started its operations from the newly established World Secretariat in Toronto, Canada.

The ICLEI European Secretariat was set up in 1992, in Freiburg, Germany as a non-profit GmbH according to German law in order to allow an optimised control of the activities and management by the elected bodies of the organisation. The share capital is held by the World Secretariat through the ICLEI Canada Inc., Toronto, Ontario. The European Secretariat started its activities in May 1992.

### 3.2. What are the main activities of your organisation at present?

Today ICLEI is a global democratic membership organisation to promote local sustainable development with more than 450 member cities and local governments, thereof more than 170 from the European Region. Besides its activities as an advocate of local sustainability towards international organisations like UN-Agencies and the European Commission it also works as an agency to support local governments to improve their approaches towards local sustainability. Since 1992 the ICLEI European Secretariat has implemented more than 150 projects with and for local governments in Europe.

Currently the main activities of the ICLEI European Secretariat are:

**Urban Governance and Local Agenda 21/Local Action 21:** ICLEI co-founded and supports the European Sustainable Cities & Towns Campaign since 1994. ICLEI permanently offers LA 21 guidance and training to local authorities. Together with partners we have developed a Local Agenda 21 self-assessment tool and transferred it into a free interactive Internet-based tool ([localevaluation21.org](http://localevaluation21.org)) operating in 20 European languages. Further research has been conducted to find out how the mobilisation of social capital can improve the local governance for sustainability. The so-called DISCUS project, supported by EC DG Research, included one year of intensive field research. The latest activities focus on the transition from Local Agenda 21 planning to the implementation (Local Action 21) as well as monitoring and reporting.

**Water:** ICLEI has started a worldwide campaign of cities committed to a sustainable use of freshwater resources by protecting environmental flows of water, reducing water pollution, and improving the availability and efficiency of water and sanitation services. In the framework of this Campaign in 2001 ICLEI has developed and promoted the “Local Government Water Code”, a set of principles that can be used for local governments to improve their governance and management of local water resources and services. ICLEI ES is currently implementing the *LoGoWater* project. This activity, funded by EC-DG Research, is a coordinated action that aims to bring water experts/researcher from Europe and Africa to support local governments in Southern Africa to engage with Integrated Water Resources Management and thus contribute for the improvement of the current water crisis in the region.

**International Training Centre (ITC):** As a cross-cutting issue the ITC develops training and capacity building activities for all topics above including workshops, study tours, conferences, distance training and training on demand.

**Climate Protection and Energy:** More than 100 European cities form part of the world-wide Cities for Climate Protection Campaign that adopt policies and implement measures to achieve measurable reductions in local greenhouse gas emissions, improve air quality, and enhance urban liveability and



sustainability. This entails projects on energy, like renewable energy or energy saving, as well as transport policies.

**Sustainable Procurement:** Last year ICLEI Europe has started its Procura+ Campaign that aims to foster awareness raising, capacity building and implementation of sustainable procurement throughout Europe. This campaign is based on expertise that has been gained through several research and development projects and intensive collaboration with many European actors including the EC. Additional activities include the “Buy it green”-Network of sustainable procurement professionals (BIG-Net) and the EcoProcura Congress series, which offer opportunities for exchange of expertise.

**Sustainability Management:** ICLEI members are driving innovation in the field of environmental management systems and their transition into sustainability management systems. They are pioneering the development and application of new methods, instruments and tools. The *ecoBUDGET*<sup>®</sup> model of environmental budgeting is an outstanding example. ICLEI is closely co-operating with the EMAS unit of DG Environment and other important actors in the field.

### 3.3. List of the management board / committee of your organisation

Name	Profession	Sex	Position	Years on the board
Konrad Otto-Zimmermann	Engineer M.A. Public Administration	M	Managing Director	12
Gino van Begin	Lawyer Manager	M	Regional Director	2
Wolfgang Teubner	Degree in Political Science, Common Market Specialist, Manager	M	Executive Director	2



#### 4. Capacity to manage and implement actions

##### 4.1. Experience of similar actions

Maximum 1 page per action. Please provide a detailed description of actions managed by your organisation over the past five years in the fields covered by this programme, taking care to identify for each action:

- a) the object and location of the action
- b) the results of the action
- c) your organisation's role (lead manager or partner) and its degree of involvement in the action
- d) the cost of the action
- e) donors to the action (name, address and e-mail, telephone number, amount contributed)

This information will be used to assess whether you have sufficient experience of managing actions in the same sector of a comparable scale to the one for which you are requesting a grant.

**EC-China Environmental Management Cooperation Programme / Component 2 Local and Municipal Development (2001-2005)**

**a) Object and location of the action**

Location: China

Objectives: The purpose of the EU-China EMCP is to develop capacity at local and municipal levels.

The project goals are in particular:

- i) to increase China's planning and management capacities, notably among local and provincial, city and municipal authorities, in the fields of environmental management and sustainable development,
- ii) to encourage and support the co-operation and exchange between Chinese cities being interested in sustainable development and to considerably increase the number of these cities,
- iii) to develop co-operation between EU based institutions, especially cities and Chinese cities with the goal of enabling bilateral contacts and independent relations between municipal actors in China and potential partners outside the country, especially in Europe.

**b) the results of the action:** See a) objectives. Objectives have been achieved as planned

**c) your organisation's role (lead manager or partner) and its degree of involvement in the action**

This is a contract allocated to ICLEI to ensure the following services:

- Project management, relations with national counterparts
- Expertise on local sustainable development, Local Agenda 21, Local Action Planning
- Expertise on local governance
- Networking among local governments and between the local level and the regional/national level
- Providing material and systems (e.g. information system, training)
- Providing short term expertise

**d) the cost of the action:** 1.090.000 €

**e) donors to the action (name, address and e-mail, telephone number, amount contributed)**

European Commission

EuropeAid

(Contract ref: CHN/B7-300/96/6-env/emcp/2.1)

Amount contributed: 1.090.000 €

**ECOBUDGET- European LIFE ecoBUDGET Pilot Project for Local Authorities  
Steering to Local Sustainability (2001-2004)**

**a) the object and location of the action**

Location: Europe wide

Objectives:

- Reduce volume of electronic office equipment entering the waste stream;
- Increase awareness of the opportunities and support mechanisms for the reuse of such equipment;
- Greater capacity in the community and voluntary sector regarding ICT hardware and skills ;
- Enhance employment opportunities for people accessing the training element of the project;
- A model for replication in other EU areas and recommendations for further action.

**b) the results of the action: Objectives accomplished.**

**c) your organisation's role (lead manager or partner) and its degree of involvement in the action**

ICLEI's responsibility included:

- Project management, relations with national counterparts
- Expertise on local sustainable development, Local Agenda 21, Local Action Planning
- Expertise on local governance
- Development of key tools and EcoBudget concept
- Training

**d) the cost of the action: 338.850 Euros**

**e) donors to the action (name, address and e-mail, telephone number, amount contributed)**

European Commission, DG Environment. LIFE Programme.

**AQUA- Water Resources Protection at the Local Level (2000-2001)**

**a) the object and location of the action**

Location: Germany:

Objectives: This project aims at providing information and dialogue stage for actors in the field of local water supply and local water management. The aim is to promote sustainable water management.

**b) the results of the action**

As presented in the objectives.

**c) your organisation's role (lead manager or partner) and its degree of involvement in the action**

This is a contract allocated to ICLEI to ensure the following services:

- Project management, relations with national counterparts
- Expertise on local sustainable development, Local Agenda 21, Local Action Planning
- Expertise on local governance
- Collection of existing information and technical expertise on local water management
- Transform existing information for adequate communication to relevant stakeholders and the general public involved in Local Agenda 21 processes

**d) the cost of the action:** 100.00 Euros

**e) donors to the action (name, address and e-mail, telephone number, amount contributed)**

German Federal Environmental Protection Agency

Amount contributed: 100.00 Euros

#### AloS- Local Agenda 21 and Community Security (2003-2004)

**a) the object and location of the action**

*Location:* Chile, Costa Rica, Ecuador, Peru y Brazil.

*Objectives:* Develop a programme for capacity building to create and strengthen the capacities of municipalities in Latin America in order to implement appropriate actions and practical experiences to improve community security through the commitment and active participation of the community and its various institutions.

**b) the results of the action**

- Latin American cities selected based on their level of commitment towards initiating these activities.
- ICLEI's virtual centre for capacity building adapted for the project
- Development of training and capacity building material for use in the planning process of Local Agenda and Community Security
- Collection and elaboration of material to provide a minimum level of information regarding women trafficking
- The participating cities have an increased awareness of this issue of human trafficking
- An international workshop with interested cities took place at the ICLEI World Congress in Athens, November 2003

**c) your organisation's role (lead manager or partner) and its degree of involvement in the action**

Main responsibilities of ICLEI ES included:

- Project management, relations with national counterparts
- Expertise on local sustainable development, Local Agenda 21, Local Action Planning
- Expertise on local governance
- Networking among local governments and between the local level and the regional/national level
- Providing material and systems (e.g. information system, training)

**d) the cost of the action:** 155.400 Euros

**e) donors to the action (name, address and e-mail, telephone number, amount contributed)**

GTZ (Germany) - Amount contributed: 155.400 Euros

**Environmentally and Socially Responsible Procurement (ESRP) – Pilot World Bank client capacity building training course 2004, Accra Ghana (2004)**

**(a) the object and location of the action**

Location: Accra, Ghana

Objectives: 1) to raise awareness and interest on sustainable procurement among managers and officers working with World Bank funded projects in Ghana; 2) to provide tips on how purchasing procedures, tools and strategies can be improved in order to reflect and incorporate the principles of sustainability.

**(b) the results of the action**

- Training Package on Environmentally and Socially Responsible Procurement for course participants;
- draft Trainer Notes for course trainers;
- CD-ROM with course materials;
- three-day training in Accra with 37 representatives of target group;
- follow-up communication for further assistance, provision of relevant documents, and the compilation of case examples per e-mail and fax.

**(c) your organisation's role (lead manager or partner) and its degree of involvement in the action**

Service contract: All activities were carried out by the ICLEI ES apart from two smaller sub-contracts for preparing part of the course materials and general guidelines for providing training on sustainable procurement in low- and middle income countries.

**(d) the cost of the action: 90.000 USD**

**(e) donors to the action (name, address and e-mail, telephone number, amount contributed)**

Dominique Brief, Consultant

The World Bank

ESRP-Environmentally and Socially Responsible Procurement

Amount contributed: 90.000 USD

**DISCUS - Developing Institutional and Social Capacities for Urban Sustainability**

**(a) the object and location of the action**

Location: Europe wide

Objectives: The DISCUS research has **three main objectives**:

- To assess which factors and conditions enable the development of organisational capacities for addressing sustainable development requirements at the local government level;
- To evaluate the impact of participatory measures on the level of involvement of different stakeholders in decision making processes;



- To understand interactions between local government institutions and civil society in the achievement of sustainable urban development as well as the conditions enabling improved communication networks and capacity building.

(b) **the results of the action:** Project objectives were successfully achieved.

(c) **your organisation's role (lead manager or partner) and its degree of involvement in the action:**

ICLEI had a prominent role providing:

- Overall project management
- Theoretical background explored
- Capacity building project overview compiled
- Fieldwork methodology developed
- Fieldwork carried out in 40 European cities & towns
- Data analysed
- Book published with analysis
- Guidelines developed for local governments
- International conference organised

(d) **the cost of the action:** 2.050.000€

(e) **donors to the action (name, address and e-mail, telephone number, amount contributed)**

European Commission, DG Research

Amount contributed: 1.540.000

## 4.2 Resources

*a) Annual income over the last three years, mentioning where applicable for each year, the names of the main donors and the proportion of your annual income each has contributed*

2001	2002	2003
1.656.364 €	2.081.216 €	2.422.928

The income sources are highly distributed over a variety of sources. The distribution between membership fees and projects is however fairly constant on a 10/90 % ratio. The main single project funders (grants) are usually the different programmes of the European Commission, international donor agencies and national governments. Another equally important source of income are fee for service contracts, many of them directly with local governments.

*b) Number of full-time and part-time staff by category (e.g. number of project managers, engineers, experts, accountants, etc), indicating their place of employment*

The staff of the ICLEI European Secretariat provides a wide variety of qualifications, including urban planners, geographers, political scientists, environmental management experts, training experts etc., as well as a wide variety of nationalities offering a broad range of language skills. On average, at least 10 languages are covered by native speakers covering all the major European languages. Currently, for example, these include English, German, French, Italian, Spanish, Portuguese and Swedish.

Category	Number and	Place of employment
Senior Managers	2	Freiburg, Germany
Programme Directors	4	Freiburg, Germany
Project Coordinators	1 full time 2 part-time	Freiburg, Germany
Project Officers	8	Freiburg, Germany
Project Assistants	8	Freiburg, Germany
Administration Coordinator	1	Freiburg, Germany
Accountant (Financial Coordinator)	1	Freiburg, Germany
Assistant Accountant	1 part-time	Freiburg, Germany
Administrative Assistants	4 part-time	Freiburg, Germany
Secretary	1 part-time	Freiburg, Germany

### ***c) Equipment and offices***

The ICLEI European Secretariat offers space for some 50 workplaces. Currently, 40 are fully equipped. Two meeting rooms are available, a big one being able to host up to 30 people and a smaller one hosting up to 10 people. ICLEI further has agreements for use of nearby conference facilities. The European Secretariat offers up-to-date office technology, such as Intranet, permanent Internet and telephone at all workplaces. This includes fax software that can be handled from every workplace, in addition several fax machines are available. Several network laser printers and colour printers as well as a copy machine are provided.

ICLEI Europe manages both its own website as well as websites for several funders through an open source content management system (Typo3). Both the CMS and several integrated specific-purpose databases are configured and maintained by an internal, permanent expert. The CMS allows decentralised access for both extra and intranet purposes and guarantees update information, all with very limited cost and highly efficient. The system is run on an ICLEI-owned server hosted by ICLEI's World Secretariat in Toronto.

Regarding networking and dissemination, all of ICLEI's know-how regarding partners and interested persons in Europe is pooled through an address database system. Linked to a central address database, all projects have their special profile databases, and updating takes place from both sides, without any duplication and with full and access to all know-how for each project. All databases are configured by an internal, permanent expert.

Actual information dissemination tools, besides project-specific tools, include the organisational news and information services of ICLEI in Europe, such as the news sections on both the ICLEI European and world-wide website, a monthly e-newsletter "ICLEI in Europe News" and a print newsletter, the "European Circular", published three times per annum.

The finances and the financial management of the ICLEI European Secretariat are audited annually according to the standards for big capital companies in Germany by a certified external auditor.

ICLEI Europe is one of several offices the ICLEI is running in all continents around the globe and is profiting from the exchange of information and results with these other offices.

### ***d) Other relevant resources (e.g. volunteers, associated organisations, networks that might also contribute to implementation).***

ICLEI ES is embedded in a wide range of networks and partnerships that provide an added value to its work and to which ICLEI itself provides input and support. Within Europe ICLEI European Secretariat (ICLEI ES) has co-founded the European Sustainable Cities and Towns Campaign and has been a member of the Steering Committee since its start in 1994. Through this co-ordination mechanism it permanently co-operates with the major local government networks in Europe. ICLEI has been a major contributor to the drafting of the Aalborg Charter in 1994 and the Aalborg Commitments in 2004. ICLEI also has several municipal associations from different European Countries as members and holds a special Memorandum of Understanding with the Council of European Municipalities and Regions (CEMR). Furthermore ICLEI ES is also closely cooperating with the Council of Local and Regional Authorities in Europe (CLRAE). ICLEI Europe is also

profiting from the existing Cooperation agreements with the United Nations Environment Programme UNEP and UN-Habitat on the global level.

Furthermore, the European Secretariat of ICLEI keeps close relation with other offices of the organisation established around the world. From these relations ICLEI ES increase its capacity as an organisation and involved itself in many activities outside Europe. As an example, in 2002 ICLEI's International Training Centre, hosted the by ICLEI ES, was the responsible for the organisation and promotion of the local governments session that took place in parallel with the World Summit on Sustainable Development in Johannesburg.

## 5. Other applications made to European Institutions, the European Development Fund (EDF) and EU Member States

### 5.1 Grants, contracts and loans obtained over the last three years from European Institutions, the EDF and EU Member States

A complete list of grants, contracts and loans obtained by ICLEI European Secretariat in the three preceding annual accounting periods (2002 to 2004) from European community institutions is following

Action title and reference number	EC budget line, EDF or other source	Amount (EUR)	Date obtained
European EcoBudget LIFE 00 ENV/S/000852	LIFE Programme	Total co-financing: 1.022.765 (COBO: 135.401)	2001
“Urban Sprawl: European Patterns, Environmental Degradation and Sustainable Development” URBS-PANDENS, main co-ordinator Potsdam Insitut fuer Klimafolgenforschung e.V. EVK4-CT-2001-00052	5th Framework Programme Cities of Tomorrow	113.982 € (ICLEI) 1.516.822 € (total)	01/2002





"Survey on Green Public Procurement in the EU" B4-3040/2002/340531/MAR/D3	DG Environment Service Contract	63.150 €	10/2002
"Sustainability in the Public Urban Transport Market – SIPTRAM" SUB 02/344351	DG Environment EU Framework on Urban Sustainability	280.423 € (ICLEI) 497.134 € (total)	11/2002
"Testing and Dissemination of Public Performance Contracting Schemes with Pilot Projects for Energy-Efficient Lighting in Public Buildings" coordinated by Wuppertal Institut 4.1031/Z/02-038/2002–Sincom Ref: S07.18132	DG Energy and Transport SAVE Programme	35.360 € (ICLEI) 380.000 € (total)	01/2003
LASALA-ONLINE Accompanying Measure EVK4-CT-2002-80015	5th Framework Programme	250.026 € (ICLEI) 425.894 € (total)	02/2003
EUWMC "European Waste Management Cluster" coordinated by Interdisziplinaere Consulanten ZT GmbH, Vienna EVK4-CT-2002-80013	5th Framework Programme	93.880 € (total) 545.046 € (total)	03/2003
Specific Targeted Project "Trends and Indicators for Monitoring the EU Thematic Strategy on Sustainable Development of Urban Environment" TISSUE coordinated by VTT, Finland SSPI-CT-2003-502427	6th Framework Programme	7.000 €	01/2004
SUVOT – Sustainable & Vocational Tourism in	INTERREG IIIc	35.000 € (ICLEI)	11/2004



Europe Project-No: (3E0033I) Main contractor Provincia di Rimini, Italy			
“Coordination of Urban Green Days” 07.0402/2004/375198/MAR/ENV.A1	DG Environment Service Contract	49.192 €	03/2004
“Dissemination of Energy Efficiency Measures in the Public Building Sector (DEEP)” Grant Agreement No. EIE/04/067/S07.38642	DG Energy and Transport – Intelligent Energy for Europe	187.501 € (ICLEI) 651.200 € (total)	12/2004
Sustainability Tools and Targets for the Urban Thematic Strategy (STATUS) Contract No. 513689 University of Northumbria, Newcastle	6th Framework Programme	26.929 € (ICLEI) 495.861 € (total)	03/2005
“Managing Urban Europe 25” Grant Agreement No. 07.0308/2004/396123/SUB/D 4 Contractor: Union of Baltic Cities	DG Environment Framework for Urban Sustainability	149.162 € (ICLEI) 1.528.633 € (total)	01/2005
“Coordination of Urban Green Days” 07.0402/2005/SI2.403072/MAR/A1	DG Environment Service Contract	49.220 €	03/2005
LoGoWater: Towards effective involvement of local government in Integrated Water Resources Management (IWRM) in river basins of the Southern African Development Community (SADC) region. Project # 003717	6th Framework Programme INCO-DEV <i>Coordination Action</i>	(ICLEI: 360.537 €) 1.149.000 € (total)	June 2005



Research for Local Action towards sustainable human settlements (RELAy)	6th Framework Programme Global change and ecosystems	299.900 € (total)	June/July 2005
Sustainable Water management Improves Tomorrow's Cities' Health (SWITCH)	6th Framework Programme Global change and ecosystems	(ICLEI: 1,461.675 €) 15.380.845€ (total)	June/July 2005

5.2 Grant applications submitted (or about to be submitted) to European Institutions, the EDF and EU Member States in the current year:

Action title and reference number	EC budget line, EDF or other source	Total budget amount (EUR)
Biofuel Cities	6th Framework Programme Sustainable Energy Systems	Not yet budgeted
EU-Asian dialogue and cooperation - comprehensive assessment in peri-urban water management" (PERIUWA)	AsiaProEco Programme Operational and Practical Dialogue	74.794 €
LAP-WASSA: Local Governance and Action Planning for Water Supply and Sanitation in Uganda and Tanzania	ACP-EU Water Facility Ref.: 354	1.448.530 € (ICLEI: 358,450 €)

### III. PARTNERS OF THE APPLICANT PARTICIPATING IN THE ACTION

#### 1. Description of the partners

This section must be completed for each partner organisation within the meaning of section 2.1.2 of the Guidelines for Applicants. Any associates as defined in the same section need not be mentioned. You must make as many copies of this table as necessary to create entries for more partners.

	Partner 1	Partner 2
<b>Full legal name (business name)</b>	Municipality of Ancona	City of Stockholm
<b>Nationality</b>	Italy	Swedish
<b>Legal status</b>	Public body	Municipality
<b>Official address</b>	P.za XXIV Maggio, 1 – 60100, ANCONA, Italy	Stadshuset 105 35 Stockholm, Sweden
<b>Contact person</b>	Mr. Pier Roberto Remitti, Head for Environment Office	Cecilia Uddenfeldt
<b>Telephone number</b>	+39 071 222 2671 +39 348 155 3975	+46 8 508 210 40
<b>Fax number</b>	+39 071 222 2676	+46 8 508 21 099
<b>E-mail address</b>	piero.remitti@comune.ancona.it	Cecilia.uddenfledt@alvsjo.stockholm.se
<b>Number of employees</b>	900 ca.	45 452
<b>Other relevant resources</b>		
<b>Experience of similar actions, in relation to role in the implementation of the proposed action</b>	INNOPB AsiaUrban project with the Perak State (Malaysia)  Adriatic Action Plan 2020 – InterregIIICeast co-founded project	The City of Stockholm has significant experience with the implementation of disaster risk reduction initiatives including the development of emergency response plans, warning/communication systems, public education, as well as post-trauma assistance.
<b>History of cooperation with the applicant</b>	A very long relationship in various project. Last one is MUE25, co-founded by DGEnvironment of EC, on the implementation of Environmental management	The city of Stockholm is for many years a member of ICLEI, and has a long history of cooperation with the organisation in international



	System. Moreover, Mr. Emilio D'Alessio, Deputy Mayor of the Municipality of Ancona, is a member of the ICLEI Steering Committee	projects.
<b>Role and involvement in preparing the proposed action</b>	Sharing and suggestions for the project mainstreaming	Sharing and suggestions for the project mainstreaming
<b>Role and involvement in implementing the proposed action</b>	The city of Ancona will contribute to the project by bringing their first hand experience and expertise on coastal zone management, disaster risk management and participatory process.	The city of Stockholm will contribute to the project by bringing their first hand experience and expertise on the topics above that are of the foremost relevance for the process being developed in Phuket

	<b>Partner 3</b>	<b>Partner 4</b>
<b>Full legal name (business name)</b>	City of Phuket	Asian Disaster Preparedness Center
<b>Nationality</b>	Thai	International organisation based in Thailand
<b>Legal status</b>	Local Government	Inter-governmental
<b>Official address</b>	Phuket City Hall 52/1 Narisorn road, Phuket, Thailand	Asian Disaster Preparedness Center
<b>Contact person</b>	Miss Somjai Suwansupana	Mr. Aloysius Rego
<b>Telephone number</b>	+66-76-211-174	+66 2 516 5900-10
<b>Fax number</b>	+66-76-213-374	+66 2 524 5350 or 5360
<b>E-mail address</b>	<a href="mailto:mayorsomjai@hotmail.com">mayorsomjai@hotmail.com</a> c/c: <a href="mailto:tasaneetu44@hotmail.com">tasaneetu44@hotmail.com</a>	<a href="mailto:ajrego@adpc.net">ajrego@adpc.net</a>
<b>Number of employees</b>	1029	52
<b>Other relevant resources</b>	The City will provide office space for the implementation of the project, as well as Equipment, and access to its extensive manpower	

<b>Experience of similar actions, in relation to role in the implementation of the proposed action</b>	Work with the community to promote Healthy City	<p><b>Asian Urban Disaster Mitigation Program (AUDMP)</b> The goal of the program is to reduce the disaster vulnerability of urban populations, infrastructure, critical facilities, and shelter in selected cities throughout Asia.</p> <ul style="list-style-type: none"> <li>• Bangladesh Urban Disaster Mitigation Project (BUDMP)</li> <li>• Indonesia Urban Disaster Mitigation Project (IUDMP)</li> <li>• Lao PDR Urban Disaster Mitigation Project (LUDMP)</li> <li>• Kathmandu Valley Earthquake Risk Management Project (KVERMP)</li> <li>• Sri Lanka Urban Multi-Hazard Mitigation Project (SLUMDMP)</li> <li>• Thailand Urban Disaster Mitigation Project (TUDMP)</li> </ul> <p><b>Capacity Building in Asia using Information Technology Application (CASITA)</b> : to build capacity on modern disaster mitigation tools, as part of the existing Asian Urban Disaster Mitigation Program (AUDMP), targeted at reducing disaster vulnerability of urban regions in Asia.</p>
<b>History of cooperation with the applicant</b>	The City of Phuket is a member of ICLEI's City for Climate Protection Campaign	Joint development of initiative on Safer Sister Cities on Recovery
<b>Role and involvement in preparing the proposed action</b>	The City of Phuket held a consultative workshop to identify the needs and the priorities for action. These were then reflected in the design of the proposal.	Consultative writing
<b>Role and involvement in implementing the proposed action</b>	The City of Phuket will be the main beneficiary of this action, and it will also contribute with its experience, and facilitate the access to relevant stakeholders	Collaboration and implementation

**Important:** This application form must be accompanied by a signed and dated partnership statement from the main applicant and from every partner, in accordance with the model provided on the next page.

## 2. Partnership statement<sup>5</sup>

A partnership is a relationship of substance between two or more organisations involving shared responsibilities in undertaking the action funded by the EC. To ensure that the action runs smoothly, the EC requires all partners (including the lead applicant that signs the contract) to acknowledge this by agreeing to the principles of good partnership practice set out below.

### *Principles of Good Partnership Practice*

1. All partners must have read the application form and understood what their role in the action will be before the application is submitted to the EC.
2. All partners must have read the standard grant contract and understood what their respective obligations under the contract will be if the grant is awarded. They authorise the lead applicant to sign the contract with the EC and represent them in all dealings with the EC in the context of the action's implementation.
3. The applicant must consult with its partners regularly and keep them fully informed of the progress of the action.
4. All partners must receive copies of the reports - narrative and financial - made to the EC.
5. Proposals for substantial changes to the action (e.g. activities, partners, etc.) should be agreed by the partners before being submitted to the EC. Where no such agreement can be reached, the applicant must indicate this when submitting changes for approval to the the EC.
6. Before the end of the action, the partners must agree on an equitable distribution of equipment, vehicles and supplies for the action purchased with the EU grant among local partners situated in the target countries. Copies of the transfer titles must be attached to the final report.

### *Statement of partnership*

We have read and approved the contents of the proposal submitted to the EC. We undertake to comply with the principles of good partnership practice.

Name:	Wolfgang Teubner
Organisation:	ICLEI – European Secretariat, GmbH
Position:	Executive Director
Signature:	(see original in attach)
Date and place:	

<sup>5</sup> To be provided by the applicant and each partner in all cases. Please ensure that the full page template is used.