



## **Programme Proposal**

**Turkish – Swedish Partnership for Local Governance**

**Tuselog**

**2011 – 2015**

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## **Revised proposal, December 2011**

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## **1. Introduction**

This proposal for a new programme of bilateral cooperation between the Swedish Association of Local Authorities and Regions (SALAR) and the Union of Municipalities of Turkey (UMT), and Swedish and Turkish local authorities, follows four years of implementation of the tusenet project, from October 2006 to October 2010 and extension until March 2011. The proposal is presented jointly by SALAR and UMT, institutions that have cooperated since 2002.

The content of the proposal is founded on priorities of UMT as outlined in its Strategic Plan 2010 – 14<sup>1</sup>, as well as discussions and a Logical Framework Approach (LFA) workshop held between SALAR and UMT executive staff, and the membership of both organisations, during the period October 2010 – March 2011. Suggestions and requests expressed by Sida have been taken into consideration during the development of this proposal. The programme is designed to ensure relevance, feasibility, sustainability and cost efficiency; these factors are considered throughout this proposal but are dealt with specifically in Section 2.

## **2. Background**

This section provides background information on recent developments in Turkish local administration, UMT and SALAR as the primary partners, as well as progress made under tusenet and other local governance programmes in Turkey and some key lessons learned.

### **2.1 Recent developments in Turkish Local Administration**

Tuselog is considered highly relevant given the current process of municipal reform in Turkey, in addition to the potential role that UMT can play to support this process, following its recent organisational transformation.

We outline below some recent developments in Turkish system of local administration, which justify the relevance of a new programme of cooperation with UMT.

#### **New Laws**

The introduction of a ‘package’ of new legislation (Municipalities; Metropolitan municipalities; Special Provincial Administrations; Unions of Local Authorities; and Public Financial Management and Control) in Turkey was followed by the development of a draft strategy on local administration with support from the EC-funded Local Administration Reform (LAR) programme.

While not always consistent, the new laws foresaw an enhanced role for democratic local decision-making and the establishment of performance targets based on various criteria including public participation.

The laws enacted in the field of local administration within the process of public administration reform are summarized in the table below:

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<sup>1</sup> A “Programme Matrix” has been developed to illustrate how the proposed activities relates to the aims and goals in the UMT Strategic Plan. See Annex 5.

Year	Law No.	Title of the Law
2004	5216	Metropolitan Municipality Law
2005	5302	Special Provincial Administration Law
2005	5393	Municipality Law
2005	5355	Law on Unions of Local Authorities
2005	5366	Law on the Conservation of the Damaged Historical and Cultural Immovable Assets through Renovation and Active Use
2008	5747	Law on the Establishment of Districts within the Boundaries of Metropolitan Municipalities and on the Amendment of Certain Laws
2008	5779	Law on the Allocation of Shares to Special Provincial Administrations and Municipalities from the General Budget Tax Revenues

The corresponding regulations enacted by the Ministry of Interior in the field of local administration within the process of public administration reform are summarized in the table below:

Year	Title of the Regulation
2003	Regulation on the Conciliation of Local Authorities
2005	Regulation on Licences for Establishment and Operation of Businesses
2005	General Regulation on the Development of Land, Housing and Office Space, Their Allocation, Renting Out and Sale
2005	Regulation on the Operation of the Municipal Council
2005	Regulation on the Operation of the General Provincial Council
2005	Regulation on Voluntary Participation to the Services of the Special Provincial Administrations and Municipalities
2005	Regulation on the Implementation of the Law on the Conservation of the Damaged Historical and Cultural Immovable Assets through Renovation and Active Use
2006	Regulation on Budget and Accounting for Local Authorities
2006	Regulation on the Coordination Centres of the Metropolitan Municipalities
2006	Regulation on Address and Numbering
2006	Regulation on the Service Units of the Metropolitan Municipalities for the Handicapped
2006	Regulation on City Councils
2006	Regulation on the Fire Departments of Municipalities
2007	Regulation on the Norm Cadre Principles and Standards for Municipalities, Affiliated Institutions and Unions of Local Authorities
2007	Regulation on Municipal Police
2007	Regulation on Procurement for the Unions Providing Services to Villages
2007	Regulation on the Norm Cadre Principles and Standards for Special Provincial Administrations
2007	Regulation on Expenditure Documentation for Local Authorities
2008	Regulation on the Employment of Workers for Temporary Worker Positions at the Special Provincial Administrations
2009	Regulation on the Amendment of the Regulation on City Councils

#### Continuation of decentralisation process

There are also a number of draft laws in the pipeline. The driving forces behind these draft laws could be summarized in the following points:

- Lack of fiscal transparency
- Deficiencies in the public services provided due to rapid urbanization, changing economic structure and regional disparities
- Need for investment in Human Resources
- Increased demand for democracy and the development of civil society

In spite of the significant number of laws, regulations and draft laws and the expectation that further decentralisation efforts will come in the near future, it is currently unclear which path the Turkish Government will follow with regard to further local government reform. The focus of the Government has been on the constitutional reform that was approved by a referendum during the autumn of 2010. The constitutional changes make possible some reform proposal that was earlier blocked by the constitutional court, as the amalgamation of municipalities. The newly elected parliament is expected to initiate the preparation of an entirely new constitution, where the regional, provincial and municipal organisation of Turkey will be an important issue. The Ministry of Interior is also preparing for changes in legislation regarding municipalities.

### **Importance of a strong representative of local government**

The new legislation supports nationwide unions in the form of UMT and the Union of Provincial Services (UPS). UMT in particular has made significant steps during the last 5 years towards becoming an independent lobbying and service delivery organisation working for, and on behalf of, Turkish Municipalities. These developments have been both timely and essential, as there is a greater emphasis on the need to support capacity building of Municipalities, whilst at the same time consultation (and lobbying) are required as the central government introduces new primary and secondary legislation rather rapidly. UMT has gained significantly from its own international partnerships with other LGAs and engagement in international alliance organisations like the Council of European Municipalities and Regions (CEMR). These partnerships can be of immense value to UMT as it takes on a more active role in policy advocacy with the central government.

### **EU integration**

The pace of the process of EU-integration has been steady but not rapid. There is a constant risk that the scepticism expressed by some EU member countries towards Turkish membership weakens the EU enthusiasm in Turkey. The very clear position of the Swedish government on this issue – with strong advocacy of the advantages of having Turkey as a member country – has been very much appreciated in Turkey and facilitates EU-related project activities. At the same time there is a growing understanding of the impacts that the very process of EU approximation brings to the local level; both in terms of demands for change, possibilities and needs to exert influence on the process. The Turkish government's decision to form a new "Ministry of EU Affairs" is a positive sign and may facilitate for UMT lift the importance of the local dimension of the approximation process.

## **2.2 Union of Municipalities of Turkey (UMT)**

UMT has its legal basis in the Law on Municipal Unions. All 2951 Turkish municipalities are natural members. The activities of the union are mainly financed by member fees which are deducted from the state transfers to the municipalities.

The highest decision-making organ is the General Assembly, which convenes every six month. The board is elected by the assembly and board members represent different political parties in proportion to their strength within the membership.

UMT headquarters is located in Ankara. The number of staff has increased significantly during the last years and is now 63 persons, more than double compared to when the tusenet project started five years ago

The intention is that staff and board shall be interacting with thematic commissions and a number of commissions have been set up. Ideally, commission members are local politicians that can play a vital role in the formulation of the Unions policies. As of today, however, the majority of commission members are technical staff from municipalities.

UMT is constantly following all legal proposals that may have effects on its members and is successful in s lobbying efforts. In 2010 the lawyers of UMT lifted 18 issues in proposed legislation regarding the local sector and managed to achieve positive changes in 13 of these cases.

Despite the large number of members and the – still – relatively small number of staff, UMT has strong interaction with its members, providing training and advisory services to local politicians and staff. The Union set up its own “Municipal Academy” in 2010 and provides on-line trainings and traditional courses, seminars and workshops.

UMT’s monthly magazine on municipal issues reaches all Turkish municipalities. Through its web site and the new web based “Municipal TV-channel”, the communicative capacity of the union have increased. To further strengthen both its communication with members and its capacity to influence the opinion and decision makers, UMT has recently decided to set up a communication department and is hiring new staff.

UMT’s mission as defined by its Strategic Plan is:

*“to assist municipalities in their capacity building activities which are necessary for them to serve efficiently, to contribute to the strengthening of local democracy; to help them on developing by putting the innovations in the municipal area into their agenda; to represent them in national and international platforms, make their voice heard, safeguard their rights and benefits.”*

The Strategic Plan includes the following aims:

1. To improve the institutional capacity of our Union in terms of human resources, organizational structure, physical and technical facilities.
2. To protect the rights and benefits of our municipalities in the national decision making processes, to improve their responsibilities in accordance with the principle of subsidiarity.
3. To constitute appropriate mechanisms for training, information, consultation and coordination for the aim of supporting the municipalities to work more efficiently and productively.
4. To represent the municipalities by national and international institutions and organizations; to form collaborations and enhance them.
5. To increase the internal and external communication for realization the mission of the Union.

UMT's recent organisation development including the formulation of its Strategic Plan ensures that a programme like Tuselog will be feasible and well-implemented.

### **2.3 SALAR and SKL International**

Swedish Association of Local Authorities and Regions (SALAR) represents all of Sweden's 290 Municipalities, 18 County Councils and 2 Regions. The Association strives to promote and strengthen local self-government and the development of regional and local democracy.

SALAR advocates the interests of its members and offer them support and services. It raises issues, act vigorously and works to shape public opinion. Its mission is to provide Municipalities and County Councils with better conditions for local and regional self-government, and its vision is to develop the welfare services and quality of life. SALAR has established forums and work methods that develop the commitment, interest and participation of its members and the general public with respect to a wide range of social issues. Among other things, SALAR's services include:

- Keeping members well informed
- Providing advice
- Operating as a national forum for members
- Pursuing development projects together with members

Many decisions taken by the European Union affect local and regional government in Sweden. This is why SALAR aims to play an active part in European politics. It is active in a number of different platforms and organisations on European and international level.

SKL International is one of Sweden's leading consultancy companies in the field of local and regional democracy. Its goal is to support the development of local democracy and well-functioning local and regional administrations and public administration reforms in developing and transitional countries. The company has extensive experience in a number of core areas connected to the performance of the sub-national levels of government: local democracy and governance including municipal management and service delivery; local and regional development; decentralisation policies; support to local government associations; European integration related services and training and capacity building related to these areas. SKL International holds a valid framework contract to provide services in international development cooperation for, and on behalf of, SALAR.

SALAR and SKL International both support the development of LGAs in EU-integration, neighbourhood and developing countries, through projects financed by Sida and other international development donors. In addition to UMT, for example, SKL International is currently providing support and advice to the Unions of Provincial Services (UPS) in Turkey, the Albanian Association of Communes (AAC) and the Standing Conference of Towns and Municipalities (SCTM) in Serbia, among others.

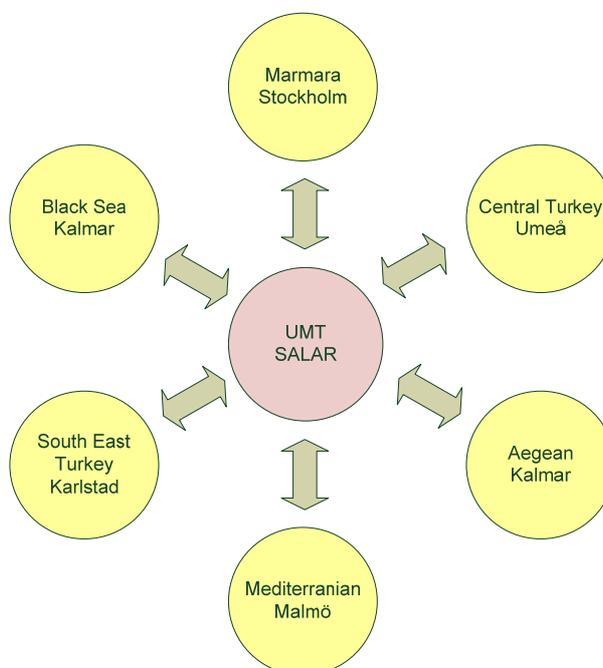
The internal and external resource base of SALAR and SKL International ensures that the capacity development needs of UMT, and Turkish and Swedish Municipalities, will be met. Another factor that will ensure feasibility is that Tuselog will be managed by an implementation team that has significant experience of working together under tuset and other initiatives.

## 2.4 Municipal Partnership Networks (tusenet)

In spring 2006, Sida approved a 4-year project between Swedish and Turkish municipalities and between the SALAR (through its company for international project implementation, SKL International) and the Union of Municipalities of Turkey (UMT). Within the framework of Swedish cooperation efforts to promote closer links with European structures and common values, the Municipal Partnership Networks – Swedish-Turkish Local Administration Cooperation (tusenet) had two important objectives to promote Turkish municipal reform and to build UMT capacity.

The tusenet project started in autumn 2006. Six Swedish-Turkish municipal partnership networks were created – each composed of one Swedish municipality and 3-5 Turkish counterparts. The networks were organised and developed for structured exchange of thematic experience. A seventh network was established between SALAR and UMT, with the stated purpose of the Organisational Development (OD) of UMT. All partnerships successfully elaborated project work plans, which were then implemented during the period August 2008 – February 2010. Seven partnership products have since been elaborated that will be utilised by UMT during and beyond tusenet’s completion date of October 2010. The process has included a focus on national policy advocacy and dissemination of best practice, whereby working groups have been formed involving relevant ‘external’ stakeholders whose views and participation would be of importance to lift the products from the local/regional level to the national stage.

Following a Mid-Term Review (MTR) in 2008, the project Steering Committee outlined a series of actions that would highlight the centrality of UMT for lessons-learning, including an Organisational Development (OD) review that examined UMT preparedness to lobby on behalf of, and represent, its members in municipal reform negotiations.



Following the appointment of a new Board in March 2009, and with subsequent SALAR inputs to support the development of a UMT Communications Strategy, UMT developed its own Strategic Plan 2010 – 14 and municipal partnership strategy. As well as focussing on the continued organisational development of UMT, the Strategic Plan prioritises UMT’s

lobbying role, further development of training and advisory services, the enhancement of its representational role and its internal and external communications.

For the last year of tusetnet, it has been considered essential to put extra emphasis on issues related to EU-integration, gender equality and lobbying within the UMT-SALAR partnership. In addition to a workshop on EU-integration in December 2009, project activities include: on-the-job training for UMT staff at SALAR's representative office in Brussels; study visits to municipal associations in new EU-member states (Romania and Poland); and a study visit to Stockholm on SALAR's approach to lobbying and advocacy. In addition, the project received additional funding for: (i) the development of a publication and further capacity building activities on Turkish Municipalities and UMT preparedness for EU accession; (ii) the formation of a gender working group to support UMT capacity and the scaling-up of gender mainstreaming projects in Municipalities; (iii) additional capacity building on internal lobbying processes and specific support to UMT lobbying on fiscal decentralisation.

Final reporting of the tusetnet project was presented to Sida in June 2011. The following results had been observed:

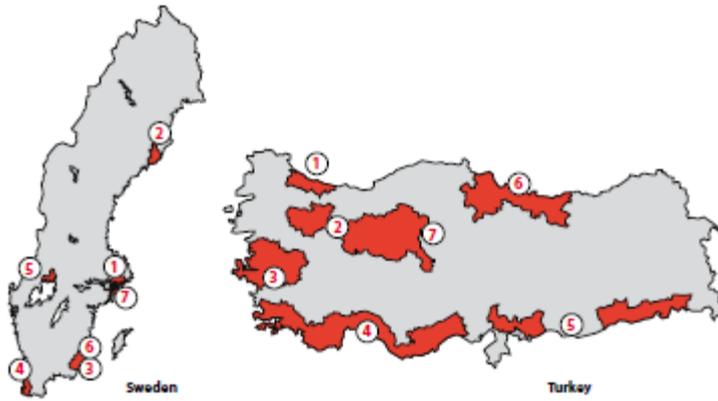
<b>Results</b>	Results that bear the characteristics of intermediate outcomes are presented in <i>italic</i> .
1. Know-how regarding good local management practices among local officials and staff <b>strengthened</b> .	<ul style="list-style-type: none"> <li>- 7 products taken up by UMT. 2 more ready to be published.</li> <li>- 1 national workshop on product.</li> <li>- 3 products planned to be transformed to training concepts.</li> <li>- <i>18 examples of changed practises and/or policies in partnership municipalities in line with the thematic work with the products</i></li> <li>- 297 municipal politicians/staff exposed to good management practice and EU accession topics/challenges.</li> </ul>
2. A clearer view of the division of responsibilities and powers between local politicians and staff <b>achieved</b> .	<ul style="list-style-type: none"> <li>- 14 instances of dialogue on division of responsibilities.</li> <li>- <i>At least 4 examples of changed practices.</i></li> </ul>
3. Good practices in human resource management <b>developed</b> .	<ul style="list-style-type: none"> <li>- HR-management tools produced in partnership.</li> <li>- <i>At least 3 examples of changed practices.</i></li> </ul>
4. Participation of citizens and civic organizations in local decision making and activities <b>strengthened</b> .	<ul style="list-style-type: none"> <li>- Handbook on Sustainable Tourism stressing Triple Helix Co-operation published</li> <li>- Spin off project on participative practises implemented.</li> <li>- Experiences from municipalities included in UMT twinning strategy</li> <li>- At least 16 instances of civic participation.</li> <li>- <i>5 examples of changed practises regarding civic participation</i></li> </ul>
5. Capacity of UMT to safe-guard municipal interests and adequate resources for their tasks and services <b>strengthened</b>	<ul style="list-style-type: none"> <li>- UMT capable of directing the process of take-up, also including refining and disseminating handbooks and guidelines.</li> <li>- <i>16 ODR recommendations reflected in new UMT strategy or implemented on beforehand of strategy.</i></li> <li>- Experiences from study tours and seminars taken up in UMT work</li> <li>- <i>13 fruitful UMT lobbying issues in 2010</i></li> <li>- 2 products on municipal financing as input to proactive lobbying</li> </ul>
6. Knowledge in municipalities about EU practices and how to access EU-funding <b>enhanced</b> .	<ul style="list-style-type: none"> <li>- 10 applications for EU-funded projects in tusetnet municipalities, resulting in <i>8 approved projects</i>.</li> <li>- <i>Further 3 successful applications for funding from</i></li> </ul>

	<p>programmes in EU member states.</p> <ul style="list-style-type: none"> <li>- Municipal staff/politicians in 11 municipalities exposed to EU-funding mechanisms.</li> <li>- 1 UMT informative activities on EU accession impact on municipalities.</li> <li>- 4 partnership products based on EU-norms.</li> <li>- 100 out of 136 respondents indicates satisfactorily enhanced knowledge</li> </ul>
A. Gender equality <b>explained and stressed</b> in partnerships.	<ul style="list-style-type: none"> <li>- <i>UMT Gender Working Group set up, trained and functioning independently from project.</i></li> <li>- 9 minor research projects based on 3R methodology</li> <li>- 3 national trainings on gender issues</li> <li>- <i>4 examples of changed municipal practises</i></li> <li>- Increased female participation in the activities of 4 partnerships.</li> </ul>
B. Sustainable development <b>stressed</b> in partnerships	<ul style="list-style-type: none"> <li>- 3 partnership themes on sustainability issues</li> <li>- Municipal staff/politicians exposed to sustainability issues in all partnerships.</li> <li>- 5 partnership products relevant to sustainability taken up and disseminated by UMT.</li> <li>- <i>4 examples of changed municipal practises</i></li> </ul>
C. Transparency, accountability, ethics and public participation in local administration <b>stressed</b> in partnerships. *The issue of participation is reported upon above under the 4th result.(	<ul style="list-style-type: none"> <li>- 1 partnership theme on these issues</li> <li>- 1 partnership products relevant to these issues taken up and disseminated by UMT.</li> </ul>
D. Efficient service production <b>stressed</b> in partnerships	<ul style="list-style-type: none"> <li>- 22 municipal staff/politicians exposed to trainings on this issues.</li> <li>- 1 partnership product relevant to this issue taken up and disseminated by UMT.</li> </ul>

## 2.5 Municipal partnerships between Sweden and Turkey

The box and map below indicates the partnerships and thematic issues that have been included in the tusenet project:

Partnerships	Profile issues
<p><b>1</b> Stockholm – Istanbul, Büyükçekmece, Zeytinburnu (Marmara region) Also participating in the work: Nacka Municipality in Greater Stockholm and Adalar Municipality in Metropolitan Istanbul (which are twin cities)</p>	Environmental protection, technical infrastructure, sewage, waste and recycling management
<p><b>2</b> Umeå – Altındag, Tepebasi, Yildirim, Nilüfer, Osmangazi (Central Turkey)</p>	Taxes, charges, budgeting, financial follow-up and monitoring, as well as skills and leadership development.
<p><b>3</b> Kalmar – Karsiyaka, Bornova and Manisa (Aegean region)</p>	Cooperation in higher education, the business sector and the public sector (triple helix). Sustainable tourism.
<p><b>4</b> Malmö – Antalya, Mugla and Tarsus (The Mediterranean region)</p>	Sustainable social, economic and environmental Development.
<p><b>5</b> Karlstad – Gaziantep, Osmaniye, Midyat and Sirnak (South East Turkey)</p>	Town planning, land use, risk management
<p><b>6</b> Kalmar – Samsun, Amasya, Giresun and Ordu (Black Sea Region)</p>	Local economic development and growth, support for small and medium-sized enterprises, employment and tourism.
<p><b>7</b> SALAR – UMT (Not part of the assignment)</p>	Organisational development



## 2.6 Other local governance programmes in Turkey

EC and the Ministry of Interior (General Directorate of Local Authorities, GDLA) introduced in 2009 a second phase of LAR support with the overall objective to ensure effective, transparent, inclusive and participatory local government, in particular through full implementation of the new legislation. In this regard, LAR II aims “to develop and strengthen the administrative capacity and co-operation of Turkish Ministry of Interior (particularly GDLA, Governorships and District Governorships), Unions of Local Authorities and Local Authorities themselves in the task of ensuring the effective implementation of new policy and legislation on local administration”. LAR II is expected to finish in November 2011. The project has been working directly with UMT on issues like communications, municipal twinning and gender work. There has been good coordination between tuseten and LAR II and the project has been using expertise from SALAR and SKL International.

A new EC programme on ‘Improving participatory strategic governance at local level’ commenced in August 2011. This programme is expected to support the Ministry of Interior to scrutinise the implementation of participatory mechanisms at a local level including strengthening mechanisms to encourage the direct involvement of citizens in the decision-making processes. The programme will also support the Ministry in the implementation of the new legislation related to participation, transparency and accountability at the local level in 26 local government units around Turkey.

Local Governments – East (LOGO – EAST) Turkey Programme is a programme of cooperation between UMT and the Association of Municipalities of the Netherlands – International Cooperation Agency (VNG International). LOGO – East-I was started in June 2006 and accomplished in November 2007. Within the context of the programme 11 projects were carried out through the town-twinning relations instituted in-between the 8 Dutch municipalities and 9 Turkish municipalities. The Programme of LOGO - East-II Turkey, was started implementing in June 2008, and the whole process under this project will be completed in November 2009. In the context of this programme, 10 projects have been executing between the Turkish and Dutch municipalities.

Promotion of International Partnerships between the Turkish and Spanish Municipalities, this project has been realized by the UMT in cooperation with Federation of Spanish Municipalities and Provinces (FEMP) Federation (July 2008 and November 2009), within the framework of Civil Society Dialogue between Turkey and the European Union – Towns and Municipalities Grant Scheme Program.

## 2.7 Lessons learnt and application for Tuselog

The details of tuset activities and achievements are available in progress reports and the final project report submitted in June 2011. This section outlines some of the most important lessons from tuset and how these will be applied (specifically with regard to sustainability and cost efficiency) on Tuselog.

**Ownership:** tuset proved that ownership on both a political and administrative level was essential for ensuring the success of project interventions. This was the case both for UMT and SALAR, and for the partnership networks. A defining point for this change came following the mid-term review of tuset, where SALAR committed more dedicated resources to the partnership and project management, and where UMT began to take a more active interest in the potential benefits of its partnership with SALAR. The municipal networks themselves also took on a more active role, once they received support to definition of partnership work plans (including the establishment of goals for clear and tangible products), in addition to clear structures and timeframes for reporting.

**Sustainability:** UMT does not face the usual concerns that other LGAs face regarding financial sustainability, since by law it generates income directly from the budgets of its members. This system is not expected to change in the near future. UMT's Strategic Plan represented a milestone in terms of operational sustainability, as UMT began to move away from a project-based agenda, to one that become more defined by members and the rapidly-changing policy context following the introduction of the new package of laws in 2003 – 05. This progress will need to be maintained, but UMT must seek to redress some of challenges that still exist to the development of its human resources. For the partnership networks, it is clear that in the short- to medium-term, there still exists a financial base for continued partnerships through donor-financed cooperation projects. However, there are some core challenges to operational and fiscal decentralisation that UMT must begin to address through lobbying. Furthermore, efforts need to be made to support the development of capacities to access EU funds, if UMT is to achieve its (longer-term) goal of enabling Turkish Municipalities to access IPA, and eventually, EU structural funds. The results of the tuset project are likely to be highly sustainable when they relate to institutional development, changed practises and changes in mind sets. They do not depend on further Swedish input. On the other hand, the relations, the trust and the momentum achieved during the project make possible even stronger development in a new project based on the UMT strategic plan. In the same way, the Tuselog programme is designed to leave sustainable results. There should not be a need for continued support to uphold the outcomes, but it is anticipated that the close relations between the different partners will outlive the programme and – eventually – be seen as important assets that could be of use in further developmental activities.

**LGA decision-making structures:** Any intervention supporting new or emergent LGAs must focus on building and supporting appropriate structures for the internal decision-making (professional forums, committees, etc.) so that they take on a proactive and targeted approach to policy formulation. While UMT received limited exposure to SALAR's political structures through tuset, it has since been exposed to a wider range of practices through its inclusion in global and pan-European local government alliances like UCLG and CEMR. This has served to generate further interest in developing UMT's policy-formulation and decision-making structures. Tuselog will therefore seek to respond to this demand by addressing this issue in more detail through technical assistance to UMT committee structures and processes.

**Lobbying:** UMT has been successful in its lobbying in reaction to legal proposals from the government and/or the parliament. Late experiences from the tuset project show that UMT is ready to take on the challenge of proactive lobbying. The response to the studies on intergovernmental financing produced within tuset showed a way forward, were long term lobbying issues are based on studies, analysis and the political concertation. Tuselog will respond to this challenge by (i) support UMT in the development of a lobbying model (ii) support UMT with specific studies as input to proactive lobbying (iii) support UMT in the development of their own research capacity based on both internal and external experts and (iv) support UMT in the development of institutionalised arenas for exchange between local and central government.

**Partnership building:** UMT has learnt numerous lessons from partnership programmes like tuset. These lessons are reflected in UMT's Partnership Strategy. While the process of identifying and supporting the early stages of partnerships cooperation project is further outlined in Section x below, the most important issue to recognise is that it takes time and effort to build consensus and political, and in turn to develop a partnership project with clearly-defined goals and expected outcomes. The requirements that this places on project management cannot be understated, with preparatory input required for the definition of partnership criteria, themes and templates, development of structures and requirements for project design, implementation and reporting, introductions and consensus-building, training and support on project development (including horizontal issues), budget definition, etc.

**Partnership themes:** Experience from tuset suggests that partnership themes should not sit in isolation, but should instead be useable for policy dialogue and dissemination of best practice. The definition of partnership themes should therefore take a lead from priorities that have been identified by UMT within the Turkish municipal reform process. This may include projects seeking to support enhanced democracy and participation (arena building, participatory budgeting, e-petitioning, etc.), municipal finance, strategic/organisational/human resource development and, as with tuset, specific technical themes that relate to the roles assigned to Municipalities within the Turkish (primary and secondary) legislation.

**Engagement of other actors:** UMT has good experience from supporting the expansion of single municipal partnerships into networks that engage 3-4 other municipalities, professional organizations or civil society actors. When taking up the work and products developed by the partnerships, UMT has also engaged other stakeholders and/or experts; universities, government bodies etc. This approach brings with it a whole range of opportunities, not least the enhancement of opportunities for regional development and accessing EU funds. Tuselog will seek to apply a similar approach whereby both UMT and SALAR are active in making recommendations to broaden partnerships through the inclusion of other local authorities, regional and service unions, professional organisations, universities, NGOs, etc.

**Horizontal themes:** While tuset was successful in addressing a range of horizontal issues, much more could have been done to support the integration of horizontal themes into partnership networks. Tuselog will therefore introduce training on a range of horizontal issues into the early partnership preparations (as outlined above). This training will be expected to reflect on a national context analysis for each specific horizontal theme. The issues to be consider within the framework of Tuselog may include, but not necessarily be

limited to, EU integration (including access to EU funding), gender equality, transparency, and accountability, sustainable development and efficient service delivery.

**Coordinator profiles:** tusenet experienced difficulties where the assigned human resources for a given partnership were insufficiently prepared or qualified to work in an international project environment. Language was also a critical factor; successful outcomes were most evident when both sides of a partnership were able to communicate with each other in Swedish, Turkish or English. While UMT support to English training will again be useful, it is essential that the expected profile and skills sets for partnership coordinators is identified from the outset by the project management. Expected requirements can then be used as a condition for approval of project proposals. By getting communications right at an early stage, the project will save a significant amount of time and resources.

**Capacity building:** tusenet employed a range of approaches to support capacity building. For the partnerships, exposure through study visits was considered extremely valuable, both in the early stages and later as more specific information was sought. Training within partnerships was also considered valuable, but for Tuselog the concept for training within and between partnerships should be further developed. Hands-on technical assistance (provided either by SALAR or external experts) and exposure to third country experiences became an important element of the UMT-SALAR partnership.

**Project Management:** Experiences from the tusenet project show that strong project management and coordination is crucial for projects results. This is particularly true regarding the processes of connecting municipal partnerships to desired outcomes at the national level. It is also evident that the formulation, planning, implementation and follow up on inputs from international expertise require lots of coordination and project management presence to convert into really fruitful exchange. The experiences that have been built up both in Sweden and in Turkey during the first partnership project will be very useful in the implementation of Tuselog. Together with the clear visions expressed in UMT's strategic plan, the leverage of such inputs will be of great value, if directed in the right way. Communication between the different actors in the tusenet project was hampered by distance and of language barriers. Where these hinders were overcome, project output and outcome came quicker and was more useful to others.

**Budget:** The tusenet project was relatively well funded and was given an extensive flexibility to adapt the budget to the development of the project. This was of great importance for project results. In general, travel costs and other reimbursable cost was over-estimated in the budgets, partly because of a wish to prevent shortage of financing, should prices and/or exchange rates change unfavourably, partly because of the level of cost-awareness shown by project partners. The fact that UMT and the participating Turkish municipalities provided both financial and in-kind resources to project activities was also crucial (and a good sign of the level of importance attached to the project by the Turkish partners). On Tuselog, UMT will continue to finance certain specific costs associated with training of Turkish participants. Tuselog will adopt a slightly different approach to tusenet by financing nominal costs associated with the engagement of a number of Turkish municipal coordinators.

**Cost efficiency:** The utilisation of national and municipal experts under tusenet ensured significant cost efficiency, since it was possible to engage these experts at relatively inexpensive rates specifically by replacing salary costs rather than paying consultancy fees. In addition, the utilisation of internal communication networks of two nationwide LGAs in

UMT and SALAR meant that it was possible to ensure that both time and cost could be reduced. Tuselog will follow a similar approach by utilising a combination of SALAR, international, municipal and local experts. Furthermore, since the internal communications of UMT have now been significantly enhanced, further cost efficiency can be expected.

### 3. Project proposal

This section explains the intervention rationale, programme modality, role division, identification of beneficiaries, horizontal themes and the approach to programme inception, planning, progress review and reporting.

#### 3.1 Intervention rationale

The Swedish Policy for Democratic Development and Human Rights (2010–2014) seeks to raise the ambition of Swedish development cooperation and clarify its aims regarding the goal of democratic development and respect for human rights in developing countries. The policy places special emphasis on: (i) civil and political rights; (ii) the institutions and procedures of democracy and the rule of law; and (iii) actors of democratisation. The basic position adopted by the Swedish Government with regard to the rights perspective and its implementation are to be applied across all sectors of development cooperation. In order to achieve the best possible results in its development cooperation efforts, Swedish aid should be placed in the context of each partner country's political situation, specific history, traditions, power structures, values and culture.

Sida's Gender Policy argues that gender equality is a crucial element in efforts to reach sustainable democratic development. In this regard, it states that Sida should reinforce equal rights to, and participation in, political, economic, religious and social life and decision making for women and men, girls and boys. Sida should therefore actively combat gender-based discrimination in order to promote equal participation and democracy. While Sida support on political empowerment has traditionally been targeted at central-level institutions, practice in existing EU-member states highlights the importance of working towards gender equality at a local level. This is now recognised in the *gender acquis*, which makes gender equality a part of EU-accession negotiations.

Sweden's new Strategy for Development Cooperation with Turkey 2010 – 2013 focuses on democracy, human rights and gender equality. Specific aspects of the Strategy support the goal of continued partnerships between Turkish and Swedish actors at the regional and local level:

“Part of Sweden's support will be directed at strengthening Turkey's public administration at central, regional and local level...Programme-based approaches should be the starting point for the preparations of all Swedish contributions...Budget support is not considered to be an option...Support to actor-driven cooperation between Swedish and Turkish actors may be provided to complement project and programme support. The purpose of this support is to maintain and develop long-term development cooperation relationships between Sweden and Turkey.”

UMT have expressed interest in entering into a new phase of cooperation with SALAR. This is considered to be attractive for the following reasons: (i) the current partnership under *tusenet* has been overwhelmingly positive; (ii) UMT has made significant strides in its own organisational development since 2009; this is expected to have long-term implications on the process of municipal reform in Turkey; (iii) the existence of UMT's new Strategic Plan creates clear in-roads for programme support; (iv) there is a strong likelihood of positive cooperation and complementarities with other donor and Government initiatives.

UMT occupies a relatively new position as a lobbying organisation and its expanded role in the provision of services to members has only just begun to take shape. Early Sida investments through tusetnet have contributed significantly to this situation, with SALAR-UMT partnership supporting UMT developments in a number of ways. Given the huge challenges and expectations that lie ahead with regard to its expansion and the implementation of its new strategy, UMT would like to retain SALAR as an advisory partner.

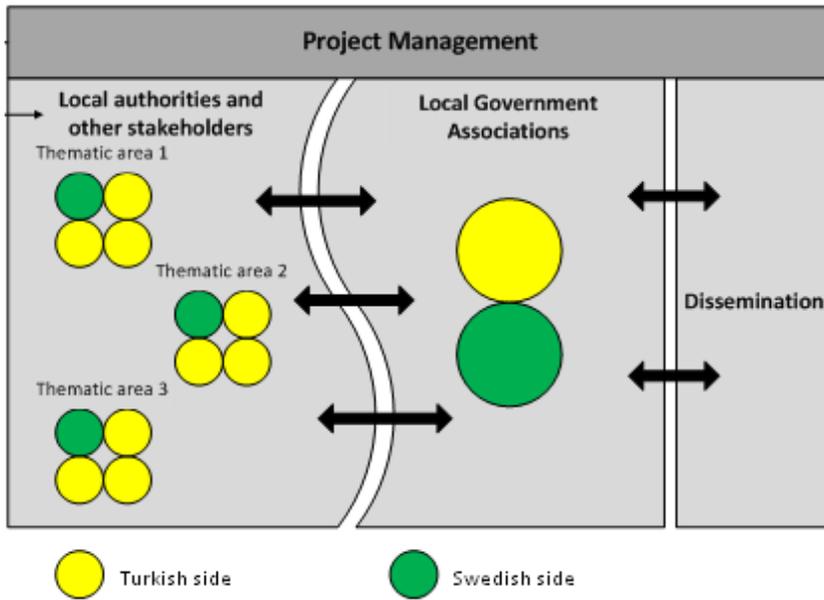
Since 2005, Turkey has entered into an intense reform process which brings with it the possibility of enhanced democratic norms in local and national decision-making. Municipalities need a strong organisation to represent them as this process unfolds. The challenge for an organisation like UMT representing 2951 Municipalities in Turkey is immense, and further assistance can therefore support its ambition to more comprehensively represent its members.

The EU approximation process has implications for the Municipalities of Turkey that should not be underestimated. This calls for adequate preparations by UMT and its members. It also requires that UMT can position itself strategically, both in domestic and international EU-negotiations. It is important for UMT to be able to orient its members on certain policy issues of concern, upon which EU-accession will have an implication. Finally, UMT aims to provide a stronger base of support to its members in accessing EU funding opportunities. Partially with support from tusetnet, but largely under its own impetus, UMT has begun to address these issues. During 2011 UMT is implementing an EU oriented project together with the Turkish Secretariat General for EU Affairs, which includes a visit of Turkish mayors to Brussels and a visit to the SALAR representative office to the EU. In coordination with other efforts, SALAR can offer further advice and support from its own experience of supporting its own members and preparing for Sweden's EU-integration process in 1995.

Bearing these factors in mind, it is anticipated that a new SALAR-UMT programme will contribute significantly to the municipal reform process in Turkey by further enhancing UMT's role in Turkish local governance, both in its relations with its members, the central Government and other important stakeholders. The new programme is foreseen to take place during a four-year period between November 2011 and October 2015.

### **3.2 Thematic Local Cooperation**

UMT and SALAR envisages a programme which includes a component targeted towards thematic local cooperation. This is an approach which seeks to build partnerships between (networks of) local government units in developing, transition and EU-integration countries on the one hand, and Swedish local and regional authorities on the other. Each partnership network works towards a specific theme and goal. 'Horizontal' issues influence partnerships. Local Government Associations (LGAs) often play a key role, particularly regarding the integration of other actors, dissemination of experiences and identification of potential issues for policy dialogue and lobbying.



Thematic areas are usually outlined taking several factors into consideration:

- National development strategies and policies and the role for local authorities in the fulfilment of these strategies;
- Demand for regional development and thematic cooperation in a given country or region;
- Priorities, strengths and weaknesses identified by LGAs and their members in the concerned country, and Sweden.

Topics are identified where the partnerships can be most fruitful. Below are a few examples of the types of themes that can be explored through thematic local cooperation.

<b>Examples of Themes</b>	
<p><b>Economic Opportunities</b>                      Local economic development                      Tourism                      Local business climate</p>	<p><b>Sustainable Development</b>                      Environmental protection                      Water management                      Waste management                      Risk Management                      Urban Planning</p>
<p><b>Knowledge, Health, and Social Development</b>                      Youth                      Education                      Culture and leisure                      Healthcare                      Social assistance</p>	<p><b>Democracy, Human Rights and Equality</b>                      Transparency                      Participation                      E-government                      Social inclusion                      Gender equality                      Participatory budgeting</p>
<p><b>Management and Organizational Development</b>                      Financial management                      Human resource development</p>	<p>Results-based management                      Strategic planning</p>

### 3.3 Actor-Driven Cooperation and Programme Approach

Sida’s Guidelines on Programme-Based Approaches (PBAs) define PBA as a “way of engaging in development cooperation based on the principle of coordinated support for a locally owned programme of development, such as a national poverty reduction strategy, a sector programme, a thematic programme or a programme of a specific organisation”. Being of specific relevance for Tuselog, its Guiding Principles state that:

- The partner’s results analysis and planning cycle should be the point of departure for Sida’s analytical work and dialogue.
- Sida should link its financial commitments to the partner’s results framework and budget cycle.

UMT and SALAR foresee a programme aimed at further supporting the process of decentralisation and municipal reform in Turkey through the implementation of UMT’s Strategic Plan 2010 – 14. As a form of actor-driven cooperation, the programme will seek to engage Turkish and Swedish partners in flexible networks that may reflect different levels of local and regional authorities and associations.

In addition to targeting municipal services, the networks will be expected to develop projects aimed at adopting various tools for citizen’s dialogue and participation in decision-making. The programme will also allow for a focus on organisational development of municipalities, in order to develop a better understanding of the challenges and opportunities of Municipalities. This will be especially important for UMT.

The emphasis will be on engaging UMT and SALAR as advisory partners to each network, as this will ensure that: (i) successes can be disseminated and scaled-up; (ii) UMT can capture

inconsistencies in the legislation from implementation at the local level; (iii) both SALAR and UMT can contribute to networks with wider examples from within their respective memberships; and (iv) UMT knowledge, capacities and networking will be enhanced.

A central partnership is again envisaged between UMT and SALAR; priorities will be based on the new UMT Strategic Plan 2010 – 14. This will support a programme-based approach through alignment of activities according to UMT strategic priorities, but also because the continued development of UMT capacities with regard to representation, advocacy, member services and communications will allow for further inroads into municipal reform through dialogue with the Ministries and other stakeholders in the sector. (See the annexed “Programme Matrix” for details on how the proposed programme fits with the different aims and goals of the Strategic Plan.)

Themes for the UMT-SALAR partnerships will include, but may not necessarily be limited to: further organisational development of UMT (including support to strategy implementation and monitoring); support to further capacity development of UMT with regard to advocacy and communications; EU integration preparations and dialogue (including further support to access EU funds, regionalization, support to the establishment of a representational office in Brussels, etc.); and the development of tools for gender mainstreaming and participatory local democracy as a potential member service.

The period 2009 – 10 has seen a greater convergence between different reform initiatives in the sector, not least tusenet and LAR II. A successful future intervention will therefore need to build on tusenet’s successes in close cooperation with other interventions targeting municipal reform and preparedness for EU-integration.

### **3.3.1 Modality**

Tuselog will be a programme that operates according to a project management modality. Core inputs will come in the form of technical assistance and knowledge-exchange between both sides.

Tuselog could in principle begin by December 2011. It would include a 6-month inception phase, followed by a 42-month implementation phase that would finish in autumn 2015. The implementation phase will cover the UMT’s Strategic Plan period, plus an additional period to support the formulation of a new Strategy and the organizational changes that derives from project activities. During the final year it is also expected that the results/products from the municipal partnerships will be refined and converted to useful tools for other municipalities through the training and dissemination activities of UMT.

An appropriate system will be developed to support UMT in undertaking a detailed review of achievements towards the Strategic Plan that engages a range of stakeholders. As per Sweden’s cooperation strategy, this should: “strive to make more extensive use of the country’s and organisations’ systems for planning, implementation and monitoring.”

Lessons from Tuselog implementation will be developed into best practice guidelines, to be utilised by UMT in national policy dialogue.

### **3.3.2 Division of roles**

As a form of actor-driven cooperation, SALAR and UMT will take responsibility for different aspects of programme management. The programme will therefore operate according to a principle of close collaboration between two partners continuously striving for amicable and effective cooperation in order to reach optimal results.

SALAR will identify a responsible Project Manager. It is envisaged that a Programme Coordinator and a Programme Assistant will also be recruited. The Programme Coordinator and the Programme Assistant will perform an important liaison function between Turkish and Swedish Municipalities, as well as other relevant actors, provide support to experts and contribute to reporting on activities and outputs. The Programme Coordinator will be fluent in Swedish, English and Turkish. The exact roles of the different functions will depend on the profiles and capacities of the persons recruited and specified during the inception phase.

To facilitate the practicalities for international experts, the programme coordinator and visiting members from the programme management team, there is a need for an office space with internet access, telephone etc. This space will be provided by UMT.

On the Turkish side, the key actors will be the staff of UMT, specifically those working in the legal, services, communications and training departments. It is foreseen that the responsibility for communication with the programme management lays with a UMT-coordinator from the department of international relations, as was the case during the tuset project. To facilitate coordination between the different UMT- departments during the implementation, UMT intends to set up a Project unit with participants from concerned departments. The unit will also deal with other projects where UMT is involved. The project assistant, paid for by the project, will be placed in the unit. While the Board has political responsibility for UMT's work, and the Secretary General will have primary main responsibility for the implementation of UMT's Strategic Plan, within the framework of the programme both the political and administrative leadership of UMT will play a role both as decision-makers and participants in capacity building initiatives.

While UMT will take responsibility for the fulfilment of its own Strategic Plan, SALAR will be responsible for ensuring a qualitative input and outcome for all project activities. It will mainly be the responsibility of SALAR to identify experts, based on their suitability to perform required tasks. International and local experts can also be proposed by UMT. International and local experts shall be selected based on merits and track record to be supported by their CVs and possibly other references. As a preparation for each expert assignment Terms of Reference (TORs) will be produced by SALAR in agreement with UMT.

A Memorandum of Understanding between UMT and SALAR, specifying the roles and inputs of the partners will be developed and signed during the inception phase. The two organisations both favour a set up resembling the one applied to the tuset project, with the Swedish partner being Sida's contractual partner. One of the important strengths of UMT is its financial capacity, which allows the union to focus on the lobbying and service delivery functions of its members, rather than developing an organisation focused on project management.

### **3.3.3 Beneficiaries**

Aligning with national and Swedish development priorities, the programme will seek (where possible) to work with local and regional authorities in the 'economically weakest parts of Turkey'. Programme activities are also aiming at this target group indirectly, through the foreseen studies and lobbying related to intergovernmental financing, especially when it comes to horizontal equalisation issues.

The long-term beneficiaries of the programme are the citizens of Turkish Municipalities. The project has the aim to strengthen local government through UMT in a way that will have lasting effects on their citizens. This is a way to secure understanding of the work of the UMT, also at the grassroots level, and thereby strengthen loyalty in its activities. More specifically, the programme will support Municipalities by strengthening the capacity of executive and political leadership to make service delivery by Municipalities more efficient.

The operational staff of UMT, politicians and, not least, the civil servants of the Municipalities will be specifically targeted in the programme. Interventions will have a practical approach with the aim to address concrete challenges faced by the beneficiaries. Gender equality will be emphasised as a requirement for partnership cooperation.

### **3.3.4 Horizontal themes**

As with tuset, a number of horizontal issues will be addressed. These will include EU integration, gender equality, sustainable development, citizen's dialogue, etc.

Experiences from tuset include both mainstreaming of horizontal themes and specific activities. Examples of mainstreaming are i.e. a survey made on women's perceptions and priorities regarding safety when dealing with urban planning and the direct inclusion of EU norms, when developing guidelines for solid waste and energy planning.

By mainstreaming these issues in project implementation, there will be tangible experiences and examples to build on for UMT and the municipalities that will facilitate the inclusion of these perspectives in all kinds of activities. There will also be specific activities related to most of the horizontal themes (especially gender mainstreaming and EU integration) in order to further strengthen the capacity of UMT and its members to work with these issues.

During the inception phase, expertise will be made available to supporting the mainstreaming of these concepts into partnership work plans, and the formulation of clear objectives, activities and indicators. It is anticipated that special sessions will be given as part of the early training workshops for twinning project proposal development.

#### 4. Objectives, Activities and Expected Results

This section describes the overall framework for the programme. The objectives, purposes, expected results and planned activities for the first year are expected to remain as outlined in this proposal. However, given the rapidly-changing policy and legislative environment of Turkish local administration, as well as UMT's own transition and organisational development, a degree of flexibility will be required. It is therefore anticipated that there may be some adjustments to the activities outlined in this proposal for subsequent years.

Since the terminology used by different international development donors for the Logical Framework Approach (LFA) and Result Based Management (RBM) often varies, UMT and SALAR will apply the language most commonly used by Sida and outlined in the OECD/DAC publication "Glossary of Key Terms in Evaluation and Result Based Management" for the implementation, monitoring and evaluation of Tuselog. LFA terminology will therefore include overall objectives, purposes, expected results and activities. During implementation the corresponding RBM terminology will be used. (See 4.3.3 Result Based management below.)

##### 4.1 Overall Objective

The *overall objective* of the programme is:

***To contribute to enhanced local governance in Turkey***

##### 4.2 Purposes, Expected Results and Activities

By completion, it is expected that the programme will have achieved two *main purposes*:

- 1) Strengthened capacity of UMT (in line with UMT Strategic Plan)
- 2) Improved municipal capacity to provide services in the areas of civic participation, gender mainstreaming, organisational development, service delivery and planning and partnership themes.

Indicators and sources of verification for the purposes and the expected result are presented in the LFA Matrix in Appendix 1.

It is anticipated that, for each Purpose, the following Expected Results will be achieved:

###### Purpose 1: Strengthened capacity of UMT

UMT has received support towards its own organisational development from tuset and LAR2. These have been well-received and UMT has made significant progress during recent years. Given the overwhelmingly positive cooperation climate and political support for cooperation between UMT and SALAR, it is therefore considered pertinent to continue to build on UMT's organisation development, focussing on the following Expected Results.

Expected Result 1.A: Strengthened Institutional and Organisational Capacity at UMT in the areas of planning, human resource management, advisory services, committee structures and internal communication

Expected Result 1.B: Enhanced UMT capacity to promote and safeguard municipal interests in relation to national decision making processes

Expected Result 1C: Strengthened UMT capacity to address EU integration preparations

Purpose 2: Improved municipal capacity to provide services

Many lessons have been learnt from tusenet and other cooperation programmes regarding the establishment of municipal partnerships within Turkey and between Turkish Municipalities and those in other countries. This is a priority area for UMT which is identified in its Municipal Partnership Strategy. In addition, UMT has been working increasingly closely with its members on a number of different themes, but it recognises that more can be done to understand their needs, and support them with training in specific competence areas where Municipalities are now expected to, or can decide to, operate. These include, but may not necessarily be limited to, organisational development, gender mainstreaming, participatory approaches, etc. Given the above, this component will work towards the following Expected Results.

Expected Result 2A: Municipal partnerships developed in accordance with UMT prioritized themes

Expected Result 2B: Strengthened capacity in (selected) Turkish Municipalities in the areas of civic participation, gender mainstreaming, organisational development, service delivery and planning

The programme will be expected to achieve clearly-identified results according to the above five Result Areas. In the Logical Framework (Annex I), the activities and expected results are completed with indicators tracing the results and sources of verification. At the Purpose level, the following indicators have been outlined:

At the Result level, numeric indicators will be compared to the situation before the project started (baseline) and/or reflect the development during the programme, where applicable.

Please note that the names of the five Expected Results have been shortened below to ensure that they can be understood in an easier way. For the purpose of monitoring and progress review, the above names will be retained.

**4.2.1 Result 1A: Strengthened UMT organisational capacity**

Most of the planned activities for the first year follow naturally the support provided by tusenet and LAR II to UMT's organisational development. As well as the staff of UMT and SALAR, it is anticipated that these activities will also involve political and administrative representatives from UMT and SALAR.

**Activities**

**To be included in the tentative Work Plan year 1**

- 1.A.1 Undertake study visit for political and legal staff of UMT to enhance knowledge on committee structures
- 1.A.2 Provide technical assistance input regarding UMT committee structures and processes (decision-making etc). Provide training to committees
- 1.A.3 Provide training and advice for new Communications Department at UMT
- 1.A.4 Provide Job Placement (communications)
- 1.A.5 Provide experience and expertise on LGA planning
- 1.A.6 Provide technical assistance to develop capacity of internal communication during planning process

1.A.7 Provide technical assistance to develop a human resource policy, including legal barriers (note; activity to be continued year 2-4)

**Tentative Work Plan year 2-4**

1.A.8 Provide technical assistance and conduct organisational review (incl. baseline info on institutional and organisational capacity)

1.A.9 Provide training of UMT training department

1.A.10 Train UMT related politicians regarding 1) system and 2) leadership

1.A.11 Provide Technical assistance and conduct workshop on UMT-Regional Union Cooperation/Regional Development Agency

1.A.12 Provide advice on utilising UMT assets and develop model/structure for fees

1.A.13 Evaluate training and TA, lessons learned and results dissemination

**4.2.2 Result 1B: Enhanced UMT lobbying/service capacity**

UMT has begun to accumulate knowledge in the area of representation, but the establishment of effective structures and approaches for lobbying and advocacy within a LGA takes time and usually requires support in the form of exposure and mentoring. This is particularly evident for LGAs that seek to follow and address a rapidly-changing policy context with a relatively fragile human resource base. Again, most of the planned activities for the first year follow naturally the support provided by tusetnet to UMT's lobbying capacities. Late tusetnet experiences prove the viability of activities where fine-tuned expert inputs result in studies and analysis that forms the basis for UMT policy decisions and action plans. This Result area aims simultaneously at capacity building and concrete changes in the conditions for Turkish municipalities, as well as the development of institutionalized structures for interaction between UMT and central government.

**Activities**

**Tentative Work Plan year 1**

1.B.1 Conduct a UMT Member Survey (note: to be used among other things as baseline for follow-up of indicators)

1.B.2 Produce specific input/reports to support UMT lobbying i.a. a study on municipal debts and a study visit to Poland to learn from the institutionalized interaction between local and central government

1.B.3 Provide technical assistance to UMT departments regarding work with committees

1.B.4 Supply other technical assistance to UMT departments on request from UMT (note; activity to be continued year 2-4)

1.B.5 Conduct peer exchange between UMT and SALAR experts on i.a. municipal statistics (note; activity to be continued year 2-4)

**Tentative Work Plan year 2-4**

1.B.6 Develop UMT lobby model

1.B.7 Develop UMT Member Service Policy

1.B.8 Develop training programme on SALAR's municipal database reports

1.B.9 Evaluate training and technical assistance, lessons learned and results dissemination

**4.2.3 Result 1C: Strengthened EU integration capacity of UMT**

Over the last few years, UMT has become increasingly active in the area of international representation, particularly concerning the EU approximation process. This is evident from its engagement in international alliance organisations like the Council of European Municipalities and Regions (CEMR). UMT has also recently entered into cooperation with the Secretariat General for EU Affairs (SGEU), which has itself expanded to take on a more important role in Turkey's EU-integration process.

In the latter stages of tusetnet, support was provided to develop a publication outlining the likely consequences of EU-integration for Turkish Municipalities. This was based on similar preparations by SALAR in the build-up to Sweden's EU-integration in 1995, which led to a much larger Government-commissioned study.

The next step during the first year of Tuselog will be to support the development of an EU Working Group, which can begin to play a more central role in analysis and representation of UMT on EU-integration. There is a significant amount of other initiatives planned for the coming years, but the extent to which these are explored will depend to a large extent on the process of Turkey's EU-integration.

### **Activities**

#### **To be included in the tentative Work Plan year 1**

- 1.C.1 Re: Access to EU funds: Research and Situation Analysis
- 1.C.2 Establishment of EU Working Group
- 1.C.3 Technical assistance to EU Working Group (note; activity to be continued year 2-4)
- 1.C.4. Conference: Coordinate with other incentives and arrange a conference with UMT Members on EU.

#### **Tentative Work Plan year 2-4**

- 1.C.5 Provide Technical support to strengthen UMT role in order to enhance municipal preparedness regarding EU accession process
- 1.C.6 Conduct Study visit to Brussels (incl. UMT, EUSG, MoI etc)
- 1.C.7 Arrange job placement in Brussels for selected, qualified persons
- 1.C.8 Training; coordinate with other incentives; then design training of UMT staff and members in order to increase capacity how to access EU funds
- 1.C.9 Provide TA to specific municipalities regarding how to write EU proposals
- 1.C.10 Design a pilot on how to integrate and deepen EU relations at local level (based on exchange and the Åmål experience)
- 1.C.11 Lobby for IPA funds
- 1.C.12 Evaluate training and TA, lessons learned and dissemination of results

#### **4.2.4 Result 2A: Municipal Partnership Networks**

UMT and SALAR have good experiences from establishing municipal partnerships through a range of programmes. Nine Swedish Municipalities (including the five from tusetnet) have previously had or are currently entering into partnerships with Turkish Municipalities, and it can be anticipated that more interest will be generated through Tuselog.

Lessons from tusetnet and other programmes indicate that partnership building takes time. Furthermore, it is clear that outcomes will be more tangible if the right level of input is provided to the early development of partnership projects. In addition, the expectation and conditions for engagement in partnerships need to be established clearly from the outset.

The first year of Tuselog will therefore be used to develop a clear procedure for the establishment and selection of Municipal Partnership Networks. It will also be used to arrange introductory sessions and training, so that high-quality project proposals can be developed, submitted and evaluated.

When selecting the Partnership Networks, two sets of criteria will be used. The first set relates to capacity and clarity in formulating project ideas. The expected quality of the outputs is the centre of around which these criteria are placed. The second set relates to plurality. Criteria will secure that a reasonable variation in geography, demography, size and political majority is achieved.

It is expected that a number of the Swedish and Turkish municipalities with partnership experiences will express interest to continue cooperating under the Tuselog programme. To

widen the circles, efforts will be made to create interest within a larger group of municipalities and prepare them for the partnership process. An event will also be held to bring together Municipalities who have expressed interest, in addition to Municipalities who already have existing partnerships.

### **Activities**

#### **To be included in the tentative Work Plan year 1**

2.A.1. Develop manual on "Partnership Procedure" including templates for:

- Expression of Interest (Eoi), including thematic themes for partnerships etc.
- Project/programme proposal
- Reporting format
- Budget
- Result Matrix to report objectives/expected results/achievements (RBM)

2.A.2 Expression of Interest from Turkish and Swedish Municipalities

2.A.3 Capacity building, training etc of selected Turkish and Swedish Municipalities

2.A.4 Development and submission of partnership project proposals from municipalities

#### **Tentative Work Plan year 2-4**

Support through provision of TA; and Monitoring and Evaluating the implementation of partnerships/twinning cooperation between Turkish and Swedish Municipalities.

To be defined further in work plans year 2-4.

#### **4.2.5 Result 2B: Strengthened capacity in selected Turkish Municipalities**

While UMT has supported its members through Municipal Partnerships and specific training, it recognises that more can be done to understand their needs, and support them with other specialised training in specific competence areas where Turkish Municipalities are now beginning to operate.

To capitalise on some of the key outputs from tusetnet, it is anticipated, that support will be provided during the first year of Tuselog to develop specialised training programmes on Urban Planning, Arena Building and Solid Waste Management. During subsequent years it is anticipated that UMT will receive technical assistance on themes such as organisational development, gender mainstreaming, participatory approaches, etc.

### **Activities:**

#### **To be included in the tentative Work Plan year 1**

2.B.1 Develop training programme on Urban Planning

2.B.2 Develop training programme on Arena Building

2.B.3 Develop training programme on Solid Waste Management

#### **Tentative Work Plan year 2-4**

2.B.4 Organisational Review of selected Municipalities

2.B.5 Further development of Gender Working Group

2.B.6. Develop training programme on Disadvantaged Groups (gender, handicapped etc) at municipal service level

2B.7 Produce Handbook Participatory Techniques

2.B.8 Train and coach on Participatory Techniques

2.B.9 Establish Network on Participatory Budgeting

2.B.10 Evaluate training and technical assistance, lessons learned and dissemination of results

### 4.3 Approach and Methodology

#### 4.3.1 Inception Phase

The inception phase will be utilised to: (i) Develop project management instruments (Global Work Plan, first Annual Work Plan, etc.); (ii) ‘bridge’ key activities carried out at the close of tusenet related to EU-integration, gender and lobbying; (iii) prepare the Partnership Procedure Manual (including structures for proposal, reporting, selection criteria, etc.), and launch a call for expressions of interest from interested Municipalities; (iv) prepare a package of training to ensure that twinning projects respond to demands for result-based management; (v) develop a model for the design of training programmes on former tusenet themes; (vi) streamline planned activities to UMT follow-up on its Strategic Plan.

#### 4.3.2 Project implementation

The inception phase will include a number of project management arrangements including office setup, recruitment of staff and formation of steering committee. There will also be a project management workshop including finalisation of work plan etc. During this phase the partnership component will get its final design and be launched. There are also a number of recent tusenet activities that will be further developed during the inception phase, thereby serving as a bridge between the two projects.

Implementation approaches includes technical assistance, partnership, training, other capacity building and exposure, study tours, job placement, peer review, mentoring, etc.

This diagram illustrates the phasing of inputs:

#### Inception and Implementation Phase



### 4.3.3 Result-Based Management (RBM)<sup>2</sup>

RBM provides a management framework and tools for strategic planning, risk management, performance monitoring through indicators and evaluation. Its primary purpose is to improve efficiency and effectiveness through organisational learning, and to fulfil accountability obligations through performance reporting. Monitoring and evaluation (M&E) systems and the managements actions taken on information provided, are fundamental in RBM.

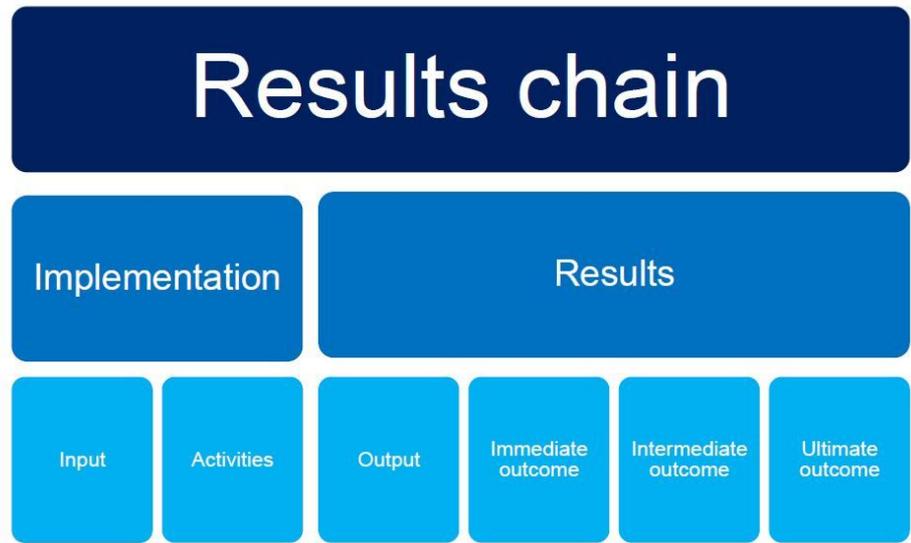
Traditional M&E systems focus on monitoring and evaluation of resources used, activities and what the activities produced (ie. output). They do not attempt to measure change achieved at the level of impact (ie. development effects).

Results based M&E systems combines the traditional approach with the continuous assessment of results, development effects during implementation. It links both implementation progress with fulfilment in achieving desired objectives of, for example, policies and programmes. The RBM approach follows why and how results<sup>3</sup> (immediate, intermediate and ultimate outcome) happen or do not happen allowing concerned organisations to modify and make adjustments in the planned logic model during implementation. This promotes effectiveness and

enhances the probability of achieving actual long term development and the desired change in a given society. The traditional model of M&E systems does not monitor or collect such data, or encourage adaptation to reality.

In line with Sida's interpretation of RBM, the Log Frame Approach (LFA) should be seen as an integral tool in RBM, specifically for i.) ensuring participative and logical programme/project planning ii.) comprehensive presentation of the logical structure iii.) presentation of final results.

The LFA matrix (Appendix 1) has been developed by UMT and SKL for these purposes.



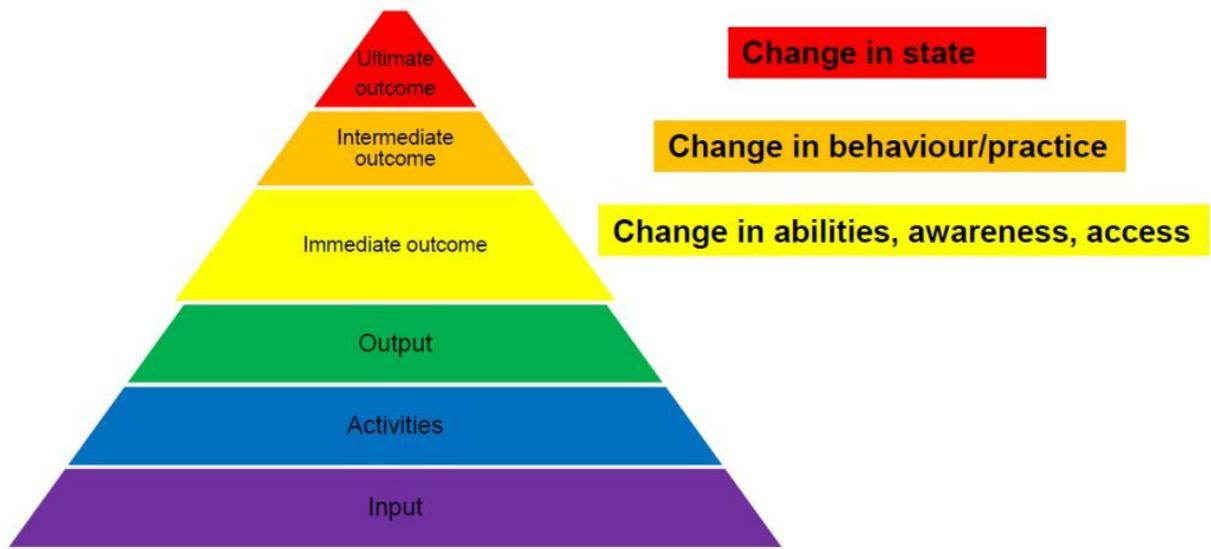
**Input** = the financial, human, and material resources used for the intervention.  
**Activity** = actions taken or work performed through which inputs are mobilized to produce specific outputs.  
**Output** = the products, capital goods and services which result from an intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.  
**Immediate/Intermediate outcomes** = the likely or achieved short-term and medium-term effects of an intervention's outputs.

<sup>2</sup> "How can public institutions work effectively achieving results and long term development? Planning and managing through LFA & RBM" (2010), Pia Sarsarsson Cameron, Stockholm International Consulting Group; J.Z. Kusek & R.C. Rist (WB); W. Meier (CIDA).

<sup>3</sup> OECD, *Glossary of Key Terms in Evaluation and Results Based Management*

For the management of the programme, the LFA-matrix will be converted into dynamic documents that ensure a continuous monitoring of the connexions between input, activities, outputs, immediate outcomes and intermediate outcomes. Thereby, the project management will be able to make adjustment during implementation to strengthen the results of the programme.

This approach supports project management to maintain a high degree of result orientation during the implementation and to explain to partners, stakeholders, experts and Sida how each activity is linked to the expected results.



#### 4.3.4 Planning, management, progress review and reporting

At the beginning of each year UMT and SALAR will jointly develop a work plan which outlines a timeframe for the implementation of all project activities. The work plan provides more details for the coming year and broad indications for the coming years.

SALAR and UMT will produce an inception report after 6 months, and subsequent annual reports for the remainder of the programme. Reports will follow an RBM approach and include a Result Matrix, so that the project management can follow implementation in an effective way. A Programme Steering Committee will be formed that will meet on (at least) an annual basis. It will include among its members representative from UMT and SALAR. Other actors may be invited to participate as Observers in Steering Committee meetings, if deemed necessary and/or appropriate. The Steering Committee will use RBM as a management strategy, which will support a more effective use of (financial and human) resources and contribute to long-term development by: managing the programme in an effective, transparent way; planning correctly, formulating objectives/goals; monitoring - collecting data / measuring results / indicators; assessing, reporting, disseminating and learning from results; managing and acting upon results and supporting institutional learning.

As with tusenet, a special effort to detect (long-term) developments in participating Turkish municipalities will be made through a methodology with interviews focusing on perceived changes.

It is anticipated that a Mid-Term Review and Final Evaluation of the programme will be organised. We foresee that these activities are organized by Sida, thereby respecting the different roles of the financing and implementing actors.

## **5. Results, assumptions and risks**

### **5.1 Long-term Outcome**

Ultimately the programme aims to improve conditions for the citizens in Turkish Municipalities. Chapter four describes activities whose results can be achieved during Tuselog. Although not all anticipated outcomes will be measurable during the actual project period, once UMT and its member have been able to absorb the results from the programme, it is anticipated that long-term outcome will become tangible.

If implemented and absorbed properly the interventions from a range of as-yet-unidentified partnership projects may have wide-ranging implications, both through selected and horizontal themes. Furthermore, specific training inputs and support to pilot Municipalities on organisational development, gender mainstreaming, participatory approaches are expected to generate long-term outcome, especially given UMT's commitment to these particular themes.

Based on the evidence of the last 2 – 3 years, the continued organisational development of UMT itself (specifically its representation and lobbying role) and the rapidly-evolving policy context within which it is operating, may have further-reaching implications on the process of decentralisation and democratisation in Turkey. When it comes to EU-accession the envisaged result of the programme is that the UMT will become more involved in debates on the impact of EU-membership for the Municipalities.

### **5.2 Assumptions**

The effective implementation of Tuselog relies on a number of assumptions. Firstly, that the regions bordering Turkey remain stable and that any instability does not impact negatively on Turkish development and the adherence of democratic principles. With its special focus on EU-accession preparations, Tuselog also assumes that EU will remain committed to further integrating Turkey in EU structures, and that Turkey in turn stays committed to the process of EU-integration. Even in the unlikely case of the Turkish government opting for a halt in EU membership negotiations, project focus and activities are relevant – firstly because it could be assumed that a halt would not be an overnight process and that UMT's members would want to put forward a local position on the matter. Activities focusing on taking up best practices in EU countries, adapting to EU norms and accessing EU funds would also continue to be relevant also after a breakdown of the negotiations.

Political influences must not interfere or disrupt proper functioning of UMT decision-making bodies. Efficient project implementation and impact of activities assume genuine commitment and engagement by UMT Board members and active participation by the UMT and SALAR leadership.

Another important assumption is that UMT's leadership remains committed to the implementation of its current strategy and its current organisational development progress. In this regard, Tuselog assumes that there will be stability both at the level of the administrative management of UMT, as well as resolving some of its human resource challenges. One of the planned activities aims specifically at strengthening human resource framework and policies in UMT and municipalities.

For the activities to have an impact it is also necessary that Mayors and Municipality staff in both countries make adequate time to get involved in Tuselog activities also during central and local elections.

Turkish local elections will be held during spring 2013. Although efforts will be made to anchor Tuselog priorities in wide circles in participating municipalities, experiences from tusetnet shows that changes in political leadership may lead to decreased interest in project activities and changes in staffing. The outcome of the elections may also lead to changes in UMT political leadership. The proportional structure of the UMT board and the wholehearted support for the Strategic Plan in the General Assembly make drastic changes in the level of commitment to the Tuselog program activities less probable.

The current process of preparations for a new constitution, as well as proposals that might be prepared within the Ministry of Interior are assumed to contain more of possibilities than risks for the project outcomes. The very idea of UMT's efforts to safe-guard municipal interests focuses on lobbying such processes. Both UMT and SKL have developed good relations with the General Directorate of Local Administrations (GDLA) within the ministry and it is foreseen that the programme will produce inputs and facilitate exchanges that assures that municipal interests will be known and respected in the reform processes.

### **5.3 Risks**

Global economic uncertainty and a potential or perceived backlash concerning recent EU-members may influence EU to slow down the process for new entrants. While Sweden is generally supportive towards the idea of Turkish EU-integration, this is not the case with all existing EU member states, neither is it completely clear that the process is supported fully within Turkish society. That said, the EU-integration activities are for the time being relevant and supportive of, for example, Turkish Municipality aspirations to access EU funding instruments. The process of capacity building in this regard, can only be considered helpful for UMT and its members.

Tuselog assumes the commitment and involvement of local government politicians in both countries, whose agendas are difficult to influence. It is anticipated that a heightened role for SALAR within Tuselog (compared to tusetnet) may support the wider engagement of Swedish Municipalities.

The level of ambition of the Tuselog in combination with the relatively small human resource base of the UMT creates a risk that the project will put too heavy a workload on its staff, in addition to giving UMT operations too much of a 'project focus'. To mitigate this risk, UMT plans to set up a project unit with representatives from various departments of the union to handle this and other projects. Since a large part of the activities under the purpose to *Strengthen UMT capacity* relate primarily to the enhancing the ordinary operations (i.e. as foreseen by its Statute), it is anticipated that Tuselog will function more as a support than an 'obstacle' to UMT. Furthermore, it is thought that the selection of a well-qualified Programme assistant will relief UMT of some of the burden of work under the purpose to *Improve municipal capacity to provide services*. In addition, as several activities will be implemented as expert inputs that the UMT would normally purchase externally this is expected to reduce the demand on UMT staff time. Given the need for a broad resource base, it is anticipated that UMT will continue to form strategic alliances with different partner organisations in specific competence areas.

#### **5.4 Exit strategy:**

In many projects a specific “Exit Strategy” is formulated to assure that structures and results that have been built up during the intervention are sustainable in the long run. The strategy often implies a gradual decrease of the budget during the last years of activities. In this project, UMT finances all its activities with its own resources. Through the specific Turkish Law on Municipal Unions all municipalities are natural members of UMT and their member fees are deducted from the transfers of funds from the central government. The financing of UMT is therefore stable and sufficient.

The basis for the proposal is UMT’s own problem analysis, which led to the formulation and adoption of the Strategic Plan. In a joint process between UMT, SALAR and representatives of Swedish and Turkish municipalities the areas where the implementation of the Strategic Plan could be supported by Swedish interventions were identified. Further; experiences from the earlier project “Tusenet” were used to identify problem areas during implementation that had to be addressed during the formulation of the programme.

The activities are aimed to build capacity within UMT and a number of municipalities, develop tools and methodologies and strengthen institutional structures. With a stronger institutional structure, enhanced capacities and methodologies and the secure flow of financial resources that UMT is assured, there will be sufficient resources in UMT after the end of the programme to make sustained use of the project results.

## 6. Budget

The Tuselog budget is based on the experiences from the tusenet projects. It is the understanding of the project partners, UMT and SALAR, that UMT will continue to take financial responsibility for activities related to training of Turkish municipalities, whereas the project budget will cover the Swedish input to the trainings, as well as cost for translation and interpretation.

The budget is arranged by the type of costs rather than the distribution of costs to the different result areas, as activities inevitably will be adapted to the developments. Never the less the comments attached to the budget gives an idea of how costs will be distributed between areas as expert input to UMT, municipal partnerships and project management, as well as some indications on distribution across result areas.

Based on the tusenet experiences, the Tuselog project is designed to have strong management, coordination and liaison structures.

In Sweden, there will be a Programme Manager s responsible for the overall management and coordination of the project. The Project Manager will be supported by a backstopping function that provides advice and secures continuity, should the Project Manager for any reason be unable to fulfil his/her functions. Project Management will be supported by a Program Coordinator (50%) who is fluent in Swedish, Turkish and English and a Program Assistant (100%), fluent in Turkish and English, who will be facilitating communication in all partnerships, coordinating activities and handle everyday translation and interpretation tasks.

In UMT there will be a coordinator (paid for by UMT) responsible for both contacts within UMT and with participating Turkish municipalities and other Turkish stakeholders.

In each of the Swedish municipalities there will be a part time coordinator (20 percent) responsible for the Swedish input to the partnership and for partnership reporting.

In each partnership there will be one Turkish coordinator (even if there is more than one Turkish partner) responsible for coordination at the Turkish side of the partnership and with UMT, as well as for input to the partnership reporting. The Turkish municipalities providing a coordinator will get a general remuneration, approximately at the level of the cost for 25 percent of a civil servant's wage. The idea is to link certain functions i.e. reporting to a benefit, thereby making it easier to exact responsibility

Approximately 8.3 MSEK will be directed to expert input to UMT-related activities and an additional 0,9 MSEK is directed to give expert input to municipal partnership activities. Expert input to is calculated in time, without a fixed distribution across activities or result areas. The level of expert input, both SALAR, international and Turkish experts as well as expert input to partnership activities is based on the expected absorption capacity of UMT and other programme partners and the coordination capacity of the proposed programme staffing.

It is expected that expert input to UMT will be spread between the result areas 1A-C and 2B in the following proportion. The largest input (around 40 %) will be given to result 1B (Enhanced UMT lobbying/service capacity), given that the capacity to digest such input is sufficiently enhanced by programme activities and UMT: s own efforts. Expert input to this

area will be a mix of SALAR, international and local experts, hopefully with a growing role for Turkish experts that will form a growing network that could be used by UMT also after Tuselog has been completed.

The second largest input (around 25 %) will go to Result 1A (strengthened UMT organisational capacity). Here input from SALAR expertise will be of special relevance. Nearly the same amount of input (slightly below 20% each) will be directed to Result 1C (Strengthened EU integration capacity of UMT) and Result 2B (Strengthened capacity in selected Turkish Municipalities).

Result 2A (Municipal Partnership Networks) will incur costs of approximately 8 MSEK, mainly costs for coordinators, staff and politicians in the municipalities, expert support, travel, interpretation etc.

Supportive activities as *events, communication and translation, interpretation etc.* include i.e. partnership conferences, EU-related conferences, communicative activities to attract municipal interest and spread results, translation and publication of reports etc. at an estimated overall cost of 5.2 MSEK

Other reimbursable costs as travel, accommodation and allowances for experts, project coordinations etc. amounts to approximately 2.1 MSEK.

Project management, coordination and liaison include significant support to experts and partnerships in terms of briefing, quality assurance, interpretation, translation and logistics and are estimated to cost around 10.5 MSEK.

The overall budget is found in Annex 3. A budget for Year 1 (Annex 4.) has been made, based on the planned activities for that year, as outlined above. For the following years, estimations have been made that allow for a tentative planning of disbursements. These estimates are also found in Annex 4.