

# Tools to Support Participatory Urban Decision Making



United Nations Centre for Human Settlements (Habitat)



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## Foreword

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Over many years, experience has shown that cities find it useful to involve a broad range of stakeholders including the often marginalised groups in urban decision-making. Such participatory processes have yielded far reaching results in alleviating poverty and improving the living conditions in the urban environment. A wide range of participatory decision support tools have as a result been developed and practised. The United Nations Centre for Human Settlements (Habitat), through its various regional and international programmes working with cities, has been part of this experience, participating in the development, refining and application of these tools.



This toolkit to support participatory urban decision-making has been prepared as one of the flagship products of the Global Campaign on Urban Governance, a campaign led by UNCHS in collaboration with a whole range of partners. As a strategic entry point for the effective implementation of the Habitat Agenda, the development goal of this Campaign is to contribute to the eradication of poverty through improved urban governance. To this effect the campaign aims to increase the capacity of local governments and other stakeholders to practise good urban governance. The Campaign theme is *inclusiveness* which reflects both its vision and strategy. The vision is to help realise the “Inclusive City” - a place where everyone, regardless of wealth, gender, age, race or religion, is enabled to participate productively and positively in the opportunities that cities have to offer.

Participatory decision-making processes are an essential means to achieve the “Inclusive City”. This toolkit, has been designed to enhance knowledge and capacities of municipalities and those working in the field of urban governance, especially, by improving and helping to institutionalise such participatory approaches. It is, therefore aimed at contributing to the realisation of “Inclusive City”.

The element of partnership has been an integral factor to the whole Urban Governance Campaign approach. In developing the Campaign strategy, vision and a number of campaign products, a number of international and regional partners have been included. The current toolkit, while highlighting the various tools developed and applied by UNCHS over the years, has also included participatory tools developed by these Partners and benefited from their comments and suggestions.

This toolkit will contribute to the wider dialogue, advocacy and capacity-building efforts towards good urban governance. The tools contained herein will form part of an electronic database of tools encompassing various principles promoted by the Urban Governance Campaign and would be subject to regular update.

Anna Kajumulo Tibaijuka,

A handwritten signature in black ink, reading "Anna Kajumulo Tibaijuka".

Executive Director  
UNCHS (Habitat)

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## Acronyms and Abbreviations

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CC	City Consultation
CBO	Community Based Organisations
CDS	City Development Strategy
CEMIS	Community Environmental Management Information Systems
DMP	Disaster Management Programme
EMIS	Environmental Management Information Systems
FCM	Federation of Canadian Municipalities
GIS	Geographic Information Systems
GTZ	German Technical Cooperation
ICLEI	International Council for Local Environmental Initiatives
IT	Information Technology
LA21	Localizing Agenda 21
NGOs	Non Governmental Organisations
NCDO	National Committee for International Cooperation, and Sustainable Development
SCP	Sustainable Cities Programme
UG	Urban Governance
UGC	Urban Governance Campaign
UMIS	Urban Management Information Systems
UMP	Urban Management Programme
UNCHS	United Nations Centre For Human Settlements (Habitat)
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
VNG	International Co-operation Agency of the Association of Netherlands Municipalities (Vereniging Van Nederlandse Gemeenten)
WB	World Bank
ZOPP	Objective-Oriented Project Planning [ <i>Ziel-Orientierte Project Planung</i> ]

# Acknowledgement

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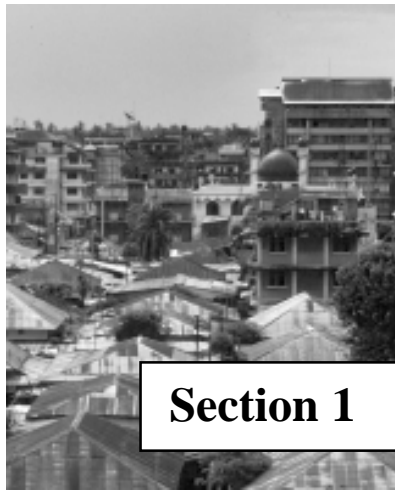
The Toolkit on Tools to Support Participatory Urban Decision-Making is the first in a planned series of toolkits designed to promote and support the urban governance campaign. It is the result of a concerted effort of a small group of UNCHS (Habitat) professionals who worked as a Flex Team over a course of one year. The Flex Team included Jean-Christophe Adrian, Liz Case, Andre Dzikus, Chris Hutton, Gulelat Kebede, Cecilia Kinuthia-Njenga, Dinesh Mehta, Chris Radford, Soraya Smaoun, Raf Tuts, Franz Vandershueren and Sara Wakeham. As members of the Flex team they brain-stormed on and ensured the design and structure of this toolkit, prepared discussion notes and met over a dozen times to discuss, enrich and strengthen the concept and tools contained in the Toolkit. Moreover they represented and shared the operational city experiences of their respective programmes - the Disaster Management Programme, Localising Agenda 21 Programme, Safer Cities Programme, Sustainable Cities Programme and the Urban Management Programme - in applying and adapting the various tools covered in this publication. The Flex Team was supported by Bridget Oballa, a national Consultant who assisted in liaising with the Flex Team members and contributed to the coordination, systematic integration of the discussion notes, writing and editing of the Toolkit.

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## Section 1



## 1.0 INTRODUCTION

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### 1.1 CONTEXT AND FRAMEWORK

**Urban Governance** is a dynamic process where competencies and responsibilities are continuously transformed, or added to the tasks of local authorities and their partners in urban management. There is also constant pressure on city managers to provide more efficient and effective responses to the needs of their cities and citizens.

New “management tools” to support processes of improved urban governance are therefore in constant demand. To meet it, a stream of guidelines and tools have been developed by local authorities, their national associations, research and capacity building groups, international organizations, and other external support institutions. The United Nations Centre for Human Settlements (Habitat), like other international organizations, has also made its contribution in this regard, especially as the focal point for implementation of the Habitat Agenda<sup>1</sup>. This has been primarily through its global and inter-regional support activities such as the Urban Management Programme (UMP), Disaster Management Programme (DMP); Sustainable Cities Programme (SCP); Community Development Programme (CDP); and Training on Local Leadership Programme.

As a result, there is a wealth of readily available tools to strengthen various aspects of urban governance. Despite their diverse origins, a large proportion of these tools are not only compatible but complementary: diverse user demands cannot be met by a single approach but judicious application of different tools, singly or in combination, will allow everyone to find what they need. Many of these useful tools remain unknown to potential users, however, because of the absence of any widely accepted and easily accessible referral system that can link users to tools and support tool use by a technical advisory/case study reference system.

The global Urban Governance Campaign<sup>2</sup> has therefore committed itself to overcome these restrictions by incrementally establishing an Urban Governance **Directory** and **Referral Facility**, which will give practitioners ready access to available tools in support of their efforts to provide good urban governance. The long term vision is for this “Directory” to be available on the UGC Website, to provide free access to tools which can be “down-loaded” to practitioners all over the world. Printed versions will also be disseminated on demand to those cities with no or little access to the Internet.

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<sup>1</sup> UNCHS is the lead UN agency and focal point for implementation of the Habitat Agenda in which governments have committed themselves to the goals of adequate shelter for all and Sustainable urban development.

<sup>2</sup> The Global Urban Governance Campaign is a global campaign by a coalition of partner programmes with Habitat as its Secretariat, aiming to realise ‘inclusive cities’ through better urban governance - participatory urban development decision making being recognised as one of the primary mechanisms to make inclusive cities a reality.





This **Directory** will provide information on a continuously growing set of urban management tools which are related to or used in the implementation of internationally accepted norms or “operational principles” of good urban governance: Civic Engagement, Equity, Transparency and Accountability, Security, Subsidiarity, Efficiency and Sustainability. By bringing information together in one place, the Directory will also help to identify gaps where tools are weak or insufficiently developed. UNCHS together with interested partners will then facilitate the development of new tools, which can be disseminated directly and through inclusion in the Directory. In time, the Directory will include a **Referral System** to identify each tool by a series of attribute descriptors, which will allow cross-referencing for ease of access. (The table below identifies possible descriptors.) Thus, a data base of tools will be developed with the descriptors as templates to guide user search and make it easier to locate tools by different categories (e.g., by decision making cycle, governance norm, thematic area, user group, primary use, geographic application level, language).

**Table 1: General Framework of Descriptors for Locating Tools**

Phase of urban decision making cycle	Urban Governance normative goals	Sector of Activity or thematic areas	Target group	Primary use	Geographic Origin - application	Language
Preparatory and Stakeholder Mobilization	Civic engagement	Management	Local authorities	Training	Global	English
	Equity	Poverty	Private sector	Direct application	Region Country	French Spanish
Issue Prioritisation and Commitment of Stakeholders	Transparency	Safety	Civic/ Community organizations	Monitoring and evaluation	City or province	Russian
	Security	Vulnerability reduction	National Public-sector institutions			Arabic
Strategy Formulation and Implementation	Subsidiarity	Economy				Chinese
	Efficiency	Environment				
Follow-up and Consolidation	Sustainability					



## **1.2** THE PARTICIPATORY URBAN DECISION MAKING PROCESS

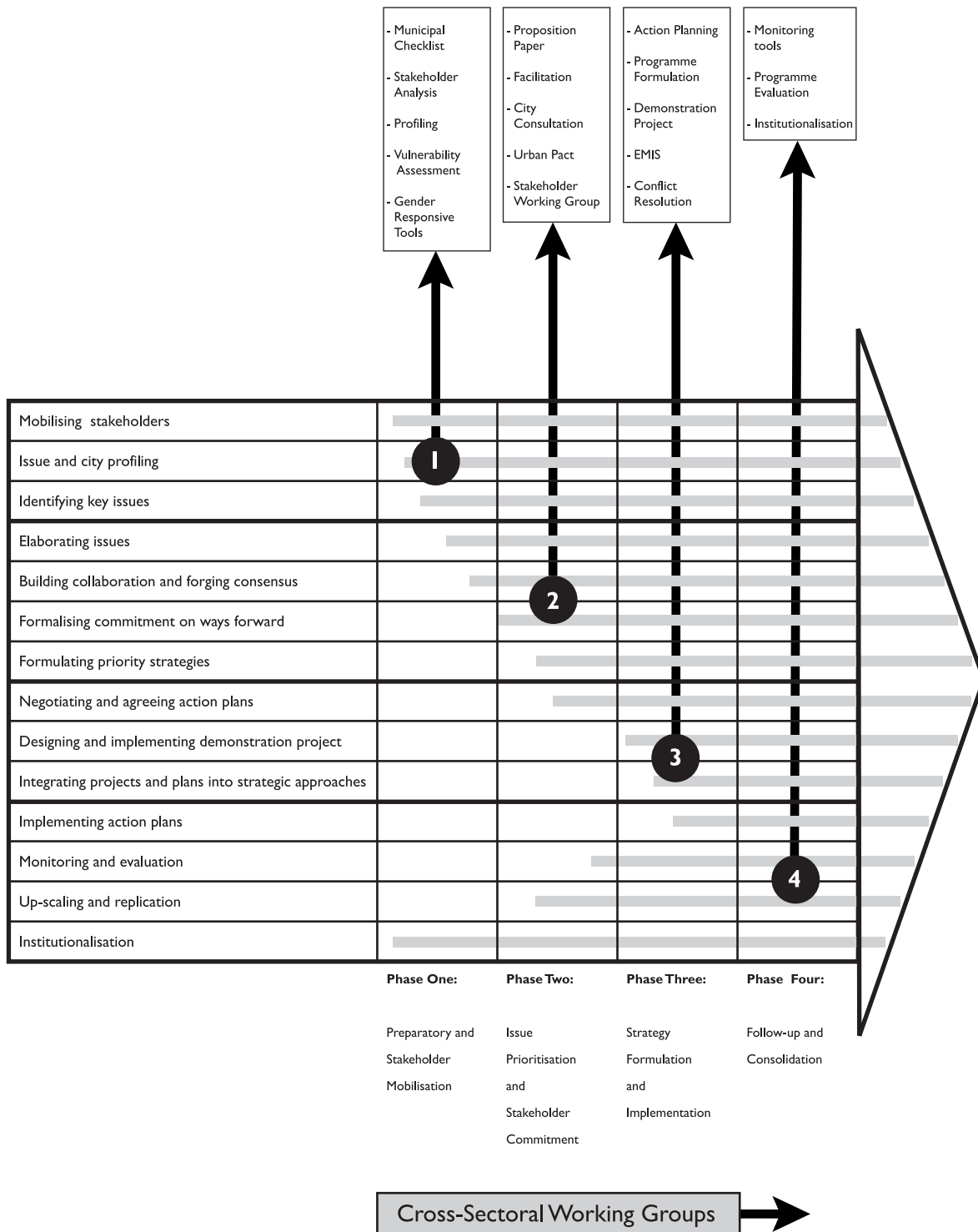
*“Tools to Support Participatory Urban Decision-Making”* is the first in the series of toolkits that will be prepared within the framework of the Urban Governance Campaign, following the tool development concept and vision described in section 1.1. This toolkit is prepared from a synthesis of 15 years of cities’ operational and research experience, in partnership with UNCHS (Habitat), in improving the living conditions of their societies through participatory urban decision-making. Indeed, through these partnerships cities have demonstrated to Habitat and its global Campaign partners the central importance of participatory urban decision-making for Urban Governance.

Based on this experience, the participatory urban decision-making process may be seen as comprising four basic phases:

- Preparatory and Stakeholder Mobilization
- Issue Prioritisation and Stakeholder Commitment
- Strategy Formulation and Implementation
- Follow-up and Consolidation

*Figure 1* below gives an overview of the sequence of application of these four phases within the participatory urban decision making framework. Each of the phases will be described in more detail.

**Figure 1: Participatory Decision-Making Process: Application by Phase**



● Participatory Decision Making Tools



## PHASE I: PREPARATORY AND STAKEHOLDER MOBILISATION

The **Preparatory and Stakeholder Mobilisation Phase** initiates the participatory decision-making process and comprises the following major stages:

- Mobilising stakeholders;
- Issue and city profiling; and
- Identifying key issues.

*Mobilising stakeholders.* A critical condition for improved urban governance is local ownership and commitment, which requires “inclusive” consensus built through meaningful consultations involving the full range of local participants. Successfully applied, this will result in a better understanding of the issues and their complexity on the part of the various stakeholder groups, as well as a shared commitment to address priority issues in a cross-sectoral manner (in Phase Two). This will lead, in turn, to the negotiation of agreed strategies and actions plans to be implemented through broad-based partnerships using local resources and implementation instruments (in Phase Three).

Whilst the initial focus will be on key or lead stakeholders, more diverse groups of stakeholders will be identified and engaged as the process gains momentum. Ultimately, all of the relevant stakeholders should be involved in the process, including:

- those who are affected by, or significantly affect, a priority issue;
- those who possess information, resources and expertise needed for strategy formulation and implementation; and
- those who control implementation instruments.

A major challenge during this Phase is to find ways and means to identify and involve representatives of vulnerable and marginalized groups who are typically not well represented, especially those representing the *poor and women*, in order to be truly “inclusive” (see *tool 2.2 Stakeholder Analysis* and *tool 2.6 Gender Responsive Tools*).

*Issue and City Profiling.* Successful cities have found that the engagement of stakeholder groups comes most effectively through their early involvement in the collection and sharing of “thematic” information analysed according to a generic framework that highlights the salient features, areas of concern, and (especially) institutional and management arrangements. A profile can be city-wide and theme focused, issue specific (for example solid waste management), and/or area specific (for example service delivery in specific poor neighbourhoods, or crime prevalence in a geographic area). Generic technical tools for rapid appraisal and socio-economic surveying, and thematic tools or concepts such as development-environment interactions (in the case of environmental management) or security situation analysis (in the case of crime prevention) can usefully be applied during the issue profiling phase (see also *tool 2.3 Profiling*).

Unlike traditional technical analysis, profiling in a participatory process relies upon the full involvement of stakeholders, not simply for providing information, but also for interpreting data and information, relating it to their own experience and perceptions, and in building a consensus on conclusions. Tools such as the “City



Consultation” and “Stakeholder Working Groups” (*see tools 2.8 and 2.10 respectively*), supported by professional facilitation (*see section 2.7*) are typically used by successful cities to maximise substantive participation by stakeholders in profiling and to strengthen stakeholder commitment to the process.

*Identifying Key Issues.* The engagement of stakeholder groups in the Profiling stage not only better informs them of the issues to be addressed, but also builds their consensus on key issues. This consensus will continue to evolve throughout this preparatory phase, to be confirmed and publicly endorsed at the City Consultation (in Phase Two). Cities have also found that participatory processes and commitment will provide legitimacy when developing long term city development strategies, which inevitably require the reconciliation of competing issues and of conflicts over resource allocation. Such participatory processes also provide citizens with a platform to review structural difficulties (for example, persistent fiscal deficit in the face of a growing population and increasing demands for improved and expanded services) and institutional problems (for instance, lack of coordination mechanisms and duplication and overlap of roles and responsibilities), as well as to seek collective solutions to such problems.

## **PHASE II: ISSUE PRIORITISATION AND STAKEHOLDER COMMITMENT**

Next in the participatory decision-making process is the **Issue Prioritisation and Stakeholder Commitment** phase. This phase has three main stages, all basically focused around the City Consultation:

- elaborating issues;
- building collaboration and forging consensus; and
- formalising commitment on ways forward.

*Elaborating Issues* is usually done through the process of developing “Proposition Papers” (*see tool 2.5*). These papers are carefully structured and highly focused, specifically to highlight issues, show how they are manifested and perceived, illustrate the variety of ways in which such issues have been or could be addressed (including from global “good practice”), and to set the stage for an informed and constructive debate. The proposition papers do not give “ready solutions” or quick answers; instead, they summarise available knowledge and lay the foundations for both general and detailed discussion during the City Consultation.

*Building Collaboration and Forging Consensus* is a core participatory activity, which generally takes place through a broad-based *City Consultation* (*see tool 2.8*). The City Consultation brings together key stakeholders (public, private and community) to jointly debate the key issues identified in Phase One, reach a consensus on the issues to be immediately addressed, and agree participatory institutional arrangements to continue the process after the Consultation. These arrangements usually involve the forging of partnerships to:

- further identify, review and expand upon those issues agreed to be of priority concern;
- mobilise additional actors at different levels and agree a methodology to involve them through cross-sectoral working groups;



- agree mechanisms to strengthen institutional coordination; and
- mobilise social and political support to obtain the commitment necessary to operationalise cross-sectoral working groups with institutional coordination mechanisms.

*Formalising Commitment on Ways Forward* is one of the key outputs from a City Consultation. All successful consultations are carefully structured and professionally facilitated, with systematic coherence between plenary and group discussions, which stimulate concrete results that commit partners to the next steps. . To formalise the results of the Consultation, and especially to publicly commit participants to the agreed outcomes, Urban Pacts (sometimes called Consultation Declarations - *see tool 2.9*) are negotiated and signed by partner groups.

### **PHASE III: STRATEGY FORMULATION AND IMPLEMENTATION**

**Strategy Formulation and Implementation** is the most substantive and perhaps the longest phase of the participatory urban development decision making process, covering four principal stages:

- formulating priority strategies;
- negotiating and agreeing action plans;
- designing and implementing demonstration projects; and
- Integrating projects and plans into strategic approaches.

For all the activities of this Phase, successful cities have forged partnerships through *issue based cross-sectoral Working (or task) Groups*, through which stakeholders continue to share information, to evaluate various options, and to elaborate approaches and activities. This participatory process allows conflicting interests to be resolved (*see tool 2.15 Conflict Resolution*) and leads through negotiation to agreement to pool resources for the co-ordinated resolution of shared concerns.

*Formulating Priority Strategies* begins with the further clarification of issues, as experience shows these are never as simple or straight-forward as they initially seem. This clarification, which can be aided by spatial analysis (*see tool 2.14*) or other through economic and social analysis, provides the firm basis on which the Working Group proceeds to a review and assessment of strategic options. By bringing together the different views and outlooks of the various stakeholders, the Working Group converges to a consensus on the strategic vision to be pursued.

*Negotiating and Agreeing Action Plans* is the crucial next step of translating strategies into concrete realities. At this stage, the Working Groups engage in detailed technical work to develop plans of action for implementing the agreed strategies. This requires extensive negotiation, as action plans must be based on clear and specific commitments by individual actors (organisations) to undertake specific actions at agreed times and with the application of agreed financial and other resources. This is often the most difficult stage of the process, but action plans developed in this way are much more likely to be implemented - and successfully - than traditional single-sector top-down implementation plans.



*Designing and Implementing Demonstration Projects* is a key task for Working Groups, one which should be undertaken as early as possible in the process. These are small-scale, usually local-oriented capital investment or technical assistance projects, which are designed to “demonstrate” a new approach. Being small, they can be developed and implemented fairly rapidly, especially if given “fast track” priority. They provide the opportunity for testing in practice some of the ideas coming out of the Working Groups, and they are especially valuable as a way of stimulating stakeholder participation and commitment, as well as showing visible results.

*Integrating Project and Plans into Strategic Approaches* is a stage which is often neglected, but is in fact important for two reasons. First, it brings together various strands of the work of the Working Groups and generates awareness and wider understanding. Second, when the well-developed strategies and action plans, and their demonstration-project results, are discussed and agreed, this will help to integrate them into local government executive and/or legislative resolutions and budgets, thus become officially rooted in the governmental apparatus. This is often best done by holding a City Strategy Review Workshop (a small consultation event).

## **PHASE IV-FOLLOW-UP AND CONSOLIDATION**

**Follow-Up and Consolidation** is the fourth and final phase of the process, during which the action plans developed in the previous phase are implemented and during which the whole process is put onto a long-term basis. This open-ended phase has four stages or aspects:

- implementing action plans;
- monitoring and evaluation;
- up-scaling and replication; and
- institutionalisation.

*Implementation of Action Plans* continues throughout this final phase, as the action plans developed and agreed in the third phase are steadily implemented. The participatory element must be maintained, however, as experience clearly shows that stakeholder involvement significantly increases the effectiveness of implementation. This results from being able to utilise the knowledge and energies and resources of the stakeholders, who are at the same time more likely to be committed to the initiative being undertaken. In contrast, the traditional approach of simply turning it over to a specific sectoral bureaucracy generally does *not* work well.

*Monitoring and Evaluation* should be integral parts of the on-going implementation of strategies and plans. The process of monitoring provides a flow of systematic information feed-back which allows appropriate adjustments to be made continuously during implementation (*see tools 2.16 and 2.17*). This also allows the lessons of experience, especially of demonstration projects, to be captured and synthesised, which gives a firm basis for replicating the projects on a larger and wider scale. The key lessons of experience invariably address institutional and managerial, more than technical issues; this leads to a focus on how to build up the participatory process and its associated management approaches and tools into a routine “way of doing business”.



*Up-scaling and replication* capitalises on the successes of the participatory process, building on what has been done to extend it more widely and at a bigger scale. Developing the participatory decision-making process will involve many new departures, and its immediate effects will be limited - typically only a few issues or a few topics are taken up, and the demonstration projects are highly localised. Up-scaling and replication - based on the experience gained - is the way in which the bigger impact will be made, as approaches and initiatives are multiplied and expanded.

*Institutionalisation* is the long-term process of changing the ways in which things are done, of “building in” the new participatory process into the procedures, ideas and practices of local stakeholders and institutions until it become routine - and becomes the new way of doing things (*see tool 2.18*). This does *not* mean “freezing” the achievements of participatory decision making. On the contrary, by its nature the participatory decision-making process is dynamic and will steadily revise and refine itself, both because of its involvement of a full range of stakeholders and because of its incorporation of monitoring and review activities. Institutionalisation is in this sense a long term effort that links monitoring and evaluation and the capturing of lessons of experience with replication and up-scaling of activities and institutional consolidation of the over-all process. It is something which will continue to engage cities and their partners long after the first demonstration of the participatory approach has been completed.

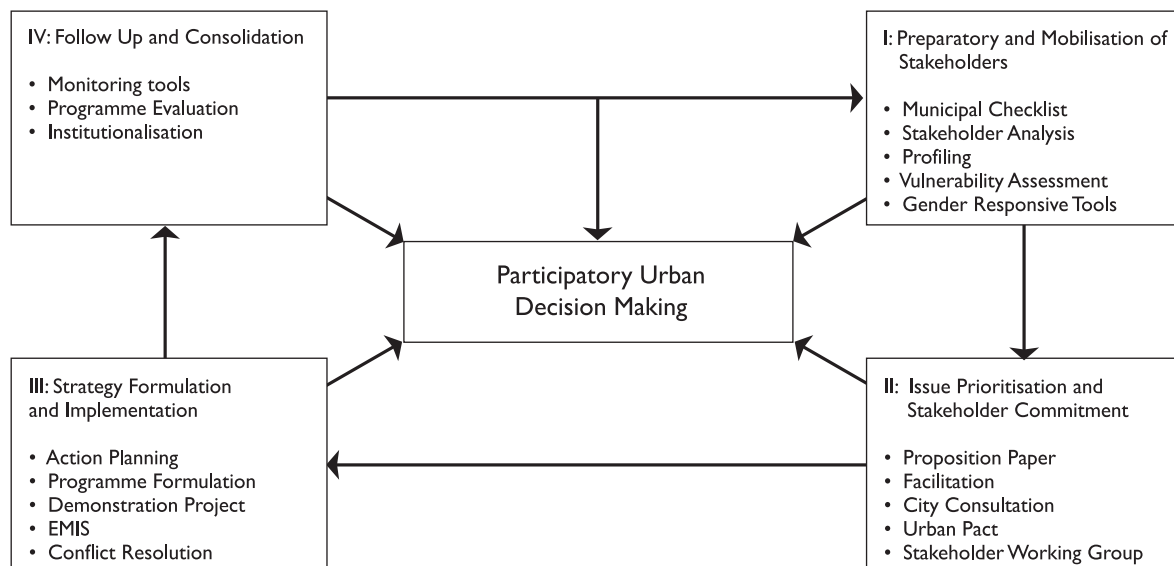




## 1.3 THIS TOOLKIT

This “Toolkit” brings together, in a systematic way, a variety of individual tools which together support the process of *participatory urban management for good urban governance*. The tools within this Toolkit are therefore organised according to the main Phases and Stages of that process, as described in the previous section. The relationship of the different tools to the four phases of the participatory urban decision-making process is shown graphically in Figure 2.

**Figure 2: The Participatory Process and the Tools which Support It**



Each of the individual tools is presented in Chapter 2, and each tool description is structured according to the following sub-headings;

- An overview of the tool: its definition and context within the participatory urban development decision making framework;
- The primary purpose(s) of the tool;
- Principles;
- How it works - the key elements;
- Linkages with urban governance norms; and
- City examples of its application.

A key feature of the Toolkit is its use (in Chapter 2) of cross referencing to provide information about source materials for the specific tools. This guides those who wish to find out more about a particular tool to the further information sources which they can use. References are also made to specific cities which have experience in using the tools to strengthen participatory urban management and good urban governance as a whole.



The tools themselves, as emphasised earlier, are synthesised from “real world” experience - from the work of Habitat and its partners over many years. These are not “academic” concepts but genuinely operational tools which can be used in practical situations. By taking these tools, and relating them systematically to various aspects of *participatory urban decision-making*, this Toolkit should fill the urgent need expressed by city practitioners from around the world, who need such tools to support them in improving urban management and developing effective responses to their urgent urban development needs.

Most of the tools in this Toolkit have been developed to fit within particular phases of the process, but in practice their application can go well beyond these particular stages; indeed, many cities have found them useful in more than one phase, sometimes as a continuous support mechanism throughout the process (for example, tools on conflict resolution, or setting up urban information management systems). The over-all framework within which the tools can be used is illustrated in Table 2, below. It should be kept in mind, however, that the framework describing the decision-making process should *not* be interpreted as a simple linear sequence of activities. In reality, the process is more untidy, with significant overlaps across phases; in addition, some activities can apply in different phases, for instance demonstration projects can successfully be implemented at different times in the process.

The context and framework for this Toolkit is in line with the overall “vision” of the UG Directory and Referral System described in section 1.1. . As explained there, this Toolkit on Support to Participatory Urban Decision-Making is the first in what will become a series of toolkits. In terms of the descriptive characteristics presented in the table in section 1.1, this Toolkit will be linked to other (forthcoming) tools in the Directory through the appropriate attributes from that table.

**Table 2: Framework for Participatory Urban Decision Making**

Phases	Stages
<p><b>Phase 1: Preparatory and Stakeholder Mobilisation</b></p> <p><i>Outcomes:</i> involvement of relevant partners; focused base line information; consensus on key issues leading to framework agreement.</p>	<ul style="list-style-type: none"> <li>• Mobilising Stakeholders</li> <li>• Issue and City Profiling</li> <li>• Identifying Key Issues</li> </ul> <p><i>Activities:</i> identifying and mobilising stakeholders; raising awareness and understanding; preparing systematic, focused profiles; organising core consultative groups; beginning identification of key issues;</p>
<p><b>Phase 2: Issue Prioritisation and Stakeholder Commitment</b></p> <p><i>Outcomes:</i> formal political and stakeholder commitment; strategy outlines; agreement on specific next steps to be taken.</p>	<ul style="list-style-type: none"> <li>• Elaborating Issues</li> <li>• Building Collaboration and Forging Consensus</li> <li>• Formalising Commitment on Ways Forward</li> </ul> <p><i>Activities:</i> building on profiling and other information; preparing systematic overviews; preparing and implementing the City Consultation; using the consultation event to generate enthusiasm and cooperation and to formulate agreements on priority issues and on concrete steps to be taken, including institutional mechanisms and operational activities;</p>
<p><b>Phase 3: Strategy Formulation and Implementation</b></p> <p><i>Outcomes:</i> agreed strategy frameworks; negotiated detailed action plans; demonstration projects; wider strategies and over-all integration of approaches.</p>	<ul style="list-style-type: none"> <li>• Formulating Priority Strategies</li> <li>• Negotiating and Agreeing Action Plans</li> <li>• Designing and Implementing Demonstration Projects</li> <li>• Integrating Projects and Plans into Strategic Approaches</li> </ul> <p><i>Activities:</i> clarifying issues; identifying and elaborating and evaluating strategic options; agreeing strategic framework; developing, negotiating and reconciling action plans; confirming strategies and plans through Review Workshops; identifying demonstration projects; mobilising local partners and implementing demonstration projects; integrate strategies and projects and action plans across sectors and geographical areas; reconcile differences, gaps, conflicts.</p>
<p><b>Phase 4: Follow-up and Consolidation</b></p> <p><i>Outcomes:</i> continuous monitoring of process and results; evaluation of outcomes; feedback and adjustment; replication and up-scaling of interventions; institutionalisation of the process.</p>	<ul style="list-style-type: none"> <li>• Implementing Action Plans</li> <li>• Monitoring and Evaluation</li> <li>• Up-scaling and Replication</li> <li>• Institutionalisation</li> </ul> <p><i>Activities:</i> implementing action plans in a participatory and cross-sectoral process; developing and maintaining a monitoring process to ensure information about the progress of that implementation; using evaluation to capture lessons of experience; based on lessons, begin to replicate and up-scale the activities; continue with steady activities designed to “build in” the process into the city’s institutions and stakeholders.</p>



## 1.4 LOCAL APPLICATION OF THE GENERAL TOOLS

The analytical framework for participatory decision-making described above is a *general* framework which is broadly applicable to cities all over the world. Experience has shown it to be a sensible and useful way of looking at the process in all different contexts and situations. Similarly, the individual tools (which are described in Chapter 2) are also *general*. Whatever their specific origin, these are *generic tools*, not designed for particular situations but *generally applicable*, with suitable modification, to any specific local context.

Local application in this sense means that the details of the tool and its use can be modified to suit important variations among city situations. The basic tool concepts, however, remain unchanged because they are valid for the full range of different city circumstances.

The ways in which this Toolkit can be locally applied will vary significantly, depending not only upon local circumstances but also upon the nature of the task at hand. The framework, for example, can be applied as an over-all concept and approach, together with all of the relevant tools, or a specific set of tools can be used to improve or support one or more particular elements in a participatory decision making process. The geographic scale and the thematic scope to which the tools are applied will often vary from one city to another, as may the intensity of their use.

The variation in local applications of the Toolkit may be partly determined by local variations in terms of available human and other resources, prevailing institutional systems, and the starting point state of affairs. Variation can also depend on what it is intended to achieve: different expected “outcomes” will be served by different ways of choosing and applying the particular tools. Some examples of possible applications, both relatively simple and relatively complex, are as follows:

- Community based initiatives and neighbourhood demonstration projects: Cities may use a select set of participatory decision making tools to promote public-private partnerships, to catalyse bottom-up initiated investments, or to show case good practices that can be replicated elsewhere.
- Prioritisation of development issues: Cities may use profiles in isolation, or combined with other tools to generate outputs ranging from “prioritised issues” to development plans.
- Consensus building: Cities may use City Consultations in various forms to achieve a variety of objectives ranging from “gauging public opinion on development concerns”, to consensus building on priority issues, to forging agreement on strategic interventions.



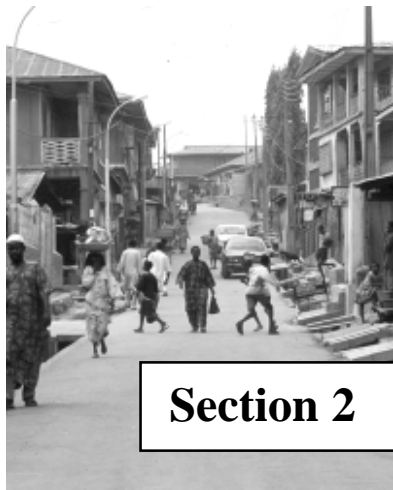
- City development strategies: Cities have found development strategies which are devised through a participatory process to be realistic, implementable, and long lasting; hence they often make use of all or most of the tools described in this toolkit (especially when preparing strategies geared to poverty reduction and sustainable development). As cities increasingly utilise more dynamic planning approaches and rolling investment plans, negotiation between developers, service providers and service users becomes critical; in such contexts, participatory decision making tools can become routine management practices embodied in progressive cross-sectoral institutional structures.



Table 3 below presents a summary of the tools comprising this Toolkit, shown in relation to the phases of the participatory urban decision-making process, as well as in relation to the tool purposes and also to the relevant good urban governance norms.

**Table 3: The Tools, their Purposes, and their Relation to Good Urban Governance Norms**

Phase	Tool	Purpose	Relevant GUG Norms
Preparatory and Mobilisation of Stakeholders	▪ Municipal Checklist	• To assess the local situation and to customise the process accordingly	
	▪ Stakeholder analysis	• To identify stakeholders and to analyse their roles	• Equity
	▪ Gender	• To ensure equal participation of both men and women in decision making and gender responsive strategies and actions	• Equity
	▪ Profiling	• To provide basic information and to inform prioritisation	• Transparency
	▪ Vulnerability Assessment	• To provide information about vulnerability of communities to disruption	• Transparency
	▪ Proposition Paper	• To provide an overview of situation analysis and review of options for focussed discussions (in consultations)	• Transparency, • Equity
Issue Prioritisation and Stakeholder Commitment	▪ City Consultation	• To promote stakeholder dialogue, consensus building and commitment	• Civic engagement, • Participation
	▪ Stakeholder Working groups	• To create a mechanism for cross-sectoral and multi-institutional coordination	• Participation, • Civic engagement
	▪ Facilitation	• To enhance stakeholders' contribution and to ensure effective participation and focus	• Equity
	▪ Urban Pact	• To allow negotiated agreements between partners to be formalised and their commitments towards actions concretised	• Accountability,
Strategy Formulation and Implementation	▪ Conflict resolution	• To facilitate negotiations leading to consensus and/or win-win situations	• Transparency, • Equity
	▪ Action Planning	• To elaborate general strategies into actor-specific and time bound targets and commitments whose results can be monitored	• Accountability
	▪ Programme Formulation Guidelines	• To provide a methodological framework for formulating programmes	• Efficiency
	▪ EMIS	• To facilitate, identification of priority action areas and to support planning and investment decisions	• Transparency, • Efficiency
	▪ Demonstration Projects	• To demonstrate new approaches and solutions to urban development problems and thereby to induce replication	• Efficiency
Follow up and Consolidation	▪ Institutionalisation	• To ensure new approaches are understood, accepted and routinely applied/ practised	• Sustainability
	▪ Programme Evaluation Guidelines	• To assess programme success and provide the basis for better programme design and implementation.	• Efficiency
	▪ Monitoring	• To gauge progress in actual delivery of services and integration of the process and to feedback for replication/ up-scaling, adjustment and improvement	• Accountability



## Section 2



## 2.0 TOOLS TO SUPPORT PARTICIPATORY URBAN DECISION MAKING PROCESS

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### 2.1 MUNICIPAL CHECKLIST

The participatory decision making process does not function in a vacuum; it is a political and institutional undertaking which requires certain conditions for success. In addition, differences in local circumstances mean that the necessary conditions will vary from one city to another. The Municipal Checklist is a tool for examining these conditions and local realities to provide the information necessary to better design the participatory decision-making process for the specific local context.

The principle aim of municipal checklist is to assess the local political and institutional conditions for a participatory process

#### PURPOSE

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1. **To assess local conditions for a participatory decision making process**

Key elements of a municipal checklist focus on the level of political will and local “ownership” which are crucial ingredients for a successful participatory decision making process.

2. **To agree how municipal needs fit into the participatory decision making process framework and levels of possible intervention**

The aim is to identify municipal strengths and weaknesses, and opportunities and constraints, and to focus on issues of primary concern. The tool therefore supports the diagnosis of municipal needs and helps to identify corresponding areas and types of possible intervention.

#### PRINCIPLES

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A key principle of the municipal checklist tool is that it facilitates discussion and dialogue with local stakeholders in order to identify the benefits of external support as well as municipal and partner commitments. It should not be perceived as an institutional audit, but rather as a tool to support self-assessment, discussion, and engagement of partners in collaboration.

#### HOW IT WORKS

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The key elements of operationalising a municipal checklist are as follows:

1. Analysis and Discussion
2. Terms of Reference





**Analysis and Discussion.** A Municipal checklist includes indicators and attributes which at various levels of discussion with key stakeholders and partners will assess the following key elements:

a) *Level of political will, political capacity and therefore local political “ownership”;*

This can be manifested in the following ways:

- the Mayor’s position and capacity in relation to the consultative process
- leadership and organisational strength of the Mayor and his/her staff, including staff availability, office space, budget for operational costs, etc.
- expressed commitment to mobilise local resources for implementation of strategies through a formal Memorandum of Agreement signed by Mayor.

b) *Presence of Stakeholder Groups:*

- strengths and interests of social organisations and community based organisations (CBOs)
- legitimacy and constituency of the CBOs
- level of mobilisation of social organisations in relation to priority issues
- presence of advocacy groups and organisations in relation to the priority issues
- experience of NGOs working with the local authorities

c) *Institutional conditions for operationalising stakeholder involvement:* The nature of work and quality of relationships between the local government and social actors could be indicated by:

- local government openness to participation by the private sector and civil society organisations
- number and qualities of past and present participatory programmes
- quality of local capacity building organisations and institutions

d) *Type and relevance of priority issue and scope for improvements:* the scope for achieving improvement in the chosen issue, on the basis of a careful analysis of existing capacities and past successes or aspects of achievements.

e) *Potential for mobilising local and other resources;*

- amount of local resources (human, institutions, financial) which could be mobilised for the implementation of action plans
- potential for mobilising national resources, as well as external resources (credit, donor funds, etc.)
- potential for mobilising support from existing or modified legal/municipal framework and municipal policies

f) *Existing local capacity for monitoring, and capturing and sharing lessons of experiences*

- capacity and interest of local institutions in monitoring and documenting the process
- previous experience in monitoring, documenting and capturing lessons of experience.

**Terms of Reference.** The Municipal Checklist analysis, and the local discussion of its outcomes should lead to agreement on the priority issue(s) and on the scope, content and form of the participatory decision-making process to be applied. This agreement should then be translated into actor-specific and concrete operational



procedures and actions, embodied in a formal Memorandum of Understanding or similar instrument.

Two important aspects of the application of a Municipal Checklist should be emphasised at this point. First, the aim is not to identify the ideal ground for project or process development, but to establish the existence of *minimum* necessary political and institutional conditions for success. Second, the purpose is to realistically and carefully design the scope, context and form of the process in a way which is appropriate to the specific local situation.

## **LINKAGE WITH URBAN GOVERNANCE NORMS**

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In applying the municipal checklist, the self-assessment process helps city managers and their partners to reflect on their governance structure, *modus operandi* and capacities, and hence it encourages them to develop ways of improving local governance within the bounds of what can be realistically achieved. Such collective reflection engages local governments with partners for constructive scrutiny and forward-looking dialogue. Thus, there are links with the Urban Governance norms of *civic engagement* and *transparency*.

### **CITY EXAMPLES:**

#### **1. THE IMPORTANCE OF POLITICAL WILL AND LEADERSHIP**

In a number of cities political will has proved to be a necessary precondition not only for implementing the participatory process but even more importantly for reaching success in this consultative approach.

The participatory process / city consultation<sup>3</sup> in **Colombo, Sri Lanka**, stands out from other city consultations in Asia in the areas of complete commitment at political and administrative levels. National Ministers, the Provincial Chief Minister, the Chief Secretary of the Province, the Mayor and chief city functionaries attended City consultations. Because of the high level of commitment on all sides, obstacles were absent.

In **Lusaka, Zambia**, full and real political commitment and support from the outset was essential. The Mayor, Town Clerk and Heads of Departments were ready to sacrifice time to take part and support the process.

In Guatemala, the “local government’s political will to face the challenge of governing **Quetzaltenango** with a new perspective, under the complex municipal reality” was one of the main factors cited for success. Members of the municipal team in **Kasserine, Tunisia**, were able to muster the support from government officials at the national level as well as from the municipal council itself. Most decisive was the steady support from the governor of Kasserine throughout the process, and beyond.

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<sup>3</sup> In the Urban Management Programme (UMP) of UNCHS (Habitat), World Bank and UNDP, the entire process of participatory urban decision making is referred to as city Consultation process



## 2. THE CRITICAL ROLE OF LOCAL PARTNER INSTITUTIONS (LPI) AND ANCHOR INSTITUTIONS

The results of the **Colombo** City consultation were attributed to the strong support and commitment from all sides, but especially to the excellent work and contributions of the LPI, SEVANATHA. Founded in 1989, its mission is to provide an improved living environment for the urban poor in Colombo by implementing community-based resource management and poverty alleviation programmes through participatory development approaches. It has been playing a role complementary to the government's development programme and has been introducing innovative methods and practices for low-income settlement development. SAVANATHA is very strong in working with the community and through the city consultation process became equally strong in working with the city council. It established excellent rapport with the community as well as the city council and has developed fruitful partnerships with donor agencies working in Colombo.

A city consultation in **Cochabamba, Bolivia**, centred around institutional strengthening and consultative urban governance. The process encountered difficulties and delays because of municipal elections and a change of city mayor. A major lesson was the need for flexibility so that these obstacles did not derail the process itself. The constant intervention, monitoring and guidance from the Anchor Institution, IULA/CELCADEL, together with the local partner groups, were responsible for giving this flexibility in the form of actions and strategies to support the process as it unfolded.

A local partner institution in **Lalitpur, Nepal**, Lumanti has demonstrated a very strong leadership role. In addition to initiating the participatory process/city consultation, they have been instrumental in driving and leading the city consultation process and a strong commitment on the part of the local government, together with the local partner institute, is cited as a key factor for success.

### References:

1. *Proceedings of the Programme Review Committee Meeting* (session 5), Urban Management Programme, Abidjan, Cote d' Ivoire 15 - 17 December 1997
2. *From Participation to Partnership*, Lessons from UMP City Consultations, Published for the Urban Management Programme by UNCHS (Habitat), 2001



## 2.2 STAKEHOLDER ANALYSIS

Stakeholders are;

- 1) those whose *interests* are affected by the issue or those whose activities strongly affect the issue;
- 2) those who possess *information, resources and expertise* needed for strategy formulation and implementation, and
- 3) those who control relevant *implementation, instruments*

Stakeholder Analysis is a vital tool for identifying those people, groups and organisations who have significant and legitimate interests in specific urban issues. Clear understanding of the potential roles and contributions of the many different stakeholders is a fundamental prerequisite for a successful participatory urban governance process, and stakeholder analysis is a basic tool for achieving this understanding.

To ensure a balanced representation, the analysis should examine and identify stakeholders across a number of different dimensions. For example, the analysis should separately identify relevant groups and interests within the public sector, within the private sector, and within social and community sectors. In addition, the analysis can seek out potential stakeholders to ensure proper representation in relation to gender, ethnicity, poverty, or other locally relevant criterion. Cutting across these categories, the analysis can also look at stakeholders in terms of their information, expertise and resources applicable to the issue. However, stakeholder analysis by itself only identifies potentially relevant stakeholders - it does not ensure that they will become active and meaningful participants; other measures to generate interest and sustain commitment will be necessary as well.

### PURPOSE OF STAKEHOLDER ANALYSIS

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#### 1. **Ensure inclusion of all relevant stakeholders**

Experience has shown that inclusion of the full range of stakeholders is not only an essential pre-condition for successful participatory decision-making but also vital for promoting equity and social justice in urban governance. For example, when decisions are made, priorities set, and actions taken without involving those relevant stakeholders, the result is usually misguided strategies and inappropriate action plans which are badly (if at all) implemented and which have negative effects on the 'beneficiaries' and on the city at large. These approaches, which fail to properly involve stakeholders, have been widely proven to be unsustainable.

This Stakeholder Analysis Tool therefore encourages a far-reaching review of all potential stakeholder groups, including special attention to marginalised and excluded social groups such as the poor, women (*see also 2.6 'Gender responsive tools'*), elderly, youth, disabled, or others. This allows identification of representatives of these groups, so that they may be included in the urban decision making framework.

#### 2. **Maximise the role and contribution of each stakeholder**

It is well recognised that broad-based stakeholders' involvement and commitment is crucial to successful strategy and action plan implementation and therefore to sustainable urban development. With a multi-stakeholder approach to



implementation, a wider variety of implementation instruments can be utilised. The stakeholder analysis facilitates mapping of potential stakeholder roles and inputs and access to implementation instruments. This will indicate how best to maximise the constructive potential of each stakeholder whilst also revealing **bottlenecks or obstacles** that could obstruct realisation of their potential / contributions. For example, an analysis could identify a particular stakeholder's lack of information and skills for dialogue and negotiation, factors which undermine the contribution or influence of an otherwise **importantly** affected group of stakeholders.

Stakeholder Analysis ensures the inclusion of all stakeholders and maximisation of their roles and contributions

## PRINCIPLES

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**Inclusiveness.** Ensure inclusion of the full range of different stakeholders, including marginalised and vulnerable groups.

**Relevance.** Includes only *relevant* stakeholders - those who have a significant stake in the process (i.e., not everyone is included).

**Gender Sensitivity.** Both women and men should have equal access within the participatory decision making process.

Stakeholder Analysis ensures the inclusion of relevant groups while incorporating gender sensitivity

## HOW STAKEHOLDER ANALYSIS WORKS

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Stakeholder Analysis can be seen in terms of five generally sequential stages of activity:

1. ***Specifying issue(s) to be addressed.*** Stakeholders are defined and identified in relation to a specific issue - people and groups only have a concrete “stake” in a specific issue or topic. Hence, the stakeholder identification process operates in respect to a particular specified issue.
2. ***Long Listing.*** With respect to the specified issue, a “long list” of possible stakeholders, as comprehensive as feasible, should be prepared, guided by the general categories of stakeholder groups (e.g., public, private, and community/popular, with further sub-categories for each, gender, etc., also identifying those which:
  - are affected by, or significantly affect, the issue;
  - have information, knowledge and expertise about the issue; and
  - control or influence implementation instruments relevant to the issue.
3. ***Stakeholder Mapping.*** The “long list” of stakeholders can then be analysed by different criteria or attributes. This will help determine clusters of stakeholders that may exhibit different levels of interest, capacities, and relevance for the issue. Knowledge of such differences will allow systematic exploitation of positive attributes. Identify areas where capacity building is necessary for effective stakeholder participation, and highlight possible “gaps” in the array of stakeholders.

A comprehensive long listing of stakeholders is the starting point for stakeholder mapping and analysis



Analysis of Stakeholders can for example be done by attributes like stake and influence or interest and

One of the several forms of stakeholder mapping is by degree of stake and degree of influence, as shown in the matrix below:

***Influence-Interest Matrix***

	<b>Low Influence</b>	<b>High Influence</b>
<b>Low Stake</b>	least Priority Stakeholder Group	useful for decision and opinion formulation, brokering
<b>High Stake</b>	important stakeholder group perhaps in need of empowerment	most critical stakeholder group

**Participatory Stakeholder Mapping**

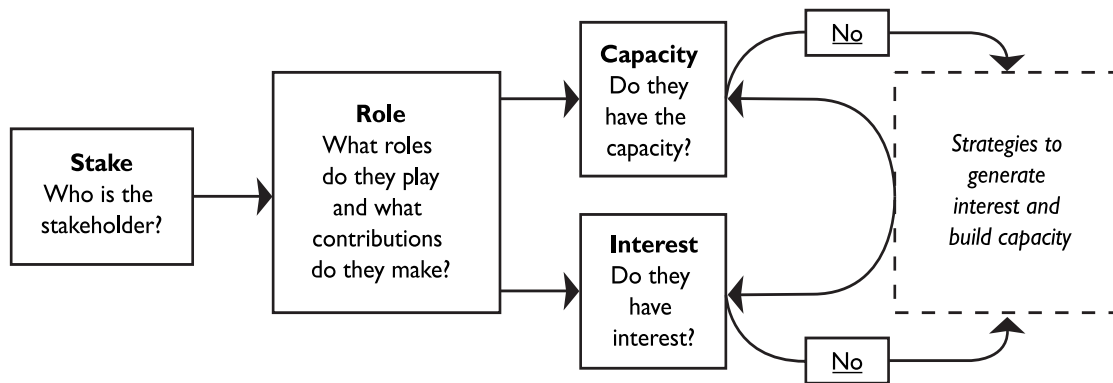
*To achieve a shared view of stakeholders, their relations to the issue and their relative importance, the following group technique can be applied:*

1. The participants put the name of each stakeholder on white, circular cards of approx. 10cm in diameter, and put them on a big table, or the floor or a wall (with removable adhesive).
2. When no more suggestions for stakeholders are presented, the main interests of each stakeholder are identified in relation to the focus questions.
3. The cards are organized in clusters of related interests. When agreement has been reached, the white cards are replaced with coloured cards, one colour for each cluster. The name of the stakeholder is transferred to the coloured card, and the main interests of the stakeholder are written on the card below the name.
4. The coloured cards are organized in starlike fashion along a line for each cluster where the centre of the star is the project or the initial focus question. Using group judgements, the cards are placed at a distance from the centre corresponding to the importance of the stakeholder for the project. The cards must be fixed with removable adhesive, allowing later modifications of the visual presentation.

4. *Verify analysis and assess stakeholders availability and commitment. Review, perhaps utilising additional informants and information sources, the initial analysis to ensure that no key and relevant stakeholders are omitted. Also, assess the identified stakeholders availability and degree of commitment to meaningful participation in the process.*
5. *Devise strategies for mobilising and sustaining effective participation of stakeholders. Such strategies should be tailored to the different groups of stakeholders as analysed and classified above. For example, empowerment strategies could be applied to those stakeholders with high stake but little power or influence.*



## Stakeholder Analysis for Participation



### LINKAGE WITH UG NORMS

Stakeholder Analysis ensures that no important stakeholder is missed out. It also provides the framework for optimising the roles and contributions of stakeholders. Inclusiveness and the right mix of roles and instruments are key elements of successful stakeholder participation. Where participation is generated through careful analysis of the key players, their roles and contributions, the process becomes more effective and efficiency as well as equity gains will be maximised. Thus, there are links with the Good Urban Governance norms of *equity*, *civic engagement*, and *efficiency*.

Stakeholder Analysis ensures that no important stakeholder is left out - optimizing potential roles and contribution which in turn maximizes efficiency and equity gains

### CITY EXAMPLES

#### 1. STAKEHOLDER ANALYSIS IN COLOMBO

**Key Issue:** Pollution of Sea beach in Dehiwala Mt. Lavinia Municipal Council (DMMC) Area, Greater Colombo (Sri Lanka).

**Prevailing Situation:** The sea beach area covers Ratmalana, Mt. Lavinia and Dehiwala, all of which are popular tourist centres. Fishing communities live in the area and the hotel industry is another key sector operating there. Polluted sea beaches are affecting businesses attracting complaints to the DMMC Hoteliers and restaurant owners. Current efforts to address the issue have been ineffective.



***Stakeholder Long listing, by Category***

WHO	WHY					
	Information	Expertise	Implementation Instruments			Affected
			Funds	Law	Property	
<b>Public</b>						
Environment Authority	2	3	1	3	1	2
Provincial Council	1	1	2	2	1	2
DMMC Political Authority	2	1	3	3	3	2
DMMC Officials	3	1	1	3	3	2
<b>Private</b>						
Hoteliers Association	3	1	2	1	2	3
Restaurant Owners Association	3	1	2	1	2	3
CDC	3	1				3
<b>Popular</b>						
Local Experts	1	3	0	2	0	2
NGO	3	3	2	1	1	2

***Analysing Stakeholders by Influence, Interest and Capacity***

Who	Influence	Interest	Capacity
<b>Public</b>			
Environment Authority	3	2	3
Provincial Council DMMC	2	2	1
Political Authority DMMC	2	3	2
Environment Officers	2	3	3
<b>Private Sector</b>			
Hoteliers Association	2	3	2
Restaurant Owners Association	2	3	2
CDC	2	3	2
<b>Popular Sector</b>			
Local Experts	1	2	1
NGO	2	3	3

Note: Scale 1 -3; indicating 1=low, 2=medium, 3=high





### **Conclusion;**

1. Private sector has strong interest and plays a key role. It has capacity as well as information and is a key partner for strategy implementation.
2. There is considerable lack of expertise in both public and private sector making the environmental authority and the popular sector crucial in providing the necessary expertise.
3. While there is some interest and expertise, mobilising local expertise resources through interest and for capacity building interventions is required.

### **2. STAKEHOLDER ANALYSIS TO MAXIMISE THE ROLES AND CONTRIBUTION OF TRADITIONAL LEADERS**

Traditional tribal structures can provide effective representation of local communities and can be integrated in the consultation process, particularly if stakeholder analysis is carefully done to recognise their specific roles and interests in such a process. In **Siwa, Egypt**, there are eleven tribes, each of which elects its leader. Tribal councils are held regularly to discuss local matters and resolve local conflicts. Most importantly, the tribal structure has been formally integrated in the local government structure. The city consultation process included all tribal leaders in the process as well as other local opinion leaders. This resulted in a significant level of mobilisation for the consultation. In **Ijebu-Ode, Nigeria**, the involvement of the traditional leader helped overcome a deep-seated mistrust of appointed local government in Nigeria. The role of this leader was formalised through a Development Board created to implement the city consultation process. This Board is jointly chaired by the traditional leader and the local elected authority. The traditional leader has been instrumental in getting stakeholders involved in the process and his influence has raised considerable funds for Action Plan implementation.

### **References:**

1. *Implementing the Urban Environment Agenda*, volume 1 of the Environmental Planning and Management (EPM) Source Book Series, SCP-UNCHS & UNEP, Nairobi, 1997.
2. *Urban Management Programme (UMP) Working Paper on Stakeholder Analysis*, file name C: UMP\UMP Core\Stakeh-1.doc, available from the UMP Coordinator, UNCHS, Nairobi
3. *From Participation to Partnership*, Lessons from UMP City Consultations, Published for the Urban Management Programme by UNCHS (Habitat), 2001
4. *Stakeholder Identification and Mobilisation: Draft Tool for the Local-EPM (Philippines) Phase One Tool-kit*. December 2000 draft available from the SCP Core Team at UNCHS, Nairobi.



## 2.3 PROFILE

The quality of decision making depends heavily upon the quality of information. Problems with information (outdated, incomplete, unreliable, scattered amongst different stakeholders, not helpfully focused, etc) are the most commonly cited constraint in urban development decision making. The “Profile” is a tool specifically designed to help overcome these limitations.

A Profile does not seek to generate fundamentally new information but to help identify, assemble, and organise information in a way which will support urban decision-making. Thus, a profile can be used to organise information in one or more of several different ways:

- *Thematically.* A profile could focus on environment, or poverty, or urban security, or disaster preparedness, or municipal finance. These themes can in turn be further narrowed down to more specific issues or aspects, such as waste collection, access to water supply, municipal revenue collection, violence against women, flood control, *etc.*
- *Sectorally.* A profile could focus on water supply or transportation, or on particular industrial sectors, for instance.
- *Spatially.* A profile might also be focused on a specific geographic area such as the central business district, a municipal watershed, or a specific neighbourhood, or city-wide.

### PURPOSE

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Profiling serves **two primary purposes**:

#### Two purposes of a Profile

- Provide basic information (see sample outlines for type of information)
- Inform decision on prioritization of issues

1. It brings together from a variety of sources and makes accessible basic information about existing situation. The added value of a participatory process lies in the resulting increased diversity of information sources and in its ability to build a common understanding and validation of not only the information but also the indicators and benchmarks that can be derived from it.
2. It informs the discussion on prioritisation. The structure of different thematic profiles (poverty, environment, urban safety, disaster, etc) provides a powerful analytical framework. This framework structures the information in a clear and well-focused way which helps in identifying actors, priority areas of concerns, existing conflicts among interested groups, existing institutional arrangements, etc. Profiles can also help identify pressure points and hotspots, as well as opportunities.



## PRINCIPLES

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Profiles should be:

- **Participatory and interactive:** Since information is widely dispersed, involving many different stakeholders in information collection and assembly produces a wider range of information; equally, stakeholder participation in analysis and interpretation strengthens the results. As the general tendency is to look to “experts” for information, a special emphasis needs to be given to involving a wider range of other stakeholders including those from private and community sectors, especially the poor.
- **Rapid and basic:** The purpose of a profile is *not* to generate a comprehensive and technical-precise data base, but to bring together in a clearly structured way the existing basic information that it directly supports initial consultations and prioritisation.
- **Open-ended:** The profile will continue to be enriched and expanded, as work progresses through strategy formulation and action planning. The principle is ‘use what ever information is available; better existing information than no information; but continue updating the profile, as better information is obtained’.
- **Gender sensitivity:** wherever necessary and possible, information should be dis-aggregated by gender (*see also women safety audit in Tool 2.6 “Gender responsive tools”*).
- **Comprehensibility:** A profile should be presented in a simple and accessible format and language, so that it could be understood and used by all or most of the stakeholders.

## HOW IT WORKS: THE ELEMENTS

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The strength of a “profile” in a participatory decision making context comes from the way in which relevant stakeholders are involved in the collection and interpretation of information. Focus or consultative groups consisting of key stakeholders will be established for this purpose, groups which may later be expanded and transformed into stakeholder working groups (*see Tool 2.10*). Information collection is informed throughout by constant interactions among stakeholders. Participatory information collection tools such as Rapid Appraisal<sup>4</sup> are often applied. Focus group discussions and consultations augment information from secondary data sources.

Relevant stakeholders are involved in the design, collection and analysis of information in the profile which is then communicated among stakeholders

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<sup>4</sup> *Rapid Appraisal Techniques are applied by many organizations including the World Bank, UNDP, USAID, GTZ etc*



Profile preparation consists of **four elements**, which generally follow in sequence:

1. **Design:** Initial design of the profile involves two aspects. First is the *substantive*, which includes determining the theme, scope, and scale, as well as clarifying the analytical framework to be used, and also forging agreement among the key participants. Second is the *organisational*, which includes initial identification of stakeholders and sources of information, and also devising mechanisms for contacting, involving and engaging them (*see stakeholder analysis*).
2. **Information Collection:** Using various methods (for example, Rapid Appraisal, small-scale surveys, data search, focus groups), existing and readily-acquired new information is gathered, using the skills, contacts, and linkages of the key stakeholders.
3. **Analysis:** The carefully designed framework of the profile will ensure that the information is structured into meaningful patterns focused on the topic of the profile. A variety of analytical tools can then be used to draw tentative conclusions regarding spatial patterns, evolving trends, plausible correlations, etc. For example, in the “Environmental Profile” the natural resource and activity sector information is aggregated and analysed through a development-environment interaction matrix to identify areas of resource depletion and degradation as well as points of severe conflict and competition for resource use by the various activity sectors in development.

The Environment-Development Matrix Used in the Environment Profile

Environment-Development Interaction Matrix						
		ENVIRONMENT				
		Resource A	Resource B	Resource C	etc.	
DEVELOPMENT	Activity Sector A					▶
	Activity Sector B					▶
	Activity Sector C					▶
	etc.	▼	▼	▼	▼	

4. **Communication:** Effectively communicating the collected information to users and stakeholders effectively is a challenge. The profile should be written in a comprehensible language and attractive style, to be readable by a wide audience but while still maintaining the logic and data content necessary to give force to its conclusions. To ensure this and also to maintain close stakeholder involvement in reviewing, critiquing and enriching the profile, it should be reviewed at two intermediate stages: (outline and annotated outline) before it is finalised. The profile in its complete form can be made available in two versions: the summary version for wider dissemination (including at a City Consultation) and the full version as a working document for subsequent strategy formulation activities.



### ***Preparing profile: Detailed Activities***

- Clarifying analytical framework
- Agreeing on outline
- Identifying indicators and information sources
- Setting up mechanism for interactive and inclusive data gathering and interpretation
- Information collection and analysis
- Preparing annotated outline and discussing with stakeholders
- Completing preparation of the profile (summary and full)

## GENERIC OUTLINES OF SAMPLE PROFILES

### POVERTY PROFILE

**Thematic Focus:** *Urban Poverty*

**Source:** UNCHS Regional Office for Africa and the Arab States

**Outline:**

1. **Introduction to the Study:** Overall Aspects, Objectives, Methodology, Outcomes, Issues
2. **Urban Poverty Framework**
  - 2.1. Defining Urban Poverty
  - 2.2. Characteristics of Urban Poverty
  - 2.3. Conceptual Framework
  - 2.4. Evolution of Poverty
3. **Introduction to the City**
  - 3.1. Physical and Climatic Characteristics
  - 3.2. Urban Development Historical Analysis
  - 3.3. General Characteristics of the City
4. **Urban Development and Poverty**
  - 4.1. Main Issues of the Study
  - 4.2. Sectoral Poverty Profile; Health, Education, Job Opportunities, other related issues
5. **Institutional Frame for Poverty Reduction at the City Level**
  - 5.1. Local Management Structure
  - 5.2. Identification of Poverty-reduction actions
6. **Possible Areas of Actions**
  - 6.1. Priority Actions
7. **Poverty Reduction Strategies**
  - 7.1. Key Issues to be addressed
  - 7.2. Identification of Gaps in Municipal policies
  - 7.3. Attempts made by the poor to overcome situation
  - 7.4. Participation of Actors and Stakeholders
  - 7.5. Implementing Strategies
  - 7.6. Specific Actions
8. **Policy and Regulatory Framework**
  - 8.1. Legal and Institutional Framework
  - 8.2. Policies for Poverty Reduction
  - 8.3. National Plan of Action
  - 8.4. Budget Allocation
  - 8.5. Lessons Learnt

### ENVIRONMENT PROFILE

**Thematic Focus:** *Urban Environment*

**Source:** Sustainable Cities Programme

**Outline:**

1. **City Introduction**
  - 1.1. Key Physical features and Characteristic
  - 1.2. Features of City Development
  - 1.3. Population Characteristics
  - 1.4. Economic Structure
  - 1.5. Social and Administrative Aspects
2. **The Development Setting**
  - 2.1. Manufacturing Industries
  - 2.2. Energy Sector
  - 2.3. Mining and Minerals Extraction
  - 2.4. Forestry and Agriculture
  - 2.5. Water Utilities
  - 2.6. Solid Waste Management
3. **The Environment Setting**
  - 3.1. Water;
  - 3.2. Air
  - 3.3. Land
  - 3.4. Cultural & Historic Heritage
  - 3.5. Env. Hazards; Flooding, Earthquakes
4. **The Management Setting**
  - 4.1. Key Stakeholders
  - 4.2. Urban Management Structures & Functioning
  - 4.3. Strengthening Urban & Env. Management

### LOCAL SAFETY APPRAISAL

**Thematic Focus:** *Urban Safety*

**Source:** Safer Cities Programme

**Outline:**

1. **Introduction to the Appraisal:** Overall Aspects, Objectives, Methodology and Approach, Issues
2. **City Introduction**
  - 2.1. Key features and characteristics
  - 2.2. Population structure and characteristics
  - 2.3. Socio-economic profile
  - 2.4. National and Municipal police forces and law-enforcement policies
3. **Main insecurity problems**
  - 3.1. Types and patterns of crime
  - 3.2. Occurrence of crime
  - 3.3. Fear and perceptions of crime by inhabitants
4. **Causes of crime**
  - 4.1. Local causes
  - 4.2. Environmental Design causes
  - 4.3. Social causes and analysis on groups-at-risk
  - 4.4. Causes linked to the criminal justice system crisis
5. **Positive elements for the development of a crime prevention strategy**  
i.e: Existence of local leaders, mediation practices, NGO's initiatives, Social policies aimed at reintegrating groups-at-risk, etc.
6. **Shortcomings, Obstacles**  
i.e: No victim-aid policy or institution

### COMMUNITY PROFILE

**Thematic Focus:** Community development

**Source:** Community Environmental Management Information Systems, UNCHS-Habitat, 2000

1. Infrastructural Setting
2. Environment Setting
3. Social Setting
4. Institutional Setting
5. Others



## LINKAGE WITH URBAN GOVERNANCE NORMS

A key feature of a participatory-based profiling approach, regardless of its thematic area, is its impact as a result of making more information **accessible** to all stakeholders. The use of diverse information sources, and its application to inform wider sectors of stakeholders, promotes information sharing and **transparency**. The assembly and structuring of information into a logical framework focused on a specific topic makes the process more **effective** and, combined with stakeholder participation, increases **efficiency**. Moreover the application of simple and powerful tools that facilitate the role of the poor and marginalised groups in information collection and interpretation has a significant **empowerment** effect, and hence impinges on the capacity to promote **equity** and inclusion. Deliberate dis-aggregation of information by **gender** also has similar effect.

A profile promotes Transparency, equity,(by empowering marginalised groups),civic engagement, and efficiency.

## CITY EXAMPLES

### 1. THE IMPACT ON THE RIVER SHIRE, BLANTYRE, MALAWI; A CASE OF ENVIRONMENT - DEVELOPMENT INTERACTION:

The Blantyre Environmental Profile prepared in the year 2000 focused on environment-development interactions in the city. Twelve activity sectors were considered influential in city development and environmental sustainability. The profiling exercise was done in a participatory manner, with broad-based stakeholder involvement and consultations in information gathering, and it revealed a number of crucial interactions between some of these activity sectors and the environment setting, i.e. the natural resource base. One particular interaction emerging as a main issue for developmental and environmental management concerns the River Shire as the major source of water in the city.

The River Shire supplies 90% of the city's water but is considered vulnerable due to unpredictable flows and increased siltation. These problems result from soil erosion and massive degradation of the water catchment areas, which are attributed to the city's development activities and hence the increasing demand for land, construction materials, fuel wood, etc. Furthermore the water in the River Shire is also polluted by raw industrial effluent and these contaminants are a serious health risk.

The sources of degradation and depletion of the Shire River have now well been identified through the Blantyre Environmental Profile, and highlighting the problem in this way will enable a City Consultation to prioritise specific strategies and approaches for preservation and management of the River.



## 2. URBAN POVERTY IN ADDIS ABABA

A poverty profiling study in Addis Ababa, Ethiopia, revealed that while much of the government's and donor agencies' concerns for and efforts on poverty has been focused on the rural areas, urban poverty has been on the rise. This is attributed to increased population and rural-urban migration. The participatory poverty assessment in urban Addis found that the situation is marked by declining income and well being, increased insecurity, rising crime and prostitution.

Despite the city having the highest concentration of facilities per population in the country, Addis is not capable of accommodating the increasing population that is attracted by such facilities and by urban employment opportunities. The result is widespread poverty. The World Bank in 1992 estimated that 60% of the city's population was below the poverty line and recent estimates are not different.

The situation in Addis Ababa is well depicted in the poverty profile document, which provides a basis for poverty reduction strategies at municipal level. The profile highlights poverty reduction programmes, specific poverty issues, the institutional framework for poverty reduction, as well as other efforts by government and civil society to respond to the situation.

### References:

1. *Preparing the SCP Environmental Profile*, Volume 1 of the SCP Source Book Series. UNCHS & UNEP, Nairobi, 1999. [This document gives a detailed step-by-step explanation of how to prepare the SCP Environmental Profile; designed to give full support to those preparing an Environmental Profile, the document provides guidelines and practical advice based on real-world experience in numerous SCP cities.]
2. *The Women Victimization Survey*, Safer Cities Programme, UNCHS, and Nairobi. [This is an example of gender-sensitive profiling covering women's safety issues.]
3. *The Guide for Community Based Environmental Management Information Systems (CEMIS)*; UNCHS and University of Dortmund, 2000 (Draft). [This guide offers useful tips on profiling and prioritisation of community level issues using preference ranking and priority matrix.]
4. *Blantyre City Environmental Profile*, Blantyre City Assembly (Malawi) with UNCHS and UNDP, 2000
5. *Addis Ababa Poverty Profile*, (Draft), Regional Office for Africa and the Arab States, UNCHS, 2001
6. Other City Profiles are available from UNCHS headquarters in Nairobi, including numerous examples from the Sustainable Cities Programme and also from the Urban Management Programme, the Safer Cities Programme, and the Disaster Management Programme. City profiles are also available from the UNCHS regional offices.





## 2.4 VULNERABILITY ASSESSMENT

A vulnerability assessment is a profile with a specific focus on the relationship between a natural hazard and recipient subject. This tool is concerned with the specific case of vulnerability to the impact of **flooding**. The vulnerability assessment identifies the strengths and weaknesses of the recipient subject in relation to the identified hazard, based upon readily attainable information. At the same time, it identifies the stakeholders relevant to the subject and identifies as well the decision making process of the stakeholders. This is to allow stakeholders to more effectively mobilise and allocate the limited resources available, to strengthen the ability of the subject to prevent and/or mitigate the effects of the hazard.

Different levels of decision-making require assessments of vulnerability at different geographical scales. As a complication, administrative boundaries rarely coincide with the boundaries of water catchment areas (or sub-catchments). However, the larger the geographical scale on which the vulnerability assessment is based, the greater the loss of local detail; for instance, the risk to life tends to vary greatly over space, more than other forms of vulnerability. In particular, the most severe flash floods, in which there can be a significant number of deaths, are generally floods that occur in small, hilly catchments of less than 100 square kilometres. In making generalised assessments across larger geographical areas, it is important to identify such areas as requiring more detailed assessment.

### PURPOSE

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The aim of vulnerability assessment is to provide decision-makers with information as to where and when interventions should be made, and in what form. Such assessment should also provide indication as to what risks for development exist in specific locations within a watershed basin. In other words, vulnerability assessment should produce information for specific target areas, thus providing an early warning system to alert people to potential dangers from flooding.

The goal is to ensure adequate protection from the hazard, whether the “subject” at risk is housing, factories, farmland, infrastructure, or even a specific ecosystem. Thus, following identification and assessment of vulnerability there are three main types of intervention, which may be used individually or in combination:

- Reducing the challenge;
- Mediating the challenge; and
- Enhancing coping capacity.

### Vulnerability Assessment

- Identifies strengths and weaknesses of a hazard recipient
- Allows involvement of relevant stakeholders, mobilisation of scarce resources and prevention/mitigation of the effect of hazards

Vulnerability Assessment provides decision-makers with information on where and when interventions are needed



## PRINCIPLES

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*A combination of parameters:* Vulnerability is not a simple or readily measured parameter but is, rather, a combination of various measures related to the socio-economic, physical, political, and environmental situation of a specific locality.

*Levels of Vulnerability:* The concept of vulnerability is relative rather than absolute, and hence the thresholds or critical levels of vulnerability which trigger different interventions should be agreed upon by decision-makers and stakeholders.

## HOW IT WORKS

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Vulnerability can be assessed at various levels: individual, household, village, ecosystem, sub-basin, basin, and national. For different levels, different sets of information will be required. It is recommended that the following procedure be taken at any level of assessment:

1. Decision on a target geographical area or assessment unit, taking into consideration scale effects;
2. “Scoping” study to establish for whom the assessment results can be used and for what decisions;
3. Preparation of a causal chain schematic illustration; and
4. Preparation of profile (assessment statement) for:
  - The activity sectors for development (the population);
  - The environmental setting (mediating factors); and
  - The hazard (flooding).

## LINKAGE WITH UG NORMS

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By relating impact with hazard, and making more explicit the relationships between risk and intervention, the tool will promote **transparency** as well as **sustainability**.

### EXAMPLE

This tool is new and has not yet been applied in the field; hence there are no examples of experience to describe. The first application is expected to take place in the second half of 2001 in China.

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### References:

1. *Assessment of Vulnerability to Flood Impacts and Damages*, Disaster Management Programme, UNCHS, Nairobi, 2001



## 2.5 PROPOSITION PAPER

The profiling process brings together a substantial amount of information, from a variety of sources, structured around the topic(s) of the profile(s). A focused Proposition Paper is prepared in order to organise and draw conclusions from this information, based also on the reports of any consultative groups which may have been working; the Proposition Paper thus synthesises the key issues, main options for action, and supporting management arrangements for addressing them.

### PURPOSE

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#### 1. To provide background information for informed debate at city consultations

A proposition paper highlights important urban development information about the city, the key governance issue(s), constraints and opportunities, and efforts already underway to address those issues. It includes preliminary proposals, possible strategies of intervention, and an assessment of trends and likely outcomes, together with an examination of institutional and managerial implications. This is done in a summary form, based upon the Profiling process (*see 2.3 “Profile”*) and upon stakeholder conclusions, to give a clear picture of the key issues in a way that can be understood by the stakeholders who will be at a city consultation event (*see 2.8 “City Consultation”*). The Proposition Paper’s basic purpose is to guide informed discussions and debate.

#### 2. To ‘propose’ possible areas of action;

Drawing on past experiences - failures and successes - and on documented global good practices, a proposition paper proposes possible areas of intervention or a menu of options. In most cases these are not choices between alternatives, but a variety of overlapping and complementary strategy components which in different combinations can address the problem. These strategy options, with associated implementation instruments, will subsequently form the basis for establishing action oriented working groups.

### PRINCIPLES

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**Problem statement.** The proposition paper basically presents the problem (or issue) as viewed by different stakeholders, summarising impacts on living conditions and urban development, future implications, and present institutional arrangements. It substantiates the nature and scale of the issue and justifies the need to intervene.

**Brief and concise.** The proposition paper is brief and to the point, giving a highly focused and concise overview of issue. The information is summarised and logically presented (without complicated technical argumentation) in a manner which can readily be comprehended by a large and diverse group of stakeholders.

A proposition paper summarises the issues affecting the city as well as the institutional arrangements that need to be addressed. It is a major input into a city consultation.

A Proposition paper summarizes background information and proposes areas of action, highlighting possible intervention options.



**Focus.** It is important that a proposition paper has a clear focus and a narrow (and well-defined) scope. It is useful, for example, to have two different types of proposition paper: the issue-specific paper, which deals with a particular urban development issue, and the “institutional” paper, which deals more explicitly with organisational and managerial aspects.

Proposition papers should:

- have clear definition of scope,
- have linkages between issue specific and institutional propositions,
- Conclude with clearly argued proposals.

### HOW IT WORKS: KEY ELEMENTS

The approach to be taken in preparing a proposition paper should be pragmatic, and not research oriented; the proposition paper is an information document, a tool to support informed discussion, consensus-building, and strategy formulation.

- Determine and define the scope of proposition papers in relation to expected outputs. The issue(s) to be covered as well as level of detail should be made clear. For example, it should be specified how far the paper will go in presenting a preliminary “follow-up strategy” for more detailed discussion.
- Agree on main headings for the papers. The issue-specific paper(s) and the institutional paper will have different structures; a typical general structure for each is shown in the two boxes below.

#### Issue Specific Papers: Typical elements include:

- Overview of the “issue”;
- Problem Statement - as viewed by different stakeholders - impacts on living conditions, future implications, present institutional arrangements;
- Separate into components which could form the basis for different strategy components, and may well have different stakeholders who need to be included at the consultation event
- Statement justifying importance of the issue and need to intervene.
- Review past interventions, what worked/ failed, what lessons learned - to justify cross-sectoral approach through Working groups;
- Review ongoing interventions (nothing static) - draw lessons from operational experiences, identify overlaps and complementarities;
- Summarise possible pragmatic interventions for discussion at the city consultation, with key stakeholders to be involved - provides checklist for participants, as well as roles for them to play. After all it is to be a “proposition paper” - so it must propose something!! Best results achieved where the proposition paper proposes what **could** be done (the **what**), by **whom** and **why** - the justification and rationale behind the proposition.

If possible, go to some detailed “next steps” for discussion - but depends upon how far the preparatory discussions have gone, and level of consensus reached, which relates to time invested and approach - for discussion.

#### Institutional Papers: Typical elements include:

- Introduction - development failures are compounded by institutional gaps and deficiencies
- Emphasise that coordination and participation is vital, so is prioritisation
- Need to review the institutional framework to see the way forward
- Description of existing institutional framework (public/private/popular sectors, and how they interact (or don't !!))
- Strengths and weaknesses of the framework - focus on participation/ coordination/linkages and mechanisms - who responsible for coordination, how done, what overlaps/duplications/gaps.
- What should an effective institutional framework have ?
- How can it be created through coordination mechanisms NOT a new institution (which will be politically difficult/take years, if ever !)



- Ensure clear linkages between issue-specific proposition papers and the supporting 'institutional' paper, building the institutional paper from the management 'problems' highlighted in the issue-specific papers, and consolidate the examples into discussion points on the need for participation, partnerships, and improved coordination between stakeholders.
- The paper should present its information in a structured manner, within a logical framework, and with clear arguments to provide the basis for discussion at a city consultation event, taking care not to provide an 'expert' view nor ready solutions, but the background information and ideas needed to inform discussion and reach consensus.
- Conclude with clear arguments on the need for improving current decision making mechanisms and institutional arrangements through cross- sectoral multi-institution Working Groups, with preliminary proposals for how these can be launched after the city consultation event.

## LINKAGE WITH UG NORMS

Making decisions through consensus building among diverse groups of stakeholders takes time, because, decisions have to be negotiated, not imposed. However, this process can be much more effective, and faster, when built on a good understanding of the issues and options as perceived by the various stakeholders. Proposition papers provide exactly that well-structured body of information and framework for discussion, thus making the process both more **efficient** and more **participatory**.

### CITY EXAMPLE:

#### 1. PROPOSITION PAPER ON PRIORITY ISSUES AND INTERVENTION OPTIONS FOR THE LUSAKA CITY CONSULTATION.

Using background information previously gathered in the Lusaka Environmental Profile, the Lusaka proposition paper highlighted Solid Waste Management, Water Supply, and Sanitation as issues of priority concern. The paper reviewed the background of these issues, attributing part of the increased volumes of waste to street vending, an activity which also increasingly demands water as well as sanitary premises in which to conduct business.

The paper then gave arguments to justify considering these as priority issues, based on the extent of the problems and their socio- economic effects on the development of the city as well as their environmental impacts. The core of the paper, however, focuses on proposals for possible intervention options. These included a wide range of possibilities for each of the issues, highlighting and taking into account existing initiatives by different actors as well as constraints facing the initiatives.

The Lusaka Proposition paper was a key input to the Lusaka City Consultation. It was instrumental in structuring and focusing discussions and helping build consensus among the diverse stakeholders present at the City Consultation.

Proposition papers create understanding of issues and options within a clear framework for discussion and help jump-start negotiations in a participatory process



**References:**

1. *Organising, Conducting and Reporting an SCP City Consultation*, Volume 2 of the SCP Source Book Series. UNCHS & UNEP, Nairobi, 1999. Pages 115-122, "Guidelines for Preparing Proposition Papers"
2. The Lusaka Proposition Paper can be found in the *Report of the Proceedings of the City Consultation, Lusaka, Zambia*, UNCHS & the Sustainable Lusaka Programme, 1998



## 2.6 GENDER RESPONSIVE TOOLS

There is wide recognition that integrating gender-responsiveness is an important element in efficient urban planning and management and that no participatory process will be complete without gender mainstreaming. City experiences show that lack of gender awareness can lead to poor decision-making and inefficient implementation of action plans; action plans and project implementation improve considerably if gender concerns are appropriately integrated into programme and project design.

Gender responsiveness is a fundamental criteria of inclusiveness and leads to better decision making and implementation

### PURPOSE

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#### 1. To ensure that the needs of both women and men are considered and addressed.

Women and men have specific roles and interests in human settlements development. For example, women generally play the leading role in household management, often including the securing of housing and basic services. Women are often the backbone of the livelihood system of their families, generating cash or in-kind income. Yet in most situations, planning and decision-making are dominated by men and generally do not take women's special interests, needs and capabilities into account. As a result, women typically do not benefit from urban management interventions, and indeed are often significantly disadvantaged by them. Gender responsive decision-making helps overcome this fundamental problem and allows the needs of both men and women to be given due consideration.

#### 2. To improve decision making and implementation

A gender sensitive decision-making process taps the enormous potential of energy, expertise, and other resources from both women and men, but especially from women who are otherwise largely excluded from the process. Mobilising the maximum participation of both men and women significantly increases the effectiveness of implementation of strategies and development plans.

### PRINCIPLES

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**Inclusiveness;** gender mainstreaming and responsiveness is fundamental for meeting the criterion of inclusion.



## HOW IT WORKS

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Some of the ways in which tools can be modified and/or used to increase gender responsiveness in decision-making, include the following:

1. *Use of gender dis-aggregated data to improve information collection.* This provides the necessary basis for gender analysis and gender responsive planning and management. Presenting issue specific information where possible along gender lines is highly desirable and in some cases even necessary, in order to underscore the impact of issues and activities separately on women and men for impacts which affect them differently. This gender-specific information is also important for stakeholder identification
2. *Gender Specific use of tools.* For example, several tools used in crime and security analysis have been successfully adapted and applied for gender-specific studies, such as women victimisation surveys to assist strategy formulation for prevention of crime against women
3. *Stakeholder Analysis.* Gender differentiation is increasingly used as an integral part of stakeholder identification and analysis, leading to a more balanced and hence stronger stakeholder participation.
4. *Gender Specific Use of Analytical Tools.* Many analytical tools, such as Cost Benefit Analysis or Planning Balance Sheet Analysis, are used to support urban development planning and policy-making, but these have traditionally not incorporated any consideration of gender. However, it is perfectly possible to use an orthodox Cost Benefit Analysis to show the different distribution of costs and benefits to men and to women.
5. *Capacity building tools.* City experience increasingly shows that women require special capacity-building support, because of the many disadvantages which have constrained their abilities to effectively participate. It is also clear that capacity-building activities designed specifically for women are called for, and when these are applied to help bridge knowledge and skill gaps and to empower women and women's groups, the results can be dramatic in terms of stronger and more effective participation.

## LINKAGE TO UG NORMS

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In a participatory process, gender responsive urban planning and management allows for the *balanced* allocation, management and utilisation of available resources. It leads to *equity* in roles and access to these resources. The increased utilisation of these potential resources, especially skills and knowledge of women greatly improves *efficiency* in resource use and in development project implementation, leading to **sustainability**.





## CITY EXAMPLE:

### USE OF GENDER SPECIFIC TOOLS- THE WOMEN SAFETY AUDIT

#### 1. TOOL DESCRIPTION

An issue of primary importance for women is the safety, and hence usability, of public areas in the city. Threats, intimidation, harassment, sexual attacks, and rape are aggressive dangers which considerably inhibit women from moving around in and making use of the city. Most women restrict their movements or activities because these fears and feelings of being unsafe.

One of the ways in which women can feel safer and more fully benefit from the city is to actively participate, together with municipal authorities and other community institutions and groups, in concrete steps to change the situation. The Women Safety Audit is such an approach, based on a critical evaluation of the urban security environment; it was developed in Canada and has been incorporated and further developed in the Safer Cities programme.

**Methodology:** The approach is based on the fact that fear of crime is greatest for women and other vulnerable groups and therefore restricts their freedom and activities in public areas. It assumes that the experts on the security of a particular area are those who frequent it, and the audits therefore involve these vulnerable users, especially women but also children, the elderly, the handicapped, and people from ethnic minorities. The audit helps detect what corrective action needs to be taken in the urban environment in order to make it safer for its inhabitants. For example, one method of evaluation is an “exploratory walk”, which is conducted in the field by a group of 3-6 people, mostly women, who can then identify those areas where the potential for an attack is high or where women may feel unsafe.

**Expected results:** Women’s Safety Audit increases awareness of violence against vulnerable groups and help users and decision-makers understand how men and women experience their environments. It gives legitimacy to women’s concerns and is an effective tool for building community safety. However, careful attention must be given to the cultural and social context in which the audit will be implemented. The place of women, not only in the city and public areas, but equally at the heart of society, must be considered.

The Safety Audit for women can lead to modification of the design and planning of urban space in order to reduce the feeling of insecurity and occurrences of assault. Clearly fundamental is the need to make public spaces safer and more accessible. Frequent safety audits followed by progressive action to implement the findings from local level to city level should be a routine in crime prevention policy.



## 2. APPLICATION OF THE WOMEN'S SAFETY AUDIT IN DAR ES SALAAM:

The Manzese Ward was one of the first areas to implement crime prevention initiatives under the framework of the Safer Cities Programme in Dar es Salaam. Safer Cities worked with the Manzese women and ward leadership to conduct a Safety Audit for women in the Midizini and Mferejini areas of the Ward. A two-day discussion accompanied with an exploratory walk was conducted by women who have lived in the area for not less than five years. The women led the Safer Cities team and Ward officers through the various streets, paths, open spaces and un-finished buildings expressing their experiences of criminal activities at each point.

Observations made reveal that the area is hostile to women's free movement, especially after dark, because of narrow streets, lack of street lightning, blocked paths, unfinished buildings, lack of public open spaces, houses that are too congested, too many guest houses and bars resulting in drunken men roaming the streets, pornography films at local brew centres etc.

Upgrading the whole settlement was thought to be the best solution and it is interesting that the Women Safety Audit became in this way an entry point to address the community's wider problems. Concrete recommendations included:

- improving accessibility and circulation in the area including education to house owners on need for access paths;
- provide street lightning for security purpose;
- sensitise each household on the need for light around their buildings, monitor permits for local brews, bars and guesthouses, monitor type of business run and observe time;
- sensitise owners of un-finished buildings to finish or close up the constructions; and
- institute justice delivery at Ward level to deal with petty crimes against women using traditional leaders in a form of Ward Tribunals.

From the Manzese experience, it can be concluded that implementing the safety audit results might not necessarily involve money to start with, but all the stakeholders in the area should be involved in resource mobilisation, which is made easier with community participation and commitment. This is why the women's safety audit was repeated to include technical municipal representatives, as their sensitisation process is crucial for gaining municipal support.

### References:

1. *Integrating Gender Responsiveness in Environmental Planning and Management*. The EPM Source Book Series, UNCHS & UNEP, Nairobi, February 2000.
2. *Gendered Habitat, A Comprehensive Policy Paper and Action Plan*, UNCHS
3. Policy Paper on Women and Urban Governance, UNCHS, 2000 (Draft)
4. *Violence Against Women in Urban Areas: An Analysis of the Problem from a Gender Perspective*. Soraya Smaoun, UMP Working Paper Number 17, April 2000
5. *Violence and Women's City: Meeting Places and Places of Interaction: Experience of Dar es Salaam*. Anna Mtani, Paper delivered at the Naples Conference, December 2000.



## 2.7 FACILITATION

A participatory process brings together diverse groups of stakeholders and uses mechanisms such as consultative groups, working or task groups, and city consultations to facilitate and maintain the sharing of views and information, dialogue and exchange, negotiation on strategies and actions, and consensus-building. But these desirable results do not happen simply because stakeholders are brought together. The various participatory mechanisms succeed only when properly organised, structured, focused, and supported - in short, **facilitated**.

Facilitation makes participatory activities work effectively through proper structure, focus and support.

### PURPOSE

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1. **To create an environment for constructive and cooperative interaction.**

Good facilitation helps create conditions which encourage diverse participants to freely interact on a basis of mutual respect and shared concerns, with each being able to participate actively in discussions and problem solving. Facilitation overcomes barriers and creates the non-threatening and less formal environment needed to foster common understanding and reach consensus.

2. **To maximise productivity of group work and participation.**

Discussions and activities which are unfocused and open-ended, on the one hand, or are rigidly formalised and hierarchical, on the other hand, are almost invariably ineffective and devoid of substantive content. Carefully planned and executed facilitation is an essential prerequisite for successful participatory mechanisms. Facilitation ensures, for instance, that meetings and consultations are clearly focussed, well structured in relation to the objectives, and organised in a way which will maximise constructive participation by all the stakeholders. This holds true for big events such as a city consultation and for every-day activities such as a task group meeting.

Facilitation provides a conducive environment for discussions and maximises productivity of consultations

### PRINCIPLES

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**Everybody has something to contribute.** Many stakeholders are unaccustomed to meetings and public events and may be reluctant to participate actively (especially the poor and marginalised groups). Nonetheless, every stakeholder has legitimate interests to express, protect and negotiate, as well as important and useful information to contribute. Facilitation should ensure that all stakeholders contribute and gain from participatory cooperation.

**Logical Framework:** Unless structured and focussed, consultations and group work do not lead to meaningful results and can, indeed, become counter-productive because of participants' frustration at lack of progress. Facilitation is grounded on principles of a logical discussion process which mirrors the strategy decision-making process and ensures a clear focus and visible progress.



## HOW IT WORKS

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Facilitation can be applied at many levels, from small group work to complex large-scale city consultations. In all cases, however, an experienced **facilitator** needs to be involved, either to organise and run the event (as in a city consultation) or to train and guide small-group leaders (e.g. working group coordinators) in how to organise and run discussions. The facilitator should ideally combine good knowledge of the technical issues of facilitation and experience in applications with sound knowledge of the substantive topic. The facilitator will also be able to specify the technical tools necessary (e.g. visual aids, room arrangements, cards and boards, etc). Most important, the facilitator will advise on how to organise the advance preparations which are *essential* for success (well-organised agenda, programme of activities, preparation of papers and materials, etc).

A number of key points about facilitation can be summarised as follows:

- Define clearly the objectives of meetings or other events, both in terms of outputs (results) and in terms of process (what is gained from how it is done).
- Apply simple but effective visualisation and moderation techniques; for instance brainstorming visualisation techniques such as the card system are often quite helpful in generating and organising ideas in a participatory way. (*See Examples of Facilitation Techniques below*)
- The discussion/meeting facilitator must listen carefully to all contributors and capture or extract ideas, particularly where these may not be well articulated.
- Prepare a generalised logical structure for the discussion - presented at the beginning - in order to focus contributions in a way which leads to concrete outcomes.
- Create a pleasant and **informal** atmosphere which will encourage free communications and friendly interaction among participants. Carefully avoid encouraging any hierarchical relations or dynamics; for example, do not put high-ranking persons in a chairing or leadership position, using “neutral” moderators or facilitators instead.
- Provoke and encourage people to talk and contribute by providing, when necessary, positive feedback and emotional support (especially for individuals who may be reticent about speaking out), which can be emulated by participants among themselves. At the same time, take polite but firm steps to prevent anyone from unduly dominating the proceedings.
- Be alert for defensive, hostile or argumentative tendencies and take steps to deflect these into more positive and constructive dialogue.
- Use tools such as the Logical Framework (LogFrame) Analysis in developing project concepts (*see 2.11- Action Planning*).
- Consolidate results progressively through stepwise merging and allowing consensus



to develop around key conclusions agreed by all. This can be done by gradually removing ideas which duplicate each other or which are not clearly expressed. However, an attempt should be made to rephrase such ideas first for clarity. Then by highlighting ideas which capture the central focus, obtain and confirm agreement from participants on the final outcome(s) of the activity.

- As part of concluding, generate concrete commitment from participants for specific actions to be taken after the meeting or consultation. Participants should always leave with a clear understanding of what is to happen next.

### ***Examples of facilitation techniques***

#### **Brainstorming as an idea generation technique**

1. Every idea is written down as stated
2. There is no discussion or evaluation to impede the free flow of ideas
3. The important thing is idea quantity not quality
4. Think of ideas that build on previous ideas or even contradict them
5. Do not overlook silly and even absurd ideas - there could be something of value in them
6. Stop after five minutes

#### **The Card System as visualization technique**

The card system is applicable in small working groups to generate a list of ideas useful for information and expertise gathering and for building consensus. The structure of questions that the group is dealing with will be presented and agreed in advance. Each question may be answered in a different colour of card. Cards are displayed on walls or pinboards and a discussion is encouraged on each of the various proposed ideas, which enables the group to organise the information and synthesise conclusions. The card system also facilitates easy reporting.

#### **The Nominal Group technique**

The nominal group technique is an alternative to brainstorming that uses idea generation, group discussion and systematic voting to help a group choose a preferred solution or course of action.

1. Construct a problem statement
2. Ask participants, working independently, to write as many possible solutions to the problem as they can.
3. Participants answers are recorded verbatim on a chartboard until all ideas are reported and recorded.
4. Participants then discuss each idea to ensure that they are all understood. The emphasis here is to clarify the meaning of ideas and not debate feasibility
5. Participants individually select a few (3-5) ideas from the chartpad that they like best and write them on cards, one idea per card. The vote is tallied and ranking of the ideas is calculated and reported.



## LINKAGE WITH UG NORMS

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Facilitation promotes an equitable participation among consulting stakeholders

By facilitating a consultative meeting a level playing field for participants is provided where there is common understanding of issues and where every voice and opinion counts. This greatly promotes an *equitable participation* of stakeholders. The moderation of these meetings also promotes consensus, which is built on clear understanding of issues and commitments.

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### References:

1. *Organising, Conducting and Reporting an SCP City Consultation*, Volume 2 of the SCP Source Book Series. UNCHS & UNEP, Nairobi, 1999
2. *Training Materials on Facilitation of Discussion Group*, Douglas McCallum, for UNCHS (Sustainable Cities Programme), 1998.
3. *The Councillor as the Communicator*, Training for Elected Leadership - Local Leadership Training Materials, Handbook 4 pg. 33-34, UNCHS -LLM
4. *The Councillor as the Financier*, Training for Elected Leadership - Local Leadership Training Materials, Handbook 8, pg. 30, UNCHS -LLM
5. *Techniques of Participation: Basic Group Facilitation Methods Manual*. Associates in Rural Development, for USAID (Governance through Local Democracy Project), Manila, Philippines, 1997.



## 2.8 CITY CONSULTATION

A City Consultation is a *participatory event* for bringing stakeholders together to create a better understanding of issues, to agree on priorities, and to seek local solutions built around broad-based consensus. Throughout the participatory urban decision-making process, “consultations” are carried out at various levels, forms, and scale, perhaps addressing different issues. However, the focus here is on the first large-scale City Consultation, which is a key event in kicking off the whole process and giving it momentum

The first City Consultation event brings stakeholders together to agree on priority issues and build consensus on mechanisms to address them.

The City Consultation is therefore a high profile city-wide event, normally held at the end of the “preparatory phase” (start-up and situation analysis) of the over-all participatory process. (Other city consultations, typically on a smaller scale, are often held at later times in the process.) This initial, large-scale City Consultation not only mobilises a wide range of stakeholders, but also focuses them in a collaborative structure on common problems, leading to agreement on priority issues - and on mechanisms for addressing them. The City Consultation is normally a very substantial event, lasting 3 to 5 days.

### PURPOSE OF CITY CONSULTATION

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The City Consultation has the following main purposes

1. To identify, review and expand upon urban issues of priority concern, which affect the sustainable growth and development of the city.
2. To bring together key actors from the public, private and popular sectors in order that they agree on the need for, and commit themselves to jointly develop, an improved city management process which is built on partnerships and which cuts across sectors to promote sound development.
3. To demonstrate a process of defining priority concerns and identifying key actors and a methodology to establish the participatory cross-sectoral working group approach.
4. To agree on a mechanism for developing an appropriate institutional framework, for strengthening and maintaining the process, and for linking these activities to existing structures, as well as demonstrating the necessity for pooling resources in order to address the priority issues.
5. To mobilise social and political support and to obtain the commitment necessary to operationalise the cross-sectoral working group approach in addressing the agreed priority issues.

A City Consultation facilitates information sharing, consensus building and broad based stakeholder participation.



## PRINCIPLES

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A city consultation is built upon the following principles.

A city consultation is a demand driven continuous process.

- **Inclusiveness.** A City Consultation aims to bring together all key stakeholders groups (including marginalised and vulnerable groups), providing an opportunity for such groups to identify their concerns, to express their positions, and to determine their role and contributions.
- **Continuous Process (“not an end to itself”).** The first City Consultation is not an end product but the launching of a process of further action. At the end of a City Consultation, agreements should have been reached on priority issues and forms of participation, as well as on organisational arrangements. (All of these agreements will be articulated and endorsed by participants in the form of a “Consultation Declaration” or “Urban Pact”. Following the City Consultation, the work proceeds through the task groups and other consultative processes formulated and agreed.
- **Demand Driven.** A City Consultation is carefully structured and facilitated to lead to concrete outputs, whilst remaining open and responsive to the stakeholders’ needs. Each of the major stakeholder groups has ample opportunity to identify their concerns, to outline their perspectives, and to argue their case. The organisers of the City Consultation ensure a structure conducive to free and focused discussion, but they do not build in pre-made answers or solutions - these must evolve in response to participant discussion and negotiation.
- **Bottom-up process.** The CC is not based on statutory instruments and formal administrative procedures, but instead draws its mandate and legitimacy from the expressed collective will of the stakeholders participating.
- **Co-operation not confrontation.** The CC builds on finding common ground and on sharing knowledge, expertise, and resources from different sources. It promotes cooperation and pooling of information and encourages the joint mobilisation of resources. It fosters a common understanding on issues and builds consensus.
- **Conflict Resolution.** The City Consultation promotes better understanding of different perspectives and interests, and facilitates finding common ground and shared interests, and also builds willingness to work out mutually acceptable solutions
- **Flexibility.** The City Consultation has been successfully used in many different socio-cultural contexts, at different scales and intensities; its general framework and process have proven to be applicable in virtually any city, allowing stakeholders to progress towards a more participatory process and facilitating consensus and agreement on commitments to action.





## HOW A CITY CONSULTATION WORKS

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### A. Preparing for a First City Consultation Event

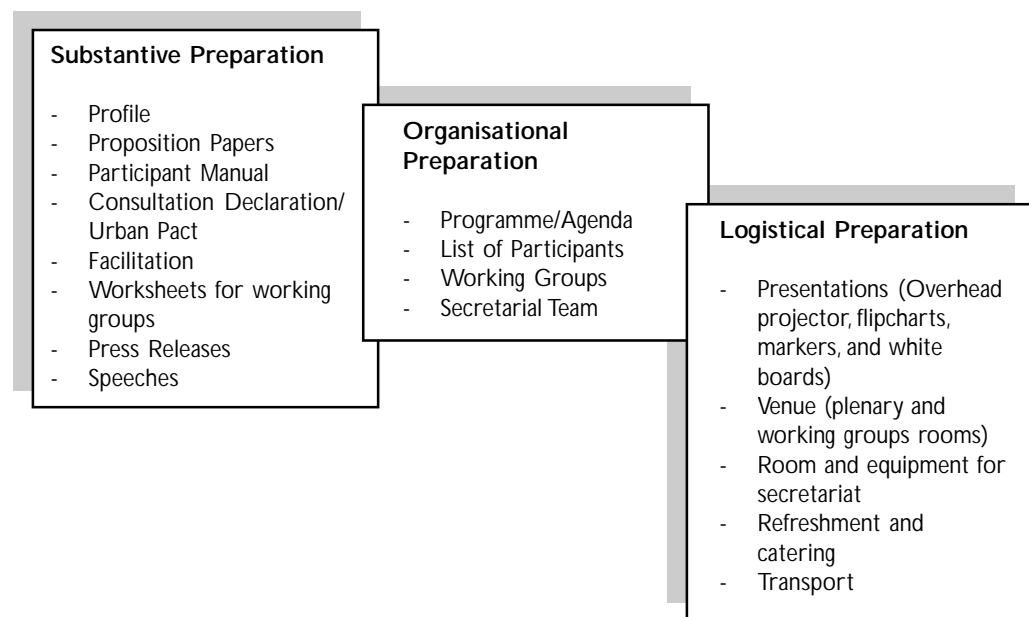
The following preparatory activities are usually undertaken in order to ensure successful running of the city consultation;

- Committing high level Decision Makers (to ensure political, financial and organisational support)
- Establishing and training/motivating a Consultation Organising Team
- Mobilising a facilitator/moderator and integrating the facilitation requirements (*tool 2.7*) into the planning of the Consultation
- Identifying stakeholders (*tool 2.2*), developing and progressively refining the list of Consultation participants
- Mobilising and briefing consultants and resource persons
- Deciding the number of Consultation days (2-5) and preparing an agenda and programme of activities to fit
- Preparation of resource materials: profiles (*tool 2.3*), proposition papers (*tool 2.5*), speeches, participant information packs, briefing notes, etc.
- Holding bilateral and sectoral stakeholder consultations before the City Consultation, to involve key groups in the preparatory activities
- Selecting discussants and developing the programme of activities in detail
- Organising the key logistics: venue, dates, equipment, etc.
- Establishing and training a Consultation secretariat (for organisational, administrative and logistical support)
- Raising public awareness of the forthcoming Consultation, disseminating information, generating publicity
- Finalising substantive and logistical preparations
- Re-confirming stakeholders participation
- Re-confirming political support and participation

The City Consultation event can take 2 -5 days depending on scope, scale, objectives and resources



## ***Checklist for Preparing a City Consultation***

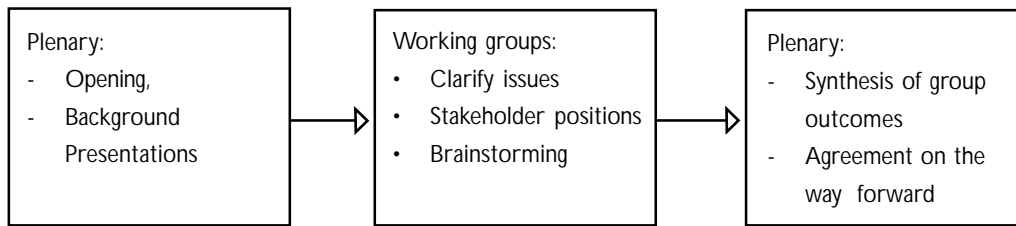


### **B. Activities during the event - Conducting the Consultation**

- *Opening and Overview.* Establishing a common understanding of context, framework, purpose, and procedures of the City Consultation.
- *Identifying and reviewing Issues of Concern.* Summarising the profile(s) and allowing stakeholders to identify and review the issues of concern.
- *Demonstrating a methodology to discuss specific issue(s).* Demonstrating how to zero in on one specific issue at a time and discuss it from the different perspectives of stakeholders (*see example below*). The working group approach for addressing issues through cross-sectoral and inter-institutional mechanisms is also demonstrated.
- *Discussing the Institutional Framework:* reviewing institutional factors that constrain the effective management of issues and assessing the need to adapt and develop new participatory processes that promote better decision making, co-ordination, and implementation. This includes obtaining support from the Consultation participants for the new process and their agreement on the necessary institutional arrangements and mode of implementation.
- *Summarising and Drawing Conclusions:* agreeing on the conclusions that come out of the Consultation and obtaining a broad mandate for carrying forward the process, including agreeing on monitoring arrangements.
- *Closing:* Agreements are usually summarised in a Consultation Declaration (or Urban Pact - See 2.9) which is then adopted as a formal statement of Consultation results and decisions on next steps. This is also reporting back to high level officials and participants not able to attend all the sessions, to re-affirm their commitment and support.



*Structure of a typical Consultation Event*



***Example of Worksheet for Group discussion on Priority Issue***

<b>1. Establishing the Issue as a serious concern</b>		
In what ways do the issue affect the development of the city	Who bears the cost or who is affected by it	Who contributes to the issue/ problem
<b>2. The Key Components</b>		
Which components need to be looked into in order to address the issue in a holistic and systematic manner		
<b>3. The Way Forward</b>		
Short term actions for each component	Long term actions for each component	
<b>4. The Stakeholders</b>		
Who should be involved in negotiating strategies and implementing them	What can they contribute (Expertise and Information, policy instruments, implementation capacity, financial resources)	



### **C: Reporting the Consultation; Follow-up Activities**

- Preparing, producing and disseminating the Consultation report
- Disseminating the (signed) final document inscribing the relevant agreements and consensus, usually in the form of an Urban Pact or City Declaration
- Establishing the agreed monitoring arrangements
- Setting up the working groups and other participatory mechanisms agreed.

#### **LINKAGE TO URBAN GOVERNANCE NORMS**

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The City Consultation is one of the tools for civic engagement through active participation in decision making

A City Consultation brings together a full range of stakeholders including the poor, women and other marginalised groups. It helps break down barriers between different stakeholders and serves **equity** objectives by giving many groups, such as the poor, a genuine opportunity to participate in the management and the governance of their city.

In so doing a City Consultation is one of the most important mechanisms for real participation and **civic engagement**. It promotes openness and **transparency** and creates a positive environment for collective problem solving, thus enhancing the **efficiency** of local governance.

#### **CITY EXAMPLES:**

##### **1. CONDUCTING A FIVE DAY CITY CONSULTATION ON ENVIRONMENTAL ISSUES IN LUSAKA, ZAMBIA**

A five day city consultation was conducted in Lusaka Zambia in March 1997 with the full participation a cross spectrum of stakeholders, including high level politicians and officials, the Mayor and a Minister. The activities of the consultation can be summarised as follows.

**Day 1: Opening and overview of Environmental Issues:** This dealt broadly with the Environmental Profile of the Greater Lusaka Area, a city overview, a global overview of the sustainable cities programme, and presentation of the Sustainable Lusaka Project. In addition, key presentations highlighting critical environmental issues from their point of view were made by key stakeholders who included;

- Ministry of Local Government and housing
- Environmental Council of Zambia
- Lusaka Chamber of Commerce and Industry
- Vendors and Self Help Association
- Lusaka Water and Sewerage
- Road Traffic Department
- Resident Development Committee
- Lusaka City Council
- Poverty Assessment in Lusaka
- The media
- University of Harare



**Day 2: Solid Waste Management, Safe Water Supply and Sanitation:** A proposition paper looking at the first set of issues (Solid Waste Management, Adequacy of Safe Water Supply, and Sanitation) was presented, followed by a poverty assessment and responses from a variety of discussants. These presentations formed the basis for debate in small-group discussions and helped to establish common ground on the issues among stakeholders.

**Day 3: The Environmental Quality of Lusaka Central Business District.** This second issue was introduced by a proposition paper, again followed by a poverty assessment and discussant responses. These generated debate in group discussions and helped to establish common ground on the issues among stakeholders.

**Day 4: The Institutional Development Management Arrangement:** This dealt with the institutional framework necessary to address the identified critical issues. The proposition paper on this topic analysed existing institutional development management arrangements and pointed out the need for a better coordinated framework which could improve the ability to address the environmental concerns previously discussed. This was further discussed in small groups. Emphasis was given to linking the process with the City Council Structure and its Standing Committee.

**Day 5: Consultation Conclusions and Closing:** This brought together the results of the previous four days' presentations and discussions, followed by a general discussion to reach consensus on key environmental issues and to synthesis Consultation results.

A **City Declaration** was prepared by participants' representatives for adoption in order to commit stakeholders to work in common to addressing the prioritised environmental issues affecting the city of Lusaka. To date that commitment still holds with strongly routed cross-sectoral working groups on the various issues.

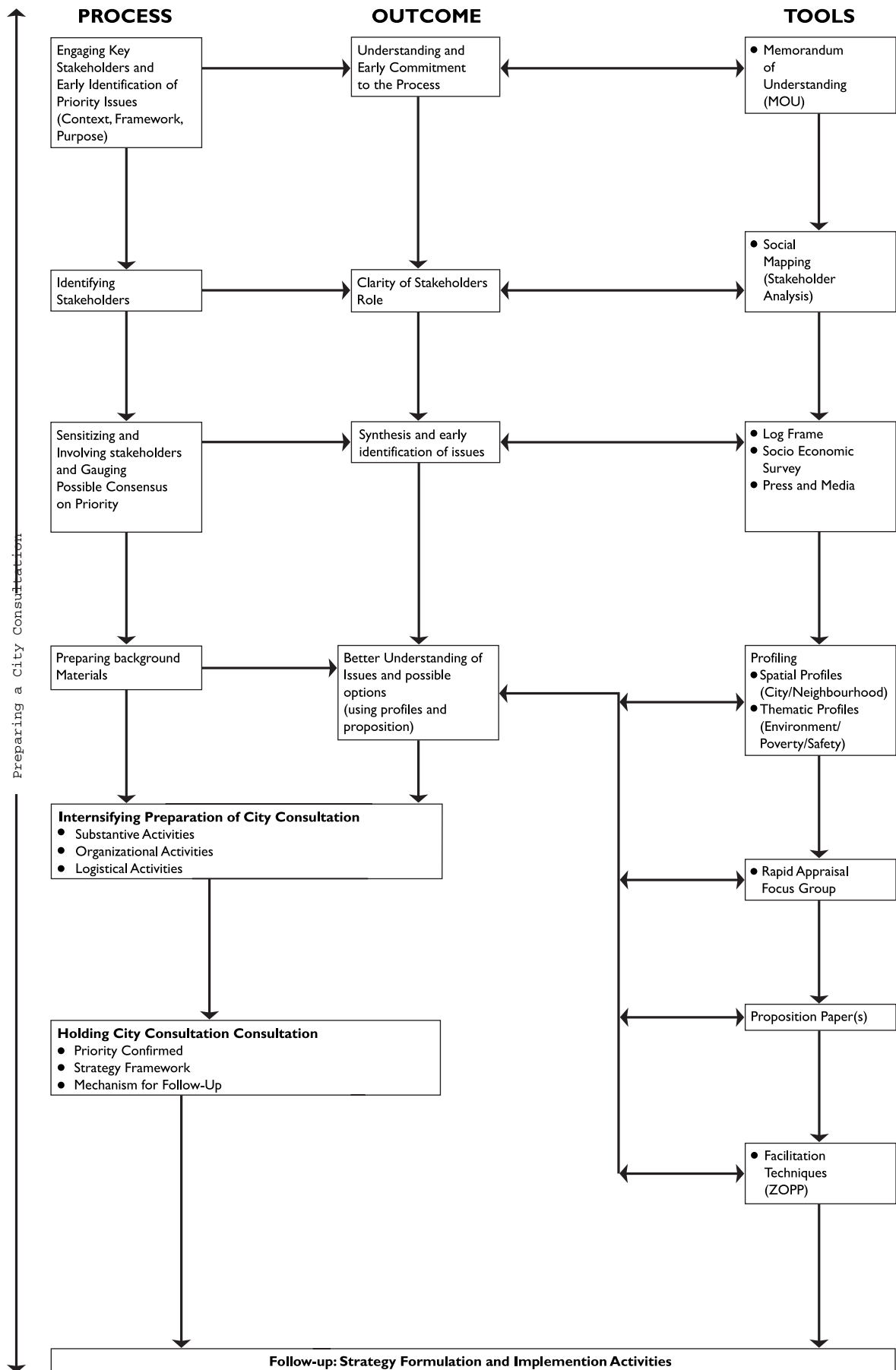
## 2. CONSULTATIVE WORKSHOP IN NAKURU, KENYA

As part of the process of consensus-building towards a commonly agreed action platform, the Municipal Council of Nakuru (MCN) organised a Consultative Workshop in early 2001, supported by the Localising Agenda 21 Programme. This Workshop brought together a wide range of stakeholders in the Nakuru urban development process, including elected Councillors, officers of MCN, District and Provincial administration, research and training institutions, parastatals, NGOs and CBOs, industrialists and other project partners. Based on the information provided in keynote addresses, position papers, and site visits, the workshop reached a common understanding of the factors promoting and hindering sustainable urban development in Nakuru. Small groups worked towards an integrated view on urban development of Nakuru and deliberated on relevance and feasibility of possible action areas.

The result of this work has been synthesised into an "Urban Pact" (*tool 2. 9*), expressing a vision and concept of the desirable development of Nakuru Municipality, a prioritised list of inter-related action plans to implement this vision, and a decision-making structure.



## *Schematic Overview of the City Consultation Process*





## References:

1. *Preparing, Conducting and Reporting an SCP City Consultation*, Volume 2 of the SCP Source Book Series, UNCHS & UNEP, Nairobi, 1999
2. *UMP City Consultation Guidelines (revised paper)*, UMP Core Team, October 1999
3. *From Participation to Partnership; Lessons from UMP City Consultations*; Urban Management Programme; UNCHS/UNDP/World Bank; Published for the Urban Management Programme by UNCHS (Habitat), Nairobi, Kenya; 2001
4. *Participatory Urban Governance: Practical Approaches, Regional Trends and UMP Experiences*. Edgar Pieterse, Urban Management Programme Discussion Paper Number 25, UNCHS for the UMP, Nairobi, 2000.
5. Reports from City Consultations in Lusaka, Nakuru, and many other cities are available from UNCHS, Nairobi, particularly from the Sustainable Cities Programme, the Urban Management Programme, and the Localising Agenda 21 Programme.



## 2.9 URBAN PACT

The Urban Pact is a negotiated agreement between a wide range of stakeholders in urban development.

The Urban Pact is a negotiated agreement designed to formalise the commitments of the partners in a particular set of sustainable urban development initiatives. In the framework of participatory urban governance process, this tool is generally used at the end of a City Consultation. The intent and collective will of stakeholders as expressed during the Consultation is documented in the Urban Pact, also often referred to in this context as the ‘City Declaration’. This Pact articulates the vision, goals, strategic objectives, and action areas, which stakeholders have agreed upon, including specific follow-up activities. The Urban Pact is usually taken to the Municipal Council for tabling or approval, to confirm the city’s commitment to the strategy formulation and implementation phase of work.

### PURPOSE

The Urban Pact serves two primary purposes

The Urban Pact formalises collective visions and agreements and confirms commitments towards their fulfillment

#### 1. To formalise collective visions and agreements

The participatory process leading up to and including a City Consultation involves extensive discussions, negotiation, and interaction among stakeholders as they converge towards agreement. The Urban Pact plays a crucial role in bringing together the substance and results of this process, making explicit the agreements reached, and formalising the collective view of priorities, strategies, actions, and frameworks for follow-up.

The Urban Pact combines vision, action and communication and supports integrated policy and strategy implementation.

#### 2. To concretise commitments

The urban pact is a useful instrument to link vision, action and communication. In this respect it is an important tool through which stakeholders articulate and make explicit their human, technical and financial resource commitments as well as their agreement to work together within the participatory framework agreements.

*General objectives for an Urban Pact.*

- express a jointly developed **vision** for the sustainable development of their city.
- formalise agreement on priorities for **action** during a specified period of time.
- propose an institutional framework and **communication** mechanism structure to support implementation of the agreement.
- Make explicit the partners human, technical and financial resource commitments as required to implement the framework agreement.

### PRINCIPLES

**Communication and Inclusiveness:** The process of developing an Urban Pact requires the involvement of the full range of different actors in the planning and decision making





process. It facilitates communication among these actors by making explicit their different views and interests and the negotiation process which lead to consensus.

**Dynamism:** The Urban Pact is a dynamic instrument of planning, an action and result oriented agreement between all responsible parties. The Urban Pact is the formal statement of the outcomes (vision, strategy, actions, framework) of a participatory process. As this process is necessarily a continuous one, the Urban Pact will need to evolve as the process proceeds, to reflect changing views and to incorporate new or different situations. The Urban Pact can readily accommodate this need for change (*see the city example below*).

**Commitment.** To systematically implement actions that will bring the city closer to its vision, difficult but concrete decisions are needed to bind the different stakeholders involved. Since implementation of strategies and action plans in a participatory process usually involves multiple parties, Urban Pacts are useful as they make explicit the intentions and obligations of all parties, jointly and individually.

**Complementarity.** Many city pacts also strategically complement traditional instruments, but since they are prepared in a participatory manner they set new parameters for good urban governance.

## HOW THE URBAN PACT WORKS

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The following measures are necessary in order to develop an effective **Urban Pact** at the end of a city consultation (or similar participatory event):

- The consultation event to be carefully structured so that all the essential ingredients of the Urban Pact can be easily drawn from the consultation results. This include synthesis of working group discussions for reporting back in plenary sessions, allowing time for more discussions in these sessions to facilitate broad based agreements on issues, development of clear support commitments, etc.
- At the end of the consultation, a “neutral” person/facilitator should be appointed to come up with a draft version of an Urban Pact, which reflects the agreements that emerged or reflected prior to and at city consultation. The Pact is written on behalf of all parties to the negotiations - the stakeholders.
- The draft Urban Pact is reviewed by a small group representing the major stakeholders to verify that the draft reflects and respects the commitments made during the consultation.
- The Urban Pact is approved, signed, or minuted on the occasion of the next full meeting of the Municipal Council. This usually happens less than three months after the end of the city consultation.
- The institutional structure proposed in the Urban Pact takes effect immediately after approval.

The Urban Pact as a tool has been applied in many cities, particularly through the Localizing Agenda 21 (LA21) Programme and, in the form of a City Declaration, through the Sustainable Cities Programme.



- After a period specified in the Pact, the progress is reviewed through a progress report presented on the occasion of another consultation event.
- As and when significant institutional, economic, social or environmental changes occur, a new Urban Pact can be negotiated, reconfirming the long-term vision, updating priorities and setting new targets.

The Urban Pact upholds transparency and accountability as well as civic engagement.

## **LINKAGE WITH URBAN GOVERNANCE NORMS**

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The Urban Pact, being a formal document reflecting the views and commitments of a broad range of stakeholders, and at the same time is publicly declared and available upholds **accountability and transparency**. The range stakeholders that must be involved in its negotiation and agreement also serves to improve **civic engagement**

### ***Typical Outline of an Urban Pact***

- 1. Preamble**  
Participants gathered in the present meeting recommend this Urban Pact for approval by the Municipal Council
  - Key events which preceded this meeting (e.g., earlier consultations, decisions)
- 2. Mandates**
  - Recall formal mandates and agreements, going down from international level to local level (e.g., Agenda 21, Habitat Agenda, national poverty reduction plan, local development plan, local by-laws)
- 3. Fundamental Principles**
  - Potentials and constraints concerning the development of the city (spatial, social, economic)
  - Take note of ongoing initiatives (e.g., investment plans, new policies)
  - Express a shared vision on the future (e.g., how do we want our city to be in 2015)
- 4. Commitment Package**
  - Specify the measures agreed upon according to thematic categories; this is the largest part of the Urban Pact (e.g., to undertake a survey; to demonstrate a technology; to revise legislation)
  - Specify communication mechanisms (e.g., further mini-consultations; awareness campaign; relations technical - political officers)
  - Propose institutional set-up (e.g., advisory board; working groups)
- 5. Resources**
  - List partners commitments to contribute resources (e.g., human, technical, information, financial)
  - Describe intention to mobilize resources at different levels e.g. rationalize municipal revenues; approach to external support agencies.
- 6. Monitoring and evaluation**  
Specify timing and modalities for review of agreements (e.g., frequency of review meetings; need to produce new version of Urban Pact: No.2, No. 3)
- 7. Approval**  
Date and signatures of key partners (on behalf of the consultation group)



## CITY EXAMPLE:

### 1. THE URBAN PACT PROCESS IN NAKURU, KENYA

On the occasion of a city consultation in November 1996, key urban stakeholders of Nakuru, a rapidly growing town of about 350,000 in the Rift Valley of Kenya, decided to formulate and implement a Local Agenda 21 for their communities. Based on the outcome of the city consultation, a small team drafted the **1<sup>st</sup> Urban Pact** during the weeks following the consultation event. The 1<sup>st</sup> Urban Pact for Nakuru sums up the urban environmental issues at stake, articulates a vision, proposes an action programme and spells out the institutional framework and funding to implement the proposed actions. The Pact was approved at a session of the full Municipal Council.

Implementation of selected actions was supported by five thematic consultations on issues contained in the Urban Pact, including revenue rationalisation, strategic planning and environmental upgrading. The progress of the implementation of the Pact was reviewed on the occasion of a stakeholders meeting in May 1998, which resulted in the agreement on a **2<sup>nd</sup> Urban Pact** which was subsequently approved by the newly elected Municipal Council. Building on the past achievements, this new Pact specifies the commitments of all partners concerned for the next period and proposes modifications in the institutional set-up of the Local Agenda 21 teams. Following the approval of the Strategic Structure Plan for the sustainable development of Nakuru in April 2000, a **3<sup>rd</sup> Urban Pact** will guide the consolidation of the Local Agenda 21 achievements in Nakuru.

This case study demonstrates that the role of the Urban Pact is to provide a consensual agreement on the way forward, and to outline clear principles, priority areas and concrete commitments. Experience has shown that municipal councils feel more at ease with monitoring progress in implementing an Urban Pact than, for instance, an external project document. The Urban Pact is a good instrument to refer to as a **firm agreement on priorities**, in situations where there are temptations for certain partners to change priorities for opportunistic reasons, or in cases where a partner would stray from the agreed path. Experience also indicates that it is **not** advisable to negotiate Urban Pacts during the last six months **preceding municipal elections**, as there is a danger of it being used for political motives by the Council with the risk of being short-lived.

#### References:

1. *Strategic Structure Planning: a way to localise Agenda 21*. proceedings of the Nakuru Consultative Workshop, Municipal Council of Nakuru, UNCHS, and BAADG/DGI, April 1996
2. *Structuurplanning: een handleiding voor gemeenten*. Ministerie van de Vlaamse Gemeenschap. AROHM, 1994 (§ 2.2 Driesporenplanning) {*Structure Planning: a Guidebook for Municipalities*. Ministry of Flemish Governments, AROHM, 1994. (section 2.2, Three Track Planning)}



## 2.10 STAKEHOLDER WORKING GROUP

A working group is an institutional mechanism to follow-up the results of the city consultation.

A Stakeholder working group is one of the institutional mechanisms to **follow up** agreements reached at the city consultation (*see 2.8 “City Consultation”*). It evolves from and builds on consultative groups which are usually established at the start-up or profiling stage and on the discussion groups which are established during the city consultation.

Working groups are constituted by representatives of stakeholder groups and institutions and they last as long as is required for strategies and action plans (*see 2.11 “Action Planning”*) to be negotiated and agreed, and demonstration projects (*see 2.13 “Demonstration Projects”*) to be developed. Their composition and size, and intensity of work, varies with the different stages of the process and project cycle, allowing flexibility and dynamism. In some cases working groups are also referred to as task groups, technical advisory groups, coalitions *etc.*

### PURPOSE

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A stakeholder Working Group has the following primary purposes;

1. **To elaborate, consolidate, and build on the consensus reached at the city consultation**

A city consultation ends with agreed priority issues and action areas, which are outlined in draft “Urban Pact” (*see 2.9*). This will normally include agreement on the institutional follow-up, including the setting up of Working Groups for the priority issues or action areas. An immediate task of the working groups is to finalise the urban pact for formal endorsement by responsible partners, including particularly the local authorities. Furthermore, because working group activities (clarifying issues, reviewing strategies, negotiating action plans and demonstration projects) take place through focussed diagnosis of issues, and through discussions, consensus-building and negotiations, the working group process steadily refines and strengthens the agreements and commitments reached earlier at the city consultation.

2. **To ensure cross sectoral linkages and coordination in decision making**

The composition of working groups, with representatives of many different stakeholder interests and institutions, provides the basis for better coordination of decisions and actions that relate to cross-sectoral issues or concerns. By bringing together representatives from diverse stakeholders, including those representing different sectoral interests, the working group process builds capabilities for and habits of collaboration and cooperation. The process of working together to clarify issues, formulate strategies, develop action plans, and execute demonstration projects, demonstrates in practice the advantages of cross-sectoral cooperation and shared commitment to agreed common aims; it then supports a better mobilisation and leveraging of resources and implementation instruments in order to more effectively change the physical situation.

Through a Working Group, stakeholders negotiate strategies, develop action plans and initiate demonstration projects.



## PRINCIPLES

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**Cross sectoral and multi-institutional:** Improved coordination can only be achieved through cross sectoral representation and multi institutional participation in working groups which underlines the critical importance of stakeholder analysis tool (*see 2.2*).

**Consensus building:** Working groups function through the principles of consensus building and therefore are most effective in dealing with cross cutting issues for which traditional administrative arrangements are least suitable.

**Flexibility:** The working group approach is flexible and can readily accommodate changes, for example, creating sub-groups for emerging sub-issues and their components, adjusting size, modifying composition of members, *etc.*

**Legitimacy:** Working groups are not independent institutions or parallel structures; they draw their mandate from the existing institutions who are participating through their representatives. Neither are they permanent. Their most active period lasts only until strategies are negotiated and demonstration projects are developed.

A working group is cross sectoral and multi- institutional mechanism that augments existing institutional arrangements.

## HOW IT WORKS: THE KEY ELEMENTS

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1. **Establishment:** *working groups evolve through the process participatory decision-making process.* This normally begins with consultative or focus groups which are formed prior to the City Consultation. These *consultative groups* are small (5-10) and comprise core stakeholders who participate in the preparation of profile(s) and proposition papers. During the city consultation, a wider range of participants become involved in dialogue through thematically structured *discussion groups*. The city consultation is immediately followed by the setting up of issue- or topic-specific *Working groups* to follow up and develop further what has been discussed and agreed at the consultation.
2. **Mandate:** Working groups draw their mandate from the commitments made by participants at the city consultation, which are outlined in the draft “urban pact” agreed at the city consultation. These publicly-made institutionally-based commitments provide the basis of legitimacy and mandate for the working groups.
3. **Size and Composition of WG:** Experience has clearly shown that a working group should be of the appropriate size to actually “work” and carry on constructive discussion - usually around 10-12 members. Larger size of membership diminishes the ability of members to interact readily, function as a team, and find time suitable for meetings. But the key elements for successful working group effectiveness are *composition* and *level of representation*. Missing out important stakeholders or failure to attract representatives at the proper level of competence and authority, will quickly undermine the effectiveness of the working groups.
4. **Support to Working Groups:** Working groups need different types of support in order to perform effectively. This support will vary in relation to the different working group activities, but should include general process support such as moderation of meetings, training in facilitation, and mediation in negotiation and conflict resolution. There should also be

The key for effective functioning of a working group is its composition and the level of competence of its members.



substantive support, such as guidance in action planning and project development. Where resources allow, support can also include specialised technical advisory services in specific areas such as water and sanitation or infrastructure provision, or in application of information technology (IT) tools in different thematic areas such as environmental planning and management.

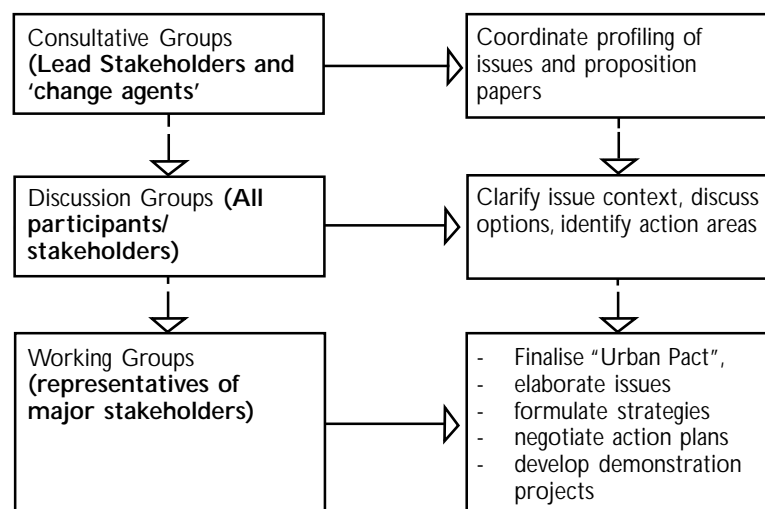
## LINKAGE TO URBAN GOVERNANCE NORMS

In many situations, the first city consultation brings together different stakeholders perhaps for the first time ever, and creates a refreshing sense of working together, belonging to the city, and appreciating the possibilities of playing a role in urban development decision making. However, unless followed-up effectively, the high sense of commitments and expectation aroused at the city consultation will fizzle out .

Working Groups provide a mechanism for continued engagement of stakeholders.

Working groups, in their different forms, provide such a follow-up, ensuring the continued engagement of major stakeholders after the City Consultation. Working groups bring together stakeholders ranging from community group representatives and civic leaders to public officials and private sector operators. Working groups facilitate the development of strategy consensus, detailed action planning and implemented demonstration projects through improved co-ordination between different sectors and institutions. Working together in this way, stakeholders over time develop better understanding of the issues and of each other. By involving diverse groups of people in the action planning process, working groups become instrumental for inclusiveness in decision making; they are also a vehicle for capacity building, which in turn enhances performance and efficiency of local authorities and their partners, while at the same time enhancing the ability of weaker groups to participate effectively (empowerment). This also provides a suitable environment for innovative implementation approaches such as public-private partnerships.

### *Evolution of Working Group during the Participatory Process*





## 1. THE LOCAL SAFETY COALITION

The Local Safety Coalition is a specialised type of Working group, which brings together those involved in the safety issues of a city and those who represent the various interest groups in the area. The Local Safety Coalition includes the municipality, the criminal justice system, the private sector and the civil society. Its purpose is to generate consensus among the partners, to prepare and validate the Local Safety Appraisal (a safety profile), and to *develop a strategy and an action plan*. These Coalitions can be temporary, focusing on a specific short-term topic, or institutionalised, focusing on a long-term topic.

There are three broad types of coalition:

- a. Permanent regulatory urban security coalitions: these receive public funding, several levels of government participate and they are led by the municipality, often jointly with police or justice authorities;
- b. Coalitions set up at the initiative of the institutions on a non-regulatory basis: these are temporary and geared to a specific project, working on specific themes and raising their own funding. They are informal and originate from a local dynamic;
- c. Ad hoc “emergency” informal coalitions formed at the initiative of a local partner in response to an event.

These three types of local coalitions group together the key stakeholders in urban security: local government, police, justice, civil society, professionals and the private sector. Such Coalitions have four main tasks:

1. To define problems that need to be solved by comparing viewpoints and experiences;
2. To take stock of the available resources: financial, human, material, services;
3. To draw up action programmes;
4. To follow and if necessary to readjust local security policy as time passes.

The Local Safety Coalition brings together the key partners to reach consensus and commitment on an urban crime prevention strategy through dialogue and partnerships. The Local Safety Coalition is expected to become institutionalised within local authority structures to ensure sustainability. The Coalition involves all key urban actors on the basis of equity and civic engagement. Finally, the Coalition addresses safety issues.



## 2. ADAPTING THE WORKING GROUP CONCEPT IN CHENNAI, INDIA

The participatory process in Chennai (formerly Madras) saw a city consultation prioritise three main issues for the city, including traffic congestion and air quality. As a result, action committees for each of the issues was constituted at state government level. In addition, working groups were set up at the level of key local stakeholders and implementing institutions, for each of the sub-strategies. These were assigned an anchoring institution, a core task group, and an expanded task group, to ensure full accountability of strategies and their implementation, sharing of responsibilities, and wide involvement of stakeholders. The following is a summary of the various working groups and their tasks.

### STRATEGY/ISSUE

- |   |  |
|---|--|
| 1. Better Liquid Waste Management and Improvement of Waterways        | <ul style="list-style-type: none"><li>• Working Group 1: Improving sewerage network</li><li>• Working group 2: Restoring Waterways</li><li>• Working Group 3: Hutments rehabilitation/ resettlement</li></ul>  |
| 2. Reduction of Traffic Congestion and Improving Air Quality          | <ul style="list-style-type: none"><li>• Working Group 1: Maximising Existing Infrastructure Investment</li><li>• Working Group 2: Enhancing Modal Share of Transit Systems</li><li>• Working Group 3; Improvement of Noise &amp; Air Quality</li></ul>   |
| 3. Improving Solid Waste Management in City Poor and Peri-Urban Areas | <ul style="list-style-type: none"><li>• Working Group 1: Improving Primary Level Collection of Liquid and Solid Waste</li><li>• Working group 2: Improving Secondary Collection of Solid Waste</li><li>• Working Group 3: Strengthening Solid Waste Disposal System</li><li>• Working group 4: Encouraging recycling network</li></ul> |

This multi-layered approach to the working group structure has produced many interesting lessons which could be shared elsewhere in the Indian context. A national replication is accordingly planned, which will draw largely from the experiences of Chennai City under the Sustainable Chennai Project (SCHP).

### References:

1. *Establishing and Supporting a Working Group Process*. Volume 3 of the SCP Source Book Series. UNCHS & UNEP, Nairobi, 1999. [This document gives a careful and detailed explanation of what working groups are, how they are best organized, established and supported.]
2. *Tools for Action From a Local Appraisal for Urban Safety*, Interim Report, European Forum for Urban Safety; security and democracy - series):1996





## 2.11 ACTION PLANNING

Cities can often with little difficulty identify and prioritise issues of common concern. Agreeing effective strategies that reconcile short term and long term gains as well as costs and benefits between different social groups, however, is not easy. It is even more difficult, moreover, to translate agreed strategies into implementable actions. Action planning is, therefore, perhaps the most important tool, since it links planning to implementation and hence to the actual improvement of the living conditions of the civic society.

One of the key tasks of the Working Groups formed following a city consultation is to develop and negotiate commitment to action plans to implement the agreed strategies for the working group's particular issue or topic. The action plan makes specific both the collective and the individual responsibilities for actual implementation.

### PURPOSE

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#### 1. To elaborate in detail the agreed courses of action

An action plan translates a broadly agreed set of policy frameworks and strategies into concrete actions. It defines the necessary activities together with the responsible actors and their required commitments of resources, all within a clear timeframe for implementation along with a monitoring system for overseeing the process.

#### 2. To reconfirm and make explicit the commitments of partners and stakeholders.

The action planning process requires continuous detailed negotiation amongst the various working group stakeholders, to reach agreement on the inputs necessary for implementing an agreed set of actions. This requires in turn that working group representatives inform, advocate and negotiate with, and secure commitments from their respective institutions. These commitments are often formalised in an urban pact and/or in inter-organisational memoranda of understanding.

### PRINCIPLES

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**Specificity:** An action plan is focussed on a specific **issue** of common concern and on a specific geographic **area**. It is also specific in terms of actors and their actions as well as in terms of resource inputs and activities (“who does what, and how”), and in terms of agreed time-schedule (“when”).

Action Planning is about what will be done, by whom, how, and when.

An action plan concretises commitments of partners and stakeholders.

An action plan is very specific and measurable. Its formulation process is based on full negotiations with actors.



**Negotiation based:** Action plans are negotiated agreements which result from an extended process of dialogue among stakeholders who demonstrate their commitment by undertaking specific individual responsibilities including sharing of costs.

**Measurable:** An action plan specifies outputs and activities that can be measured and monitored (*see also 2.16 “Monitoring”*), so that the whole process can be jointly supervised, reviewed and adjusted as necessary.

## HOW IT WORKS

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A good action plan is:

- clear and time specific for all actions,
- indicates financial and other resource implication,
- detailed for each organization or group involved,
- genuinely agreed by all actors,
- tied to a specific coordination and monitoring mechanism.

1. *Considering alternative courses of action:* Action planning begins with consideration of alternative courses of action (individually and in combination), assessing them in relation to the agreed strategies, discussing their relative costs and benefits, and gauging their feasibility and suitability. . In the end, action planning is about finding the right mix of interventions, as there is seldom, if ever, one single “best” option. rather than choosing one propheised “fix”. Tools such as the “ZOPP” technique or the Logical Framework approach or the MetaPlan have been found useful in such planning (*see summary descriptions, below*).
2. *Determining the tasks and the respective actors involved:* Here the working group needs to disaggregate strategy components into specific and logically coherent activities, and for each to identify what needs to be done, by whom, and with what resources. Many cities have found it useful at this point to undertake new inventories of stakeholders, available resources, and potential implementation instruments, in order to better assess who might offer what towards implementation of the action plan.
3. *Determining the required resources:* Properly costing the activities (in terms of finance and other scarce inputs) and then budgeting the commitment of resources by the various stakeholder is a central element of action planning.
4. *Negotiating the time frame:* This is to ensure that the activities, together with necessary financial and other resource inputs, are properly coordinating in time and also suitably aligned with or incorporated into the work programmes and annual budgets of participating institutions.
5. *Identifying gaps and weak linkages:* The action plan should identify weak linkages, resource gaps, areas of uncertainty, etc., and show how these are addressed. . Such gaps may include:
  - tasks for which no clear ‘lead’ actor is identified;
  - financial costs for which funding source could not be identified;
  - other resource requirements which could not be mobilised;
  - capacity limitations of actors.
6. *Reconfirming commitments:* The essential action plan commitments by the participating stakeholders need to be formalised through appropriate tools such as:
  - *Memorandum of Understanding* or *Urban Pact*
  - Action Plan workshop or *launch events*
  - Sectoral *work programmes* and budgets.



7. *Agree on coordination mechanisms*: Because action plans often involve multiple actors whose contributions are operationally linked, specific mechanisms for coordination must be agreed and put in place.
8. *Agreeing on indicators and monitoring mechanisms*: The cooperating stakeholders need also to agree on measurable indicators (for both inputs and results/outputs) and monitoring mechanisms which give an on-going over-view of the action plan implementation process, enabling feed-back for timely adjustments as necessary.

## EXAMPLES OF PLANNING TECHNIQUES

### a. *ZOPP or the Logical Framework Approach*

These are two similar approaches for project planning and management . They involve two phases of project design and management, namely, analysis and planning. First, the analysis phase reviews and assesses the existing situation (problems, potentials, stakeholders) in order to develop objectives from the identified problems and to select strategy (strategies) that will be applied to achieve the objectives. During the second phase - planning - the project idea is developed into more operational detail.

A. Analysis Phase	B. Planning Phase
<ol style="list-style-type: none"> <li>1. <i>Problem Analysis</i>: Identifying stakeholders, their key problems, constraints and opportunities; determining cause and effect relationship between threats and root causes</li> <li>2. <i>Analysis of objectives</i>: developing objectives from the identified problems; identifying means to end relationships</li> <li>3. <i>Strategy analysis</i>: identifying the different strategies to achieve objectives; determining the major objectives (goal and project purpose)</li> </ol>	<ol style="list-style-type: none"> <li>4. <i>Logframe</i>: defining the project structure; testing its internal logic, formulating objectives in measurable terms, defining means and costs (overall)</li> <li>5. <i>Activity Scheduling</i>: determining the sequence and dependency of activities; estimating their duration, setting milestones and assigning responsibility</li> <li>6. <i>Resource scheduling</i>: from the activity scheduling, developing input schedules and a budget.</li> </ol>

### *Logframe Summary project sheet*

	Verifiable Indicators	Means of Verification	Assumptions
Goal			
Objectives			
Output			
Activities			
			pre-conditions

The Logical Framework approach (Logframe) is widely used by international development agencies and programmes.



### ***b. Meta Plan***

This is a simplified version of the ZOPP technique, developed and refined by the German Technical Cooperation organisation. It follows a logical sequence of defining a problem, deriving the objectives, setting the activities required for attaining the objectives, analyzing alternatives, setting verifiable indicators, identifying possible means and sources of verification, and establishing the planning matrix for action.

### **LINKAGE WITH UG NORMS**

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Action planning links policy and strategy into implementation. Since it builds on negotiated agreements among stakeholders, the incidence of costs/benefits or gains/losses accruing to different social groups is made explicit and is the subject of negotiation and consensus-building. Since action planning is founded on the will and commitment of participating actors, implementation is greatly improved.

### **CITY EXAMPLE:**

#### **PARTICIPATORY BUDGETING IN PORTO ALEGRE, BRAZIL**

Participatory Budgeting in Porto Alegre is an innovative management practice which aims to involve the population in decisions about public resources allocation, making city management more democratic and making the budget process more transparent. This practice has also shown itself to be a quite efficient instrument for making fiscal administration more effective and municipal investments more productive. Through the formation of citizens' commissions to follow the works being undertaken, the Participatory Budgeting process becomes an efficient mechanism of inspection and supervision of these works, making the process transparent and reducing the possibility of illicit practices.

Participatory Budgeting was designed to achieve three objectives:

- a) de-concentrating/decentralizing public investments, refocusing the city's priorities in towards the neediest communities;
- b) instituting a popular participation mechanism in the decision-making process and
- c) creating a participation culture which could help overcome clientelism practices.

To define those objectives, several social and political actors were involved, such as political parties, neighbourhood associations and unions. The objectives were defined in 1989, but have matured along with the Popular Administration which has been governing the city for 12-years.

The resources included in the Participatory Budgeting process came from the municipality, although other partners added to the efforts of City Hall, in order to achieve success. A great part of the community and union leadership, who politically support the practice, were involved in assistance to its execution. Around 600 entities including NGOs, unions, community associations and clubs, are involved in the plenary assemblies and meetings about the city budget. Researchers in political science and administration have also helped to improve implementation.



Porto Alegre CityHall has employees exclusively dedicated to the task of coordinating the process of popular consultations and technical elaboration of the budgeting. They are concentrated in the Co-ordination of Community Relationship (CRC) and Planning Office (GAPLAN), two organs which are part of the Mayor's Office, where the budget exists to support those teams. All the meeting information (folders and posters) and the publishing of the process and rules results, are also financed by City Hall.

Participatory Budgeting has contributed, decisively, to "cleaning up" the City Hall financial process, besides permitting a fairer distribution of urban infra-structure and public services, due to its effectiveness as a public management practice, Participatory Budgeting has transformed itself into a framework which guides all public policies in the city, from planning policies, which are organized according to the Participatory Budgeting regions, to decentralization policies.

#### References:

1. *Formulating Issue Specific Strategies and Action Plans*, Volume 4 of the SCP Source Book Series, UNCHS & UNEP, Nairobi, 1999.
2. *Localising Agenda 21 Planning Guide*, Chapter 4, Action Planning; UNCHS, Nairobi
3. *Best Practises Database*, UNCHS, [www.bestpractices.org](http://www.bestpractices.org)
4. *ZOPP, An Introduction to the Method*, COMIT Berlin



## 2. 12 OPERATIONAL PROGRAMME FORMULATION

Operational programme formulation enables stakeholders to plan better for action in order to achieve maximum positive effect especially in post disaster programming

Operational programmes provide the essential framework within which interventions and activities can be planned and implemented; in this sense, they are similar to action plans (described in the previous Tool). The Operational Programme Formulation (OPF) methodology, which has been developed in the specific context of disaster management, is a tool for guiding the preparation of such operational programmes.

Disasters, either natural or human-made, can wreak havoc on every level of a society. The local authorities then face the difficult task of rebuilding and rehabilitation at a time when their own institutions and resources are already under severe strain. This tool seeks to enable local groups to better plan their action programmes to gain the maximum positive impact from their post-disaster programming.

The vulnerability of a population to disaster is closely related to the level of development in the society, which in turn is linked with the poverty levels of the population. Less developed societies, with higher rates of poverty, are more vulnerable to disasters. When dealing with the post-disaster situation these broader issues of vulnerability (*see tool 2.4*) must be addressed in tandem with immediate post-disaster efforts. In order to do this, post-disaster programming must be designed with a good understanding of the broader developmental framework. The emphasis on development will help to alleviate this vulnerability and will go much further in preventing such disasters in the future.

### PURPOSE

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Provides sustainable programming for community rebuilding in a holistic manner

The methods and strategy behind programmes and projects have a huge impact on their rate of success. The purpose of this tool is to provide mechanisms to help create sustainable programming that will best enable communities to rebuild themselves in a holistic manner. As one of the defining characteristics of a post-crisis situation is upheaval and lack of order, this tool helps to re-establish a sense of order in the planning of interventions. It assists practitioners and local governments to meet the challenges of post-disaster reconstruction with the best possible understanding of the different issues and with a clear methodology for identifying and adopting workable strategies. By adopting better strategic planning at the outset, projects undertaken after disaster will also go further in addressing issues of long term development in the affected communities.

### PRINCIPLES

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- **More than just houses.** Rebuilding shelter and infrastructure is not the only end of reconstruction work. There are many intangible issues closely linked to the provision of shelter that must be addressed. The reconstruction process has potent psychological effects on the population that cannot be underestimated.



- **All issues are interrelated:** A project cannot be designed in a vacuum. Rather, it must be approached with an understanding of the entire situation and the many different factors involved.
- **Emergency response is saving lives, Rehabilitation is saving livelihoods:** Using resources to administer immediate relief without consideration of the long-term effects of the disaster not only misallocate resources, but also ignores the interrelated nature of post-disaster issues.
- **Disaster can be an opportunity:** In the wake of war or natural disaster, it is natural to focus on the costs of the crisis, and overlook the opportunities that arise in times of upheaval. The crisis may bring together different groups previously at odds with one another. It may allow women to play roles in the society that were previously off limits to them. It may allow for groups to develop preventative measures for future disasters.
- **Building capacity not dependency:** It is crucial for both the sustainability of the projects, and for the long-term recovery and development of the affected populations, that any programmes undertaken are done so with a clear mission for capacity building.
- **Projects are evaluation centred:** Projects that have no mechanisms for assessing the effectiveness and impact of their interventions become isolated. They are unable to determine whether they have been successful in attaining their stated objectives, or even if they have had a negative rather than a positive impact on the situation.

## HOW IT WORKS

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The tool is based upon the Operational Programme Formulation (OPF) method, which is used in various formats by various agencies. It is a method for designing programmes with emphasis on the broader context of post-disaster relief and development. The OPF format is designed to assist practitioners in creating strategy with the broadest and most accurate possible picture of the current situation. This is achieved by building a conceptual framework of the objectives, issues, problems, and possible solutions to a situation. It helps to identify needs, the capacities available to address that need, and the best methods to achieve that goal.

There are number of sequential steps in this tool:

### 1) Overview of the situation

This overview is the cornerstone of the OPF format, the basis upon which objectives are decided and an implementation strategy is formulated. It is the first step in the process, as there must be a clear picture of the circumstances within which the project will operate. The following questions need to be answered:

- a) Assessing the extent of the disaster
- b) Identification of the key actors



- c) Institutional mapping
- d) Mapping out the territory
- e) Assessment of needs
- f) Assessment of opportunities

## **2) Outlining Programme Objectives**

Programmes objectives should be laid out in a clear format, not only to ensure that the objectives are recorded and understood by project staff, but to create a usable record for the local population, which will encourage transparency and accountability in the project. This is crucial, as the relationships among the different groups involved in a project will have a serious impact on the project's success. This also helps to avoid any unrealistic expectations on the part of the local communities.

## **3) Determining Programme Strategy**

When deciding on a programme or project strategy, it is important to consider the implications of the possible solutions, in terms of likely impacts, opportunities, and trade-offs between choosing one strategy over another. In order to screen various proposed strategies, a number of key considerations must be weighed against each other:

- a) Impact
- b) Feasibility
- c) Sustainability
- d) Risks
- e) Trade-offs

## **4) Identification of the Principal Objective**

The overall objectives serve as the guide for the project. They will determine what practical measures are undertaken, what outputs are expected, and how relevant the project is to the post-disaster situation.

## **5) Identification of Immediate Objectives**

Once the principal objective has been determined it must be broken down into its key components, which will become the immediate objectives. It is important to view these immediate objectives in the context of the larger whole. Each of the specific objectives will have its own role in furthering the overall objective, but as they will also affect one another, they must be viewed as collective as well as individual goals.

## **6) Identification of Primary Outputs**

In this step planning focuses on the specific practical steps to achieving the principal objective. Outputs indicate the concrete steps that need to be taken in order to accomplish the principal goal. Mapping these out provides the logical blueprint of the project.

## **7) Activities**

In this phase of the design, actual activities to implement the project are decided upon. Specific activities are decided upon by addressing the following four requirements:





- a) Assessing needs
- b) Assessing technical options
- c) Implementation strategy
- d) Evaluation process

## LINKAGE WITH THE UG NORMS

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By following a clear step-wise procedure, and by making objectives, strategies and outputs quite explicit, this approach emphasises **transparency** and enhances accountability. It also increases public understanding and hence **engagement**.

## CITY EXAMPLE

### FORMULATION OF POST-DISASTER PROGRAMMES IN IRAQ

Under the programme commonly referred to as the “Food for Oil Programme”, the Secretariat of the United Nations and the Government of Iraq have agreed that the proceeds for the sale of Iraqi oil would be used to purchase humanitarian supplies. It was agreed that procurement and distribution of humanitarian supplies in three Northern Governorates would be the responsibility of the United Nations Inter-Agency Humanitarian Programme, with most human settlement issues under the auspices of UNCHS (Habitat).

The shelter plan and resettlement activities of the programme aim at providing materials and supplies to rehabilitate and construct basic infrastructure and other back-up services in rural areas. The object of the project is to arrest further deterioration and to improve the living conditions of internally displaced persons and families in precarious shelter conditions in rural and urban settlements and to enable their permanent settlement through the provision of assistance to rehabilitate housing infrastructure, services and other essential facilities.

Based on experience gained, and on UNCHS’s own observations in Iraq, Habitat ensured that the project contained the following points as priorities:

- i) Close co-ordination with the de facto local authorities.
- ii) Prior commitment requested from communities and local authorities to provide required resources to adequately manage the rehabilitated infrastructure and services.
- iii) Building the capacity of local authorities through the participation of their technical cadres in programme activities and by supporting rehabilitation of essential mechanical plant and equipment.
- iv) Close co-ordination with other UN agencies prior to entry to ensure there is not duplication of services.
- v) Priority given to the implementation of such activities that tend to consolidate existing resettlements that contribute to the sustainability of the settlements and their services.
- vi) Maximum use to be made of local experts and subcontractors for the implementation of programme activities in co-ordination with local authorities.



- vii) Transparent and competitive processes applied to the selection and supervision of experts, consultant and subcontractors.
- viii) The programme subcontracts with qualified international organisations and subcontractors to implement consolidated groups of activities (design, implementation, community organisation and capacity building) in order to enable an integrated approach to programme implementation and achieve faster execution rates.
- ix) Monitoring and evaluation systems established to support programme management to introduce corrective measures, and to assess the impact of the programme on target communities.

**Reference:**

1. *Guidelines for the Operational Programme Formulation in Post Disaster Situations*, Disaster Management Programme (DMP), UNCHS (Habitat), 2001



## 2.13 DEMONSTRATION PROJECT

Cities seek innovative ideas and new approaches for dealing with their priority issues and concerns. A Demonstration Project is a relatively self-contained small-scale capital investment or technical assistance project, the purpose of which is to “demonstrate” a particular approach. It is undertaken at the beginning of the implementation phase of a participatory process, in order to show in practise how a specific type of problem can be addressed in a new or different way. Demonstration projects are effective mechanisms for forging partnerships between public, private and (especially) community sectors, developing new ways of working together, learning by doing, and generating visible results on the ground. Demonstration projects can be implemented anytime within the process.

A Demo project provides the means to introduce and experience innovative ideas and approaches and prepare the way for replication and up-scaling.

### PURPOSE

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#### 1. To provide a learning framework for better solutions and approaches.

Demonstration projects show case approaches and solutions that can inspire and further catalyse change. Demonstration projects are normally small in scale and therefore the risk (and cost) of failure is minimal while still providing the opportunity for learning from live experience. Because demonstration projects are normally local in scope, their activities and results are highly visible. Such first hand experiences are especially important in situations where social processes, behavioural changes, and institutional reforms are the keys for success.

A Demo project shows in practice how a particular problem may be addressed.

#### 2. To focus on “action”.

Demonstration projects enable stakeholders to see for themselves what and how much they can do. By coming together and pooling their resources, stakeholders will discover latent capacities for real change. Through actual cooperation on the ground, effective partnerships which build on comparative advantages of different stakeholders will emerge. The real changes effected on the ground, though limited in scale, will underscore the implementation focus of the process and thereby create credibility.

#### 3. To facilitate replication and up-scaling of innovative approaches.

When projects are consciously designed to demonstrate new and better approaches and solutions, they will provide a sound basis for replication and up-scaling. Because demonstration projects are small in scale and short-term in implementation, lessons can readily be drawn from them - lessons of experience which can highlight weaknesses and/or gaps as well as strong points and unforeseen opportunities. With this information, firmly based on real experience, the demonstrated project approach can more confidently be repeated, both more widely and on a larger scale (replication and up-scaling).

It facilitates the replication and up-scaling of an action through visible accomplishments and lessons of experience



## PRINCIPLES:

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Demo projects are small scale with short life cycle.

**Small scale and short project cycle:** Demonstration projects are deliberately small in scale and limited in scope, so that planning, financing and implementation is easier and quicker than for full-size projects; this also makes possible a short project cycle, so that the “demonstration” benefits can be reaped quickly and the risks and management burdens of implementation are lesser. Small geographic areas are preferred, so that the impacts of the project can more readily be identified.

**Demonstration *ex-ante*:** All demonstration projects are projects, but not all projects are demonstrations. Demonstration projects are designed *from the beginning* to serve as demonstrations of new ways of doing things and hence the features to be demonstrated are explicitly featured in the design, as are the elements of quick implementability.

**Demonstration-monitoring-replication cycle:** Demonstration projects have to be monitored consistently so that the lessons of experience can be properly captured and documented. This requires that monitoring be designed in from the outset and that monitoring activities be executed and sustained throughout. Finally, demonstration projects should have a thorough post-hoc evaluation to analyse them in respect to the original objectives and project design parameters. This monitoring and evaluation will provide the foundation for a sound process of replication and up-scaling.

## HOW IT WORKS - THE KEY ELEMENTS

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1. *Design:* A key challenge in the design of a demonstration project is to ensure that it reflects the above principles. Many cities have found it useful to set guidelines for formulating demonstration projects. While these guidelines take into consideration existing local conditions, their common features include the following:

- Thematic area and relation to priority concerns.
- Geographic spread and focus: preference for small, well-defined areas.
- Scale and project cycle: preference for small-scale actions which can be completed quickly with a short project cycle.
- Beneficiaries: focus on poverty reduction and/or amelioration of living conditions of the poor.
- Local ownership: manifested by local partner inputs and strong participation of stakeholders in project formulation and implementation.
- Sustainability: substantiated by built-in institutional arrangements to ensure proper management of project outputs and effective delivery of services resulting from the project.
- Indicators: to monitor and measure project performance and impact.

The key elements in formulating successful Demo projects are proper design, feasible financing, and effective monitoring and documentation.



2. *Financing*: Demonstration projects can be financed through a variety of funds perhaps catalysed through seed capital or leveraged by small grants or cost-shared through partnership arrangements. The way in which demonstration projects are financed often has implications on their sustainability and for the feasibility of up-scaling and replication.
3. *Monitoring*: Demonstration projects must be properly monitored. An effective monitoring mechanism, using clear and readily measured indicators has to be put in place from inception in order to capture, and synthesis lessons of experience. To provide a sound baseline, the “pre-project” situation should be carefully documented.

## LINKAGE WITH UG NORMS

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The immediate impact of demonstration projects is often limited because they are, by definition, small-scale interventions. But the potential gains from up-scaling and replication are enormous, with clear **efficiency** benefits. Demonstration projects can be replicated from issue to issue, or from one geographic area to another, or from a small-scale to a larger-scale. But because they are designed and implemented specifically to “demonstrate” an approach, they make an important contribution to **transparency**, just as their small-scale and local orientation enhance local participation and hence **civic engagement**.

The Demo-Replication model is suitable for promoting good practices and approaches

## CITY EXAMPLES

### 1. A DEMONSTRATION PROJECT ON PARTNERSHIP FOR LOCAL WATER SUPPLY, COLOMBO, SRI LANKA.

In Colombo, half of the population live in settlements with very congested housing and a lack of infrastructure services, especially water supply. Communities within some of these neighbourhoods faced particular problems due to lack of individual water connections, which resulted in scrambling among residents at peak hours as well as social problems related to queuing for water; in addition, there were potential health hazards due to improper waste water and sewerage disposal.

A demonstration project was formulated on the basis of a multi-actor partnership which involved the Community Development Council (CDC) (which itself includes local people,; the Municipal Council (CMC) member from the area, and officers of the Colombo Municipal Council) the Sustainable Colombo Core Area Project (SCCP), and other local stakeholders. Finances were pooled from the CMC, the SCCP, and UNDP budgets. The communities committed local labour to carry out excavation work and help municipal workers lay pipe lines. Five community members volunteered to coordinate with the public health inspector in processing application forms together with the water works division of the municipality and to facilitate the smooth running of the excavation work.

The demonstration project is modest in scale: the water distribution system is to cover 52 housing units. The project is neither large nor complicated and the financial involvement is reasonable with quick returns to the environment and to satisfying the basic needs of the community. Visible results will motivate other areas and the Community Development Councils to adopt this procedure, and more requests are already being received.



## 2. DEVELOPING AND MANAGING SPRING WATER IN IBADAN, NIGERIA

Following a City Consultation organised through the Sustainable Ibadan Project (SIP- a joint project of UNCHS, UNDP and Oyo State Government), working groups were formed on the priority issues: i)Waste Management ii)Water supply and iii) Market area environmental improvement.

The Community Development Association in the Oke-Offa Babasale Community sought the assistance of SIP in developing the Akeu Natural Spring. A sub-working group was formed to develop a demonstration project to develop this spring as a source of potable water for the community. Financial, technical and political contributions were provided by the various stakeholders including the private sector, international agencies (UNICEF), the SIP working group on Water Supply, the community itself, and the Local and State governments. The community committed some funds to survey the land and provided labour for the project, and hence a sense of local ownership was built right from the onset of this development. Building materials, pump sets, project design, technical inputs and other funds were mostly provided locally by partners in the project.

This demonstration project was small scale with modest cost implications. The technology involved was simple enough for members of the communities to operate and maintain, to ensure sustainability. The project took up limited land space which makes its replication more attractive and feasible in low income neighbourhood in Ibadan where land for locating projects can be a problem. The Akeu spring water demonstration project now serves communities far beyond its boundaries, as much as 2 -3 kms away.

### References:

1. *Formulating Issue Specific Strategies and Action Plans*, Volume 4 of the SCP Source Book Series, UNCHS & UNEP, Nairobi, 1999.
2. *Establishing A Demonstration Project Clearing House*, Draft Concept Paper, written for use in the Philippines, SCP UNCHS/UNEP, 2000 (Unpublished)
3. *Sustainable Chennai Project: Documenting Experiences and Drawing Lessons of Experience from Environmental Planning and Management Application in Chennai*; A documentation prepared for UNCHS, CMDA and UNDP, April 1999.
4. *Implementation and Replication of the Sustainable Cities Programme Process at City and National Level: Case studies from Nine Cities*; Working Paper No. 2, SCP, UNCHS, Nairobi, March 2001.



## 2.14 ENVIRONMENTAL MANAGEMENT INFORMATION SYSTEMS

Information is crucial to any planning and management activity. The challenge experienced by cities usually is:

- (a) to determine what data and information is needed for the purpose at hand;
- (b) to find out if it exists and where;
- (c) how to get hold of it if it exists, and how to collect it if it does not;
- (d) how to store this information in easily accessible and referenced form;
- (e) how to interpret the data, resolve questions of quality, inconsistencies;
- (f) to determine who needs the information, when and in what form(s); and
- (g) to actually disseminate it as required.

These challenges can be overcome by formalising, institutionalising and sustaining an information system as opposed to an *ad hoc* data gathering exercise. A management information system has standardised and explicit procedures and formats, which are flexible in application; is integrated into a permanent organisational structure, is independent of any critical individual input; and is *sustained* with the necessary resources (funding, staffing, etc.) and ‘political’ backing. It is an attractive system whose services are actively sought, and is capable of satisfying this demand. An Environmental Management Information System (EMIS) concentrates on the spatial aspect of urban planning and management and provides the basis for an open planning framework which complements or even supercedes traditional master planning concepts and, therefore, is applicable not only to environment planning but to a broad range of urban planning approaches.

EMIS concentrates on the spatial aspect of urban planning and management

### PURPOSE

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#### 1. To provide concise, timely, and usable information on urban issues

One purpose of an Environmental Management Information System is to show the relationships between environment and development issues. Such a system consists of formalised steps to capture information, as well as fixed procedures to retrieve this information. Generally speaking, the EMIS covers the gathering of relevant information for a participatory urban environmental planning and management process. However, it could also include the collection of information about the various urban issues (such as poverty, environment, security) facing a particular city. This information is stored in archives, databases and in maps. Information maintained and generated through such a system is usually up-to-date as it allows for continuous input of data generated through an agreed standard, involving public and popular participation. The information is presented in an easily understandable form using attractive maps, graphics and photos. The information is widely accessible, for example through information kiosks, newspaper features, local neighbourhood exhibitions, general distribution publications, etc..

Provides concise timely and relevant information for the decision-making process on urban issues



## 2. To support participatory decision-making process in an urban management framework

The EMIS is designed to provide information which is directly usable by the participants in an urban management process. The information is therefore not comprehensive or overly technical, but highly focused, concentrating on what is relevant for the decision-making process. Because it is up-to-date, issue-oriented, and well-presented, the EMIS information directly supports a consultative and participatory working group process. Because it relies on stakeholder participation for finding and inputting data, the EMIS is not an exclusive technical exercise but a broader-based participatory one.

### PRINCIPLES

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**Dynamic learning system:** An EMIS is a dynamic information system, so new data has to be fed into it continuously. An information system does not have to be comprehensive to be useful, and in any case it takes considerable time to assemble and process the necessary data. In the meantime, decisions on environmental issues have to be taken - they cannot wait for ever more information. Provided that attention focuses on the priorities of the users, even modest, incremental improvements in information and knowledge about an issue can be very useful. This tends to be especially valid in the environmental area, where the major problem is not necessarily a complete lack of information, but its fragmentation, perhaps a reflection of the fact that 'environment' is not generally recognised as a technical sector in its own right. Over time, as new issues crop up, the information system will increase its coverage and scope, through both 'passive' and 'active' collection efforts, provided that an appropriate framework is in place. In the beginning, the framework can be simple a set of folders or 'message boxes' in which to 'pigeonhole' information under different headings. At an advanced stage, the framework can be a sophisticated computerised GIS. The important point is that the system receives regular maintenance and updating.

**Uses best available information:** An EMIS accepts and uses the best information *which is available*. It is tempting when defining information systems to be too ambitious, and technical professionals often insist on being complete and all-encompassing. This, of course, can never be achieved, and seeking perfection in this way is invariably counter-productive. (It illustrates the meaning of the aphorism, "making the best the enemy of the good".) A law of diminishing returns applies here: the time and resource costs of getting "better" data will quickly exceed the benefits gained from that extra data. Very often projects can be delayed because essential information is missing, but available time and resources do not allow in-depth research. In such cases it is necessary to rely on estimated figures, common sense or community knowledge. The more the data is partial, missing, inconsistent etc, the more judgmental expertise is required to convert it into meaningful and reliable information. 'Non-scientific' information may quite properly - and effectively - be used as long as the source and its limitations are understood.. The challenge is to find the right balance. Of course the aim will be to replace this kind of information in a later stage of the EMIS with more soundly-based data. But for the moment, what counts is that some information is better than none.





**Avoid the data trap:** One has to avoid falling into the “data trap”, i.e. getting bogged down in a large, general purpose, open-ended and unfocused data collection exercise, almost invariably unsuccessful and therefore largely irrelevant. The purpose of EMIS is not to substitute for general purpose or even sectoral statistical services or research institutions. Nor is ‘information’ synonymous with ‘data’; only with analysis, interpretation and synthesis does data turn into information.

**Distinguishes between facts and policies:** An EMIS makes a clear distinction between factual information and policy information. Factual thematic maps show quantifiable or “countable” data, for example geology maps, soil maps, population density maps, etc. Policy maps show information about certain policy decisions such as national acts, laws and by-laws, global environmental standards or rules and conditions developed by stakeholders during the working group process. Policy maps can be classified as Suitability and Sensitivity Maps; these interpret information from factual maps and rank areas as “more and less suitable”, good and bad”, etc. according to explicit rules and conditions. Policy maps are based on an intensive participatory process. They are subjective as they show policy aims and represent different opinions which have been negotiated during the working group process. These maps will be always disputed and discussed - but they provide an extremely valuable support for those discussions.

**Generally Accessible:** Information in the EMIS has to be easily accessible for all stakeholders and for civil society as a whole. The EMIS helps therefore to avoid the all too common “data bank syndrome”. The information system should not be viewed as static hoard of ‘valuable’ information, deposited by its owners to be carefully guarded from ‘unauthorised’ access, as in the vaults of a bank. Rather it should be seen as a continual flow, like a newspaper, where information is incessantly and actively sought out, quickly analysed and summarised, and rapidly distributed widely and without restriction. Information is like news, a perishable product that loses value over time. The usefulness and influence of a newspaper comes from immediately disseminating new information, not retaining it. An effective information outreach strategy is absolutely necessary for the success of the EMIS.

**Appropriate technology:** An EMIS does not depend on highly sophisticated technology. The system can be implemented at various levels of sophistication, manual or computerized, and it will make best use of tools available. Not the best technology but the *compatibility to existing systems and capacities* is the key to a successful EMIS. The main outputs of an EMIS are attractive and colourful maps and therefore a geographical information system (GIS) is a suitable tool for the EMIS.

## **HOW IT WORKS: KEY ELEMENTS**

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The following guidance on key elements of the EMIS is based on practical experience from its application in many cities around the world. The EMIS has used environment as a particular entry point, but experience has shown that, with suitable but simple modifications, the EMIS can easily be adopted to other thematic areas and sectors, such as security and disaster management. The following steps focus on the spatial analysis part of the EMIS by using maps and geographical information systems.



### *Step 1: Setting-up the system*

Setting up a EMIS unit takes quite some resources, and must be supported by an adequate number of personnel, at least one dedicated professional officer and one assistant. An EMIS system can be built without computer equipment, but it is much easier to use a computer-based Geographic Information System (GIS) to handle the amount of data the system will contain. Fortunately, good “off the shelf” GIS software is readily available and will run on a standard high-performance desk-top computer; an A0 inkjet printer and input devices such as a digitising board and a scanner are also key equipment. For fieldwork, a Global Positioning System (GPS) receiver will be essential, but these are now widely available at reasonable prices. A light table is vital for group discussions around particular maps printed on transparent material.

### *Step 2: Forming the Mapping Group*

To link the EMIS with the stakeholders and users of the system, it is very useful to establish a Mapping Group. The major task of such a group is to support and work with the EMIS technical unit and to provide a continuous link between users and providers. . This group can be useful by providing inputs and asking questions during the EMIS-building exercise. In Step 1 they advise on purchasing equipment. For Step 3 they can provide information about existing maps and for Step 4 they can decide on the content and lay-out of the Basic Map. The Mapping Group facilitates the link between the Working Groups and the EMIS unit, and it is this group which discusses the needs of Thematic Maps, the mapping rationale for Suitability and Sensitivity Map, and the overlay procedures. Finally, the Mapping Group can play a role in capacity-building and training.

### *Step 3: Taking Inventory*

The EMIS inventory stage covers the search for existing data and maps (a difficult task which involves searching over a wide range of organisations and potential sources), setting up a filing system for hardcopies, developing a filing system for the digital data, and establishing a reference database of all relevant maps and data.

### *Step 4: Preparing the Base Map*

A Base Map includes the main features of the city such as major rivers, main roads and basic landforms. These basic features should be used in each map created later on to give some guidance and orientation on the location. The layers of the Base Map function as master layers, so rivers, roads or boundaries will never ever be digitised again unless they undergo physical change (i.e. a river may change course). When printing the first Base Maps, it is essential to decide on a standard layout which can be used for all the EMIS maps. It is important to design the Base Map, in terms of the inclusion of information and the graphics chosen, so that it can be both reduced and enlarged without loss of readability; it is quite important to have a Base Map which can be printed at A4 size, for example, which is the most common size for reports and for daily use.

### *Step 5: Preparing Thematic Maps*

In the EMIS, Thematic Maps show strictly factual information, for example, height of water table level in metres underneath the ground, soil eroded each year in centimetres, persons per hectare for each administrative sub-unit, and so on. The input for these Thematic Maps will come from existing maps, scientific reports or existing data, which can be found in different city departments or academic and research institutions, or which can be generated by the Issue-Specific Working Groups.



#### *Step 6: Preparing Suitability and Sensitivity Maps*

The creation of a Suitability and Sensitivity Map involves the interpretation of factual data as found in Thematic Maps and the evaluation of these findings. This focuses on drawing conclusions about conditions in specific areas and defining and applying “rules and regulations” according to these conditions. For instance, the Working Groups may assign ranks to these “rules and conditions” according to the impact of urban issues on development or the impact of development on the various environmental issues. A Suitability Map could show, for example, areas marked or graded by their suitability for housing development, say on environmental criteria such as slope of land, soil stability, ground water table, flooding exposure, etc.

#### *Step 7: Overlaying of fact and policy maps*

For some outputs of the EMIS it is necessary to combine information from several maps or data sets. The interaction between environment and development issues, i.e. the identification of crucial ‘hotspots’, can be simulated by overlaying a variety of maps. (Overlaying can be done manually, using transparent maps in combination, or on the computer through the GIS system.) Different combinations of overlays will generate the necessary outputs which are significant for urban planning and management. Typical outputs include strategy maps, land use maps, zoning maps, and spatial management frameworks. These outputs help to answer routine questions in urban planning and management.

#### *Step 8: Information Outreaching*

The EMIS uses a participatory approach and therefore public information activities are an important part of the system. Continuous and active “outreach” to the public at large can stimulate the identification or provision of new information into the system, and equally it can be used to field-test and refine the outputs to ensure they are understandable and useable. . Methods to promote the system include city-wide and local exhibitions, the world-wide-web, printed publications, use of print and television/ radio media, interactive map publication on CD-ROM, etc.

#### *Step 9: Maintaining the System*

An EMIS is a continuously evolving system. Thus, even though the design of the system is completed, the data content grows and changes continuously over time. In order to maintain the system it is vital to anchor the system in the most appropriate department or institution, to ensure public involvement, and to acquire a regular budget on a long-term basis. The anchoring department has to commit itself to continuously up-date the system (undertaking the costs involved) and must provide a continuous training programme for the EMIS users and operators.

### **Sample areas of Application:**

Though presented as Environmental MIS, this approach is capable with limited modification, of responding to diverse needs and uses in urban planning and management. Thus, a generic EMIS (which could also be called an Urban Management Information System - UMIS) has the capability to serve a number of urban management functions. For example, the city assessor (or officer in charge of local taxation) needs a detailed, large-scale land information system to improve the collection of property taxes. The water department requires precise spatial information on the physical infrastructure, especially reticulation network, for better operation, maintenance and revenue collection. The planning



department is concerned about the physical development of the city, while the environment department needs to better manage environmental resources and hazards. Equally, perhaps the mayor needs to present a self-explanatory “snapshot” of the city’s development situation at a conference in order to attract tourism or interest investors. The UMIS (EMIS) has been used to attract investors by providing maps which show the best locations for investment in the city.

#### LINKAGES WITH UG NORMS

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The key elements of EMIS established within a participatory decision making framework are its interactive nature and its accessibility to all users and stakeholders including community groups, organized informal sector operators, developers, researchers and public activists. This greatly enhances **transparency** and makes information a shared resource, so the EMIS also becomes an effective tool to **empower** the different stakeholder groups.

#### CITY EXAMPLES

***EMIS in Dar es Salaam, Tanzania.*** Dar es Salaam used the EMIS to develop a planning framework for city expansion and urban renewal (the Strategic Urban Development Plan), which has subsequently become a major tool for development planning in the city. The EMIS was also useful for identifying air quality hotspots, particularly the biggest industrial sources, which were mapped to better inform decision making in this regard. The City Commission has started to expand the system into an over-all UMIS in order to accommodate other urban issues such as urban safety.

***EMIS in Ismailia, Egypt:*** Ismailia used satellite imagery for up-dating their base map to be used in the participatory working group process. The EMIS Unit developed a City Atlas illustrating the important environment-development interaction in Ismailia.

Other cities in China, the Philippines, India, Sri Lanka, Nigeria, Malawi, Zambia, Ghana, Rwanda, Kenya, Tanzania, Poland and Russia are applying the EMIS concept in their day-to-day planning and management routine.

#### References:

1. *Building an Environmental Management Information System (EMIS): Handbook with Toolkit.* Volume 7 of the SCP Source Book Series. UNCHS & UNEP, December 2000. [This Handbook and Toolkit provides step-by-step guidance on building, implementing and maintaining an EMIS System, based on experience in numerous city applications].



## 2.15 CONFLICT RESOLUTION

Conflict management has become well-known in recent years, for a number of reasons. First, there is continuing conflict at many levels around the world, including cross border disputes, transition in governance systems, ethnic strife, domestic violence, religious conflicts, etc.. Second, conflict has become an “issue” taken up actively by many individuals, civic organisations, local governments, NGOs, and international agencies. Third, the basic techniques of conflict management have been developed in recent years and can be relatively easily applied to many situations.

Conflict resolution is an important tool for striking a balance among strategic options and competing interests

Conflict occurs at many levels and in many ways in cities, and Urban Governance is a process through which conflicting or competing interests may be accommodated and brought to a consensus through which co-operative action can be taken. It is clear, for example, that conflicts may arise at various phases of the participatory decision-making process described in this toolkit. Issues related to land use or resource use tend to generate disputes among competing interests, for instance. Negotiation outcomes which are seen and considered justified by local governments can easily be seen as unacceptable by stakeholders with key interests at stake. Conflict resolution as a management tool is therefore quite important for the participatory process, particularly during the strategy formulation phase, when a balance must be struck concerning choices among strategic options which have different cost and benefit implications for different stakeholder groups.

### PURPOSE

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#### 1. To resolve conflicts by reaching consensus on the appropriate balance among competing interests.

Conflicts can emerge in any society when disagreements, differences, annoyances, competition, or inequities threaten something of importance to one or more groups or individuals.. The basic aim of constructive conflict management is to seek lasting resolutions which create a balance among the differing parties, the situation, and the consequences of actions to be taken.

### PRINCIPLES

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**Constructive:** Acknowledging that conflict is part of any human society or activity, conflict resolution (or conflict management) seeks to convert conflicting interests into constructive cooperation; if properly managed, conflicts can be catalysts to achieving more sustainable means of development through consensus building and joint action.



## HOW IT WORKS

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When designing a conflict resolution strategy the root of the conflict needs to be analysed, as well as the roles of the various players and the influence of power relations within the specific cultural context. Well established tools of managing conflict include

- active listening,
- constructive dialogue,
- negotiation,
- mediation, and
- (re)conciliation.

Several practical methods have been developed to implement these conflict management options. When selecting a particular option, special attention needs to be paid to cultural aspects related to conflict management strategies, and especially to protecting the interests of vulnerable groups.

When viewed as a process, conflict management includes:

- holding preliminary conversations to build trust and understanding;
- deepening those conversations to identify and define the issues;
- turning the issues inside-out, upside-down, redefining and re-framing them to better reflect reality from different perspectives;
- engaging in mutual problem solving;
- agreeing on actions that help all parties meet their needs and preserve their dignity; and
- following-up to assure the results that were expected have been achieved.

## LINKAGES WITH UG NORMS

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The thrust of conflict management lies in consensus-building which allows for the creation of ownership as well as **sustainability** of achievements. It encourages **equity** to facilitate the voice of vulnerable groups by providing a forum to address conflicts related to their interests. In order to resolve conflicts, differences among parties are discussed in an open and **transparent** manner, and such discussion also promotes a culture of active **civic engagement** in debate on urban issues. Even more notable is the contribution of conflict management to **security**, among differing parties and general stakeholders.



## CITY EXAMPLES

### 1. CITY CONSULTATION AS A CONFLICT RESOLUTION TOOL IN PETRA, JORDAN

The experience of Petra, Jordan, is a good example of using the city consultation methodology as a tool for the resolution of conflicts. In the early eighties, the B'doul tribe was relocated from the Petra Archeological Park, where they had been living for generations, to Oum Sayoum, a site near the entrance of the park where they were provided with housing and land. In 1995, a regional master plan aimed at reconciling urban expansion with the need to preserve the archeological site of Petra Was adopted, but without consulting the population. The plan strictly limited the expansion of Oum Sayhum and the B'doul tribe claimed this did not allow room for the needed growth of their settlement. There was also an acute sense that the government was reneging on promises made when the tribe was relocated. The conflict was made worse by the social and political marginalisation of the tribe and its exclusion from all decision-making structures

After documenting the issues through a participatory research approach, a series of separate meetings were organised with the actors in the conflict. A rough draft action plan was developed, identifying areas of possible understanding and compromise. A formal consultation, gathering all parties in the conflict, was held with two working groups discussing issues of governance and land. As a first step, the Petra Regional Council requested that a comprehensive land use study be carried out to incorporate the views of all concerned. This study was used as a basis for revising current planning regulations and resolving existing land conflicts. A working team was constituted to follow-up on the implementation of the action plan. Ultimately, land was redistributed to the B'doul tribe for the expansion of the village and tribal representatives are now members of local advisory committees. At the same time, village upgrading and road paving are being carried out. The Petra Regional Authority has created committees of local representatives to discuss community problems, as a first step in institutionalising city consultations. The consultation successfully contributed to the resolution of long standing disputes and laid down the basis for the continuation of the consultative process beyond the engagement of the UMP.

### 2. MANAGING CONFLICT IN ESSAOUIRA, MOROCCO

Founded in 1760 and located on a marvellous setting between the Atlantic Ocean and a dune forest, Essaouira has a moderately growing population of 70,000, but economic decline over the last two decades has caused serious degradation of Essaouira's rich cultural and natural heritage. Continued expansion of the city inland is threatening the fragile ecosystem of lagoons and dune forest, which in turn has a negative impact on drainage and leaves the city unprotected from winds carrying sand.

In the face of these environmental challenges, the municipal council lacks skilled personnel and investment resources and is overshadowed by the provincial government, even in local planning and management matters. The tradition of top-down planning by the central government system has limited consultation to academic discussions between professionals and bureaucrats, with little concern for the expectations of the population and their potential role in implementing the plans.



With the sustainable development of the city at stake, in early 1996, UNCHS (Habitat)'s Localizing Agenda 21 Program (LA21) took up the challenge to help the city change its development course. A broad-based city consultation workshop mapped out a vision for Essaouira as a spatially compact city, with vibrant cultural heritage, strong environmental values, and a sustainable economy based on cultural and eco-tourism. The implementation of this vision is being progressively achieved through action planning, conflict resolution and resource mobilization, seeking commitments from all sections of the society.

The issue of managing urban expansion into dune forest presents a good example of the conflict resolution aspects of this work in Essaouira. The main parties in conflict concerning the dune forest area include:

- Real estate developers, interested in expanding the city into cheap land to be cut off from the forest reserve;
- Forestry Department, interested in preserving the reserve but not able to enforce controls on land use change at the borders of the dune forest;
- CBOs representing communities in the buffer zone, interested in productive use of the dune forest and protection from the destructive sand eroding effects of neighbourhood infrastructure; and
- The Municipal Council, lacking the capacity to play their role as enablers of local sustainable development.

Conflicts between these actors were resolved through the development of a vision and joint action planning, underpinned by continuous mediation among actors. A newly created urban action planning center empowered the municipal council to hold broad-based consultations and mediated bilateral negotiations around the buffer zone for the dune forest. Serious communication barriers had to be overcome between government departments, communities and the private sector, continuously fighting, mistrust and resistance to partnerships.

Eventually, a long term vision for the area was developed, as an urban buffer zone, limiting further housing sprawl into the dune forest. This area consists of a chain of public green spaces, vegetable gardens, leisure facilities and a natural park. Several components of this buffer zone are now being implemented, with the help of government agencies and neighborhood groups. Some partnerships are still fragile and require considerable co-ordination efforts, but there are good hopes that Essaouira has devised a good system to resolve urban space use conflicts, which is a key condition for making local governance more inclusive.

#### References:

1. *Building Bridges through Managing Conflicts and Differences - Book 1*. Local leadership Programme (LLP), UNCHS, Nairobi
2. *Building Bridges through Managing Conflicts and Differences - Book 2*; Local Leadership Programme (LLP), UNCHS, Nairobi





## 2.16 MONITORING

Monitoring is an essential management tool, used to measure progress as implementation of projects proceeds, providing a flow of information which allows appropriate adjustments to be made to the process.

Monitoring is essential for measuring progress

There are different levels and types of monitoring. Project (or physical) monitoring aims to measure progress in the implementation of investments and capacity building activities and are generally based on quantifiable indicators. Impacts of such activities on the other hand are captured through a larger set of monitoring indicators which measure progress and change in the living conditions of the affected people.

Yet a different set of indicators and methods are used to measure progress in applying management approaches such as the participatory decision making process which is the subject of this toolkit. This type of monitoring is the main focus of the monitoring tool described here. By their nature, management processes and activities are expressed through institutional practises and behaviour and hence are generally qualitative and subjective, making monitoring a challenging task.

### PURPOSES

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#### 1. Monitoring the participatory decision-making process provides information for measuring progress at three levels:

- a) **applying the process:** Monitoring is essential for understanding how the process in actually working out. For example, monitoring can show the degree to which the right stakeholders (especially the poor and marginalised groups) are involved, and in what ways. Monitoring will help identify *weaknesses* or problems in the application of the decision-making process more generally, for instance measuring and assessing the way in which working groups function (e.g., do they follow the orderly process of strategy formulation and negotiation on action plans?).
- b) **achieving results:** Monitoring at this level can show how effective the process has been in achieving specific outcomes, for instance in reaching consensus on strategy options, or in agreeing action plans, or in implementing demonstration projects.
- c) **sustaining the process:** Monitoring here focuses on aspects of institutionalisation, on the maintenance of commitment, establishment of institutional frameworks and administrative procedures, and the building up of the process as a routine operation.

Monitoring helps

- Identify weaknesses
- In achieving specific outcomes
- Sustain a participatory process



## 2. A monitoring approach which is participatory serves the following purposes

- a) Full participation of stakeholders in monitoring increases their commitment to and sense of ownership of the decision-making process. This will also strengthen their commitment to implementing their agreed share of the action plans.
- b) Stakeholder participation in monitoring builds capacities for analysis and problem solving. Although expert knowledge is required to design and help implement a monitoring process, the stakeholders themselves should to the greatest extent possible carry out the actual work of monitoring and evaluation.
- c) Involving stakeholders brings in a wider range and greater number of people into the monitoring process, enhancing the ability to regularly and systematically obtain the information required.

### PRINCIPLES

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- a) Monitoring is undertaken to provide information useful for feed-back and correction to the process and hence it is selective and focused in the measures it uses and the data it collects; relevance and usefulness are the guiding principles.
- b) Monitoring should be organised and implemented in a fully participatory way, involving the stakeholders in agreement upon the monitoring system, in the actual gathering of information, and in the analysis and drawing of conclusions.
- c) Monitoring is not an “add on” but is, instead, an integral part of the whole participatory decision-making process, vital for proper management of the process as a whole.
- d) Monitoring is undertaken to benefit the city - as a way of making the new participatory decision-making process work better; it is used to measure progress *within* the city. Monitoring is **not** for the purpose of adding to international data bases or for making inter-city comparisons.

### HOW IT WORKS

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#### 1. Participatory Monitoring: Methodological Elements

- *What is to be monitored.* Through a participatory process guided by relevant expertise, identify what will be monitored and formulate feasible measures which can be used as indicators for this monitoring. For a complex process (such as that for participatory urban decision-making) this will be a complex and challenging task. Thus, it will be necessary to work out appropriate monitoring methodologies for a wide range of different aspects, such as:
  - a) diversity in participation of different types of stakeholders from various sectors (popular, public and private);
  - b) inclusiveness of marginalised groups such as the poor, and also ensuring gender balance in involvement;



- c) competence, level of authority, views, ideas, and decision making capacities of participating stakeholders;
  - d) quality of information, knowledge, and outcome of assessments and reviews, and how well/widely shared;
  - e) degree and success of implementation of decisions and actions agreed upon;
  - f) number, type, and range of demonstration projects undertaken, together with measurements of implementation success and “demonstration” outcomes;
  - g) financial resource mobilisation, especially from diverse local sources, and sustainability of the process and its projects;
  - h) institutionalising or making routine the new participatory approaches to solving issues.
- *Using the Measures.* Because a process has relatively fewer quantitative performance or output measures, it is important to find indicators which can be used to measure different aspects of the process, even if these are either qualitative or can be made quantitative only by use of scaling or judgmental ranking techniques. This will require, for instance, reaching agreement on the weightings or scale values to be used - e.g., ranking a perceived degree of “commitment” on a scale from 1 to 10. Especially for qualitative or subjective measures, it is important to have a participatory process for agreeing upon the measurement techniques and values to be used, so that all stakeholders will share a common understanding.
  - *Base Line Information.* For many of the features being monitored, it is essential to know what are the values at the beginning of the process. Hence, base line information must be gathered at the start of the process, so that indicators have a starting point against which measures can be later compared.
  - *Stakeholder Participation.* It is useful to periodically request the stakeholders to self-evaluate their role in the process, using the previously agreed indicators measurement variables. This assessment must take account of the many different roles which stakeholders can have: (a) a direct and substantive role (contributing information, ideas and financial resources, deploying implementation instruments and capacities); (b) a supportive and technical role (research, information analysis, technical advice) and (c) a promotional role (lobbying, advocating, campaigning). To fulfil a monitoring capacity, this stakeholder evaluation must be done regularly throughout the process.
  - *Analysing Information.* Process monitoring will generate a steady flow of information of many different kinds: self-evaluations, quantitative assessments, qualitative reviews, etc. It is the task of the monitoring team, together with the stakeholders, to compile this information into meaningful categories and time-series and to ensure that it is all readily available. More important, the information has to be analysed so that sensible and useable conclusions can be drawn; this involves some technical skill in analysis and interpretation, especially of more subjective data, and it is important that this be done by a monitoring team which includes both people with experience in monitoring and the stakeholders in general.
  - *Disseminating and Using Monitoring Information.* It is important that monitoring information is disseminated widely and constantly. Only through a transparent and participatory monitoring process will the results have legitimacy and be



accepted by the stakeholders. (There is always a danger of monitoring results being considered “sensitive” or “for management only”, especially if the results show lack of success in some activities.) Of course, it is essential that the results of monitoring are used to modify the process, in whatever ways may be called for; this is the only effective way to keep the process “on track”. Thus, the monitoring information and results should be readily and quickly available, to the working groups, to demonstration project participants, and to stakeholders generally.

## 2. Demonstration Project Monitoring

The implementation of demonstration projects is an integral part of the participatory decision-making process (*see tool 2.13*). These small-scale projects require careful monitoring, not only of “process” elements but also, and in addition, monitoring of the physical and quantitative elements. This can use well-established systems of monitoring based particularly on clearly defined quantifiable measures (e.g., how many metres of drainage built). Post-project evaluation is also required to measure the longer-term and wider impacts of the project achievements (i.e., has the drainage improvement led to improvements in public health or reductions in flooding?). These impact studies need to cover a range of aspects (physical, economic, social) and need to consider not only the affected populations as a whole but in terms of constituent groups (e.g. the poor or women).

### LINKAGES WITH UG NORMS

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Monitoring provides the necessary information to identify and take action to redress gaps and weaknesses in the evolving participatory process. It thereby helps to improve participation (including of marginalised groups) and to strengthen **civic engagement**. By making the monitoring process and information participatory, with full access to results, it also support greater **transparency**.

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#### References:

1. Measuring Progress: Management Indicators for Environmental Planning and Management. (1<sup>st</sup> Draft). UNCHS & UNEP, Nairobi, January 1999.
2. *Participatory Decision-Making Indicators: Measuring Progress on Improving Urban Management Decision Making Processes*, Guidelines for Istanbul + 5, UNCHS, 1999
3. *Participatory Evaluation: Tools for Managing Change in Water and Sanitation*. Deepa Narayan, World Bank Technical Paper No. 207, Washington D.C., 1999.
4. *Monitoring and Evaluating Urban Development Programs: A Handbook for Program Managers and Researchers*. Michael Bamberger and Eleanor Hewitt, World Bank Technical Paper Number 53. The World Bank, Washington, 1986.



## 2.17 GUIDELINES FOR PROGRAMME EVALUATION

Programmes of action require systematic monitoring and evaluation, both to provide management information about the programme itself and also to give insights into the programme which will be helpful in the future design of similar programmes. In the specific context of disaster management, for example, intervention programmes have both short-term and longer-term consequences and both need to be carefully monitored and evaluated.

Because disasters wreak havoc on every level of a society, the strategies undertaken for post-disaster rebuilding will not only shape the short-term rehabilitation process but also the longer-term development process. Also because of the widespread dislocations in society, it is particularly important that post-disaster programmes follow a participatory decision-making process, and as shown in the previous section (*tool 2.16*) monitoring is an essential ingredient of such a process.

The tool described here will help local practitioners incorporate evaluation strategies into programme design and carry out successful evaluations. Part of the goal of this tool is to demonstrate that post-disaster projects have far-reaching effects on the sustainable development of societies and to capture that information in a systematic way. Also, in preparing post-disaster programmes, it is crucial to keep in mind that disasters create opportunities as well as costs, and a good evaluation system will give valuable insights into how such opportunities can be utilised.

### PURPOSE

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With proper evaluation techniques, project staff and local authorities can gain a better picture of whether or not a particular project is having the desired effects - and of the reasons for unforeseen variations in performance or result. This may sound simple enough, but the collection and analysis of data in the field can in many cases be extremely difficult, even more so in a post-disaster situation, and as a result, many projects are not adequately assessed.

Because resources available for post-disaster management are so limited, accurate and up-to-date information about programme implementation is particularly important to ensure that the resources are being put to best use. Equally, this evaluation information will also enable practitioners to learn from the mistakes and successes of programmes and thus accumulate progressively better understanding and knowledge.

Programme evaluation allows the monitoring and evaluation of short-term and long-term consequences of interventions particularly in disaster management



## PRINCIPLES

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- a) It is a systematic and (so far as possible) objective assessment of a project or programme (either ongoing or complete).
- b) It assesses the project (programme) design, implementation, and results.
- c) The goal is to determine the project's relevance, achievement of objectives, efficiency in resource use, effectiveness, impact, and sustainability.
- d) It should provide credible, useful information that will enable the lessons learned from the project to be incorporated into the succeeding programmes or projects.
- e) Evaluation provides a basis for accountability, including the provision of information to the public.

## HOW IT WORKS

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For an evaluation to be successful, the appropriate mechanisms must be designed into the programme/project from the beginning. There are a number of sequential steps required to carry out an effective evaluation:

### 1) Preparing an evaluation plan.

In working out the evaluation design, the following questions should be addressed:

- a) Why is the evaluation being undertaken?
- b) What is the evaluation expected to achieve?
- c) How will the results be used and by whom?
- d) Who will conduct the evaluation?
- e) What type of evaluation is most suitable?
- f) How will the follow-up be carried out?

### 2) Developing Indicators

Indicators show changes in certain conditions or results from specific interventions. They provide a measurement of the progress of programme or project activities in the attainment of their objectives. Indicators are road signs throughout the project cycle that help to demonstrate where the project is and what direction it is going. As well, they show how effectively the project is progressing and if the project is progressing in the right direction.

### 3) Structuring Indicators

There are several types of categories of indicator that are used to carry out a successful evaluation, oriented toward different aspects of the intervention:

- a) Policy Level Relevance
- b) Programme Level Performance
- c) Operational Level Effectiveness
- d) Efficiency
- e) Programme/Project Impact.



#### 4) Stages of the Evaluation

The evaluation has two main stages of work: data collection and data analysis and assessment. .

#### 5) Learning from the Evaluation

The purpose of the evaluation is to make the project better (more relevant, more cost effective, more sustainable, etc.). Once it has been decided whether the project has effected the changes outlined in the programme objectives, the lessons of the evaluation must be implemented. Full participation in the process outlined in the above is important in order to ensure that the changes are implemented, and the evaluation is felt to be owned by the project staff and, most importantly by the local partners.

### LINKAGE WITH THE UG NORMS

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By making information about the progress and consequences of a programme or project explicit and visible, evaluation can strengthen the **transparency** of the whole process.

#### CITY EXAMPLE:

##### EVALUATION OF POST-DISASTER WATER AND SANITATION PROGRAMME IN IRAQ

The UNCHS (Habitat) shelter and resettlement programme in Iraq supports resettlement of internally displaced people, including both housing and infrastructure.

The water and Sanitation (WATSAN) component of the programme is crucial for successful resettlement and it comprises approximately 14% of the total operating budget of the UNCHS (Habitat) programme.

The evaluation of the WATSAN programme was based on a study of the available documentation of the projects; discussions with UNCHS (Habitat) staff involved in implementation, discussions with other UN field staff operating in the area; field visits to project sites; and focus group discussions with selected families among the target communities.

The assessment was conducted by an outside evaluator, with the purpose of determining whether the WATSAN programme was reaching the target number of communities, and having the desired level of impact. The evaluation was geared towards improving the ongoing programme, and was therefore undertaken partway through the project cycle. The results were primarily for the use of UNCHS (Habitat) staff in implementing the WATSAN programme.

#### Reference:

1. *Guidelines for the Evaluation of Post-Disaster Programmes*, Disaster Management Programme, UNCHS, Nairobi, 2001



## 2.18 INSTITUTIONALISATION

Participatory decision making is about ways of determining priorities, making decisions, and implementing them to improve living conditions. Changes in the “way of doing things” take time to be understood, accepted, and routinely applied. More over, the impacts of such changes take time to be felt, due to the relatively longer time required for institutional adjustments and adaptations - there is generally a long “learning curve”. Institutionalisation is all about “building in” these new participatory decision-making processes so that they become, for all stakeholders, the normal “way of doing things”. (Many individual examples of good practice have been successful in isolation but remain “project islands” which have little or no wider or lasting effects, for the simple reason that they were not “mainstreamed” into the institutional system and have not changed the basic ways of doing things.)

### PURPOSE

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1. **To ensure that the participatory decision-making process is widely understood, accepted and sustained through routine application.**

The full impact of changes in decision-making processes is only felt when they are firmly grounded in day-by-day decision making routines. That in turn demands steady, progressive institutional changes and adaptations that modify attitudes, institutional structures, and organisational behaviour. The purpose of the tool for institutionalisation is to bring this long term perspective into sharp focus.

### PRINCIPLES

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**Sustainability.** Institutionalisation in this context is about making steady and gradual changes in people’s understanding and acceptance of the principles of participatory decision-making. Its basic approach is to build incrementally upon achievements (e.g., city consultation, working groups, demonstration project, etc) to make these into familiar and repeatable day-to-day practices.

### HOW IT WORKS: KEY ELEMENTS

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1. What to institutionalise:
  - **Fundamental Principles:** These are the *fundamental principles* of the participatory decision-making process, and their acceptance, integration, and routine application is expected to change the way institutions operate and decisions are made. These fundamental principles include: *stakeholder involvement* as integral to decision making; the importance of focussing on *connectivity between issues*,

Institutionalisation ensures wide understanding, acceptance and sustainability of the participatory decision-making process through routine application





*sectors and institutions*, shifting from sectorally or functionally based planning to an over-riding concern with *cross-cutting issues* and with establishment of strategic planning and management founded upon cooperation and collaboration around issues.

- **Capacities and Functions:** These are the technical capacities and expertise which are built up through the participatory decision-making process and which support activities within the different phases (e.g., information collection, or issue identification and clarification in phase one). There are *specialized capacities and functions* which allow different actors to collaborate more effectively, complementing each other's capabilities and roles, and *system wide functions and general capacities* which are needed by all or most of the participating stakeholders.
- **Process products:** These are the concrete outputs generated during the lifetime of the project, including issue-specific strategies, action plans, investment project profiles and proposals, mobilised funds for implementation, implemented demonstration projects, articulated development principles and 'rules', etc.

## 2. How to institutionalise:

The scope, pace and nature of institutionalisation taking place in a given city will be shaped by local factors, but in general the following are likely to be useful steps:

- strengthening existing institutional structures in order to improve their effectiveness in planning, management, and coordination among different sectors and actors; only where necessary, create new institutions to accommodate special requirements - both technical and managerial - not covered by existing institutions;
- changing or adjusting mandates of existing institutions in order to integrate new functions and roles;
- identifying and tasking 'anchor' institutions to take the lead and provide a 'home' base for particular activities or phases;
- linking to established strategic policy instruments such as annual budgeting, human resource allocation, sectoral work programming, etc.;
- developing skills necessary to support and routinely apply the process e.g. information collection, negotiation, facilitation, strategy formulation, action planning, project management, etc.;
- modifying legal and administrative frameworks to enable a procedural framework for smooth and effective functioning of institutions;
- providing funds to support expenditure and equipment for capacity building and sustaining the framework, primarily through public budgetary provisions or allocations;



- maintaining knowledge support and a learning process, for example through documenting and evaluating lessons of experience and building collaboration with local research or consulting establishments..

**Table 4** *Elements of Institutionalisation and Related Phases of the Participatory Process:*

	Phases of the Participatory Process			
	Preparatory/ Information	Strategy Formulation and Action Planning	Implementation	Follow-up and Consolidation
Fundamental Principles	transparency & sharing of information	issue-focused strategies	inter-sectoral coordination, sustainability	leveraging resources demonstration, replication and upscaling bottom-up coordination with other partners through multi-modular action plans
Capacity & Functions	EMIS, GIS	analysis of development plans; formulation of strategies & action plans	implementation capacity	project packaging & resource mobilisation
Project Products	Profiles, Proposition Papers	issue-strategies, action plans, investment projects, tested development principles	implementation of demonstration projects	up-scaling of demonstration projects

#### LINKAGES WITH UG NORMS

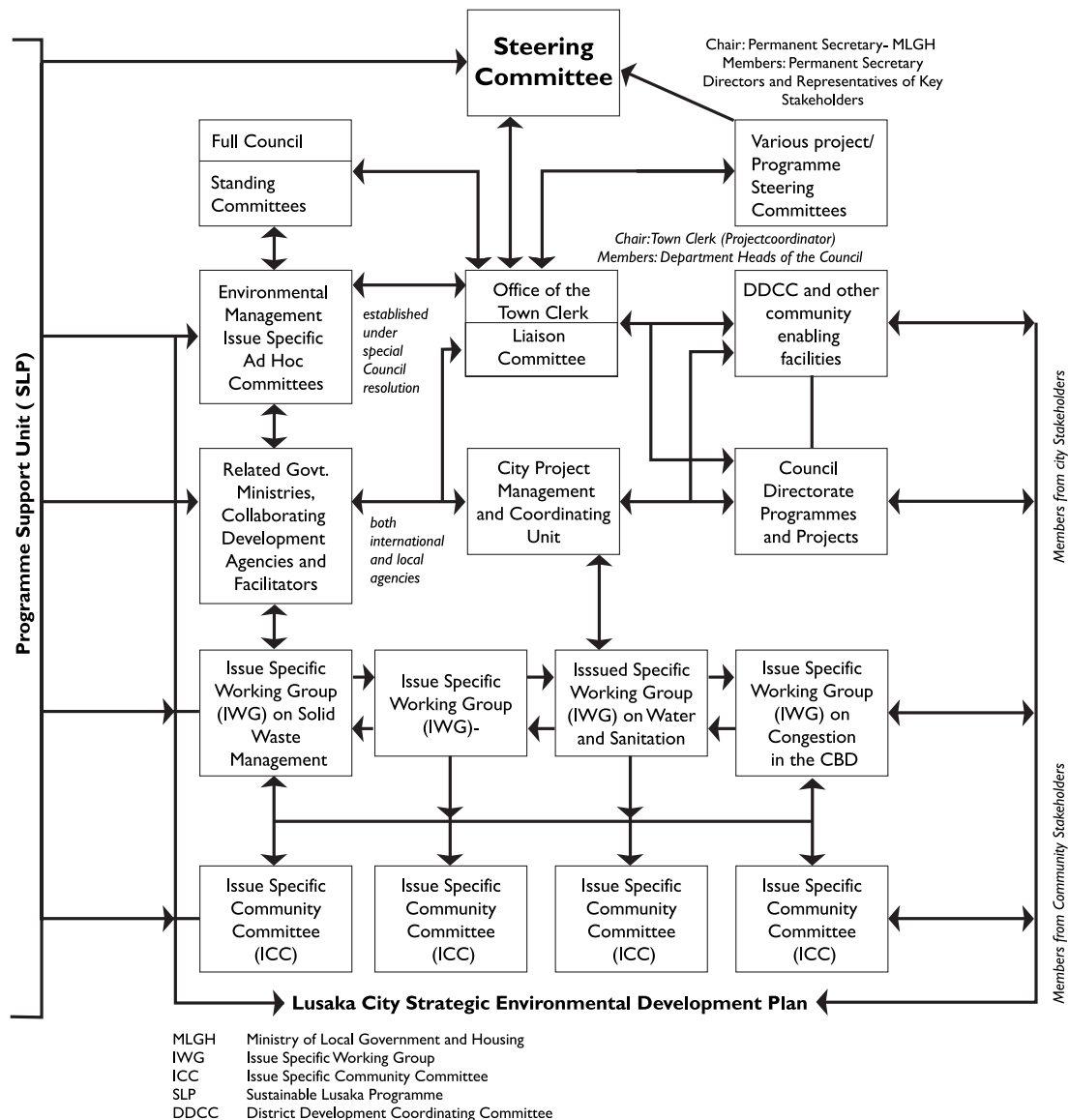
The full impact of participatory decision making can only be felt when it becomes the *modus operandi* of urban governance. In other words, participatory decision-making needs to become a routine application in day-to-day decision making. All the benefits of participatory decision making highlighted in relation to the different tools can be reaped and sustained, only when the participatory decision making process is well understood, widely accepted, and routinely applied. Hence, the argument for institutionalisation rests, not on any particular aspects of governance norms or benefits derived from their application, but rather on **sustainability** - making the application of all norms and their benefits widely felt and long lasting.



## CITY EXAMPLES

### 1. INTEGRATING THE WORKING GROUP APPROACH INTO EXISTING STRUCTURES - LUSAKA, ZAMBIA

The city consultation of the Sustainable Lusaka Project (SLP) confirmed the identification of priority issues and mandated the setting up of issue-specific Working Groups to be the multi-stakeholder mechanism for developing strategies and action plans. A decision was taken, however, that the Working Groups should be integrated into the structure of the City Council, basically working alongside Council Committees and with close involvement of Council officers. This structure, it was felt, would also strengthen the integration of SLP activities with other, on-going work of the Council and of other actors in the city's development. As a result, the Working Groups of the SLP have been successful in generating understanding and acceptance on the part of the Council and have laid the foundations for a participatory process which will be maintained within the Council after the project has ended. The diagram below illustrates how the structure has been developed.





## 2. THE “MESAS DE CONCERTACIÓN” AND INSTITUTIONALISING THE PARTICIPATORY PROCESS IN LIMA, PERU

A “*mesa de concertación*” (*Mesa*) is, generally speaking, a forum for participatory governance, in which local actors come together to discuss, debate and agree on proposals for the development of their own community, district or city. The aim is to achieve a pooling of the assets, resources and capacities of different local actors, from different sectors, and to synthesise common interests, for the good of local development. The *Mesa* is institutionalised on a permanent basis in order to ensure continuity and sustainability, especially across political elections.

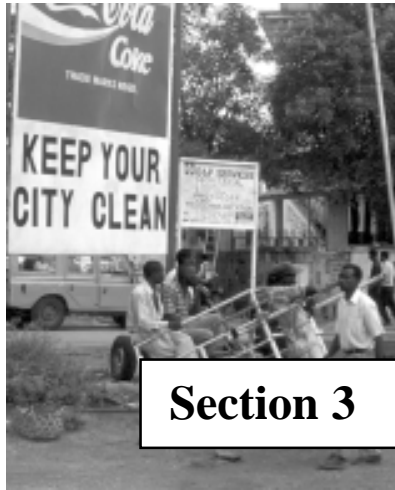
The *Mesa* enables local actors to define and implement a local vision for future development and to assume joint responsibility for that development. All sectors – local government, the private sector, NGOs, CBOs, etc. – can be involved in the *Mesa* and work together, sometimes with external actors, to make and implement decisions. Projects are formulated, implemented and monitored in a wholly participatory and democratic manner.

In the case of Lurigancho-Chosica, a district of Lima, Perú, a *Mesa* was formed to strengthen local management, particularly in three priority thematic areas for action which had been developed in a City Consultation: (1) environment, disaster prevention and housing; (2) basic services, and (3) security, income generation and capacity-building. . The *Mesa* was formed in October 1999, led by the district mayor and supported by technical NGOs, professionals, and public institutions working in the various thematic areas. The *Mesa* immediately defined 10 priority projects, especially in the environmental area, and at the same time began to build local participatory governance. Special attention has been paid to the integration of women, children and young people into the district’s development. The need for strengthening of the *Mesa* itself, so that it can play the most effective role possible as leader of local development, has also to be recognised. For this reason, courses in environmental management, women and leadership, and institutional strategic planning are being sought and undertaken in order to build the capacity of the *Mesa*.

Similar *Mesas* have been set up in a number of Latin America cities, including San Salvador (El Salvador), Cotacachi (Ecuador), Meso de los Hornos (Mexico), Córdoba (Argentina) and Lima (districts of Los Olivos, Lurigancho-Chosica, Ate-Vitarte and Villa El Salvador (Peru).

### References:

1. Institutionalising the Environmental Planning and Management (EPM) Process, Volume 5 of the SCP Source Book Series, UNCHS & UNEP, Nairobi, 1999.
2. *Anchoring Urban Management Capacities in Regional & National Institutions*, Urban Management Programme, UNCHS (Draft), 2000 .
3. *Mesa de Concertación: Creando posibilidades de vida, promoviendo gobernabilidad democrática*. CENCA/PGU-ALC/Municipalidad de Lurigancho Chosica, Peru.



### Section 3



## 3.0 GLOSSARY

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### PURPOSE

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The purpose of this 'Glossary' is to explain the specific meaning of key words or terms *as they are used in this Toolkit, in the context of a participatory decision making process in urban management.*

#### **Action Plan:**

An result-oriented, time bound and actor-specific plan negotiated among stakeholders within an agreed strategy framework.

#### **Change Agents:**

Strategically positioned individuals who have the commitment and capability to positively influence people and organisations to accept, understand, and eventually incorporate the new approaches into their routine operations.

#### **City Profile:**

Basic information about the existing situation, carefully structured to facilitate shared and better understanding of issues and to support prioritisation of these issues by the stakeholders.

#### **City Consultation:**

The City Consultation is a crucial event within the participatory process. Taking place at the end of Phase One, it brings together and builds on the work done during that Phase, consolidates social and political participation and support, and launches the process into Phase Two. The City Consultation should give firm approval to the Working Group process and to the priority topics for which Working Groups will be established; it is thus a vital step in establishing the scope and mandate of phase two activities, especially by giving Working Groups credibility and authority.

#### **City Declaration:**

A City Declaration is a document issued at the end of a city consultation event; it articulates the consensus of participants with regard to priority issues, basic approaches, next steps and activities, and a public commitment to continue supporting the process (*see also Urban Pact*).

#### **Conflict Resolution:**

Refers to the management and accommodation through negotiation and consensus building, of various conflicts and disagreements that may arise during the participatory decision-making process.

**Consultative working group:**

A core group of 'lead' stakeholders who spearhead the group consultative process around generally accepted priority issues, usually established prior to a city consultation, to support preparations for the event and to provide the foundation for Working Groups to be set up afterwards.

**Community Based Organisation (CBO):**

These are organisations based in and working in one or more local communities (neighbourhoods or districts); they are normally private, charitable (non-profit) organisations which are run by and for the local community. Typically, they were created in response to some particular local need or situation - often related to the local environment - and they usually support a variety of specific local improvement actions (for instance, environmental upgrading, youth education, employment promotion, etc.) which are generally undertaken by or with the local people. CBOs are usually important stakeholders and should be represented on Working Groups for issues of relevance to them as well as being active participants in other activities of the participatory decision-making process.

**Demonstration Project:**

A Demonstration Project is a relatively self-contained, small-scale capital investment or technical assistance project which is implemented in order to "demonstrate" in practise how a particular type of problem can be addressed in a participatory way. It is an effective mechanism to forge partnerships between public, private and (especially) community sectors, developing new ways of working together, and learning by doing whilst generating tangible results on the ground.

**Disaster Management Programme:**

This programme assists national and local governments, as well as communities, to implement post-disaster reconstruction and rehabilitation programmes particularly in the areas of housing, infrastructure and resettlements. The programme also addresses disaster preparedness

**Environmental Management Information System (EMIS):**

An EMIS is an established process through which information relevant for environmental management is identified, generated, and utilised in a specifically organised, routine manner. EMIS in the context of environmental management is developed on the basis of a systematic spatial analysis of specific issues, geographic distribution of resources, and related environmental sensitivities. It portrays spatial development options and opportunities which allow the prioritisation of development areas, the guidance of investment, and the factoring-in of long-term environmental costs in development. EMIS consists of layers of maps, spatial attributes, parameters, and criteria for prioritisation; these may be combined with strategies and development conditions defined and negotiated by stakeholders. The approach and mapping in EMIS can be easily modified and applied to other thematic areas in urban management.

**Environmental Profile:**

The Environmental Profile provides a systematic overview of the development and environment setting and institutional arrangements of a city, with this information organised and analysed in a very specific logical framework, which is designed to highlight the development-environment interactions, the critical environmental issues, and the sectors and stakeholders most directly concerned with them.

**Facilitator:**

A person trained or experienced in facilitating and leading group discussions, consultations, and meetings. He / she has the skills to apply the various techniques and tools that make joint activities more efficient and more participatory.

**Gender Analysis:**

Refers to the systematic application of analytical tools to issues relating to gender, for instance, analysing the differing roles and activities of men and women in the participatory process, or the costs and benefits of a course of action being analysed separately for men and women. Such analysis is consistently applied at each stage of the process.

**Gender Mainstreaming:**

This is the process of making gender a routine concern in development organisations and policies. The United Nations defines gender Mainstreaming as the process of assessing the implications for women and men of any planned action, including legislation, policies and programmes, in any area and at all levels. Its ultimate goal is gender equality (access to resources, opportunities and rewards of labour) with the objective of ensuring a positive impact on women and bridging gender disparities.

**Gender Sensitivity:**

Refers to being sensitive to the different situations and needs of women, and men, throughout the decision-making process, in order to promote the achievement of gender equality. It entails searching for, considering, and accommodating any aspects of social relations between women and men in their social and cultural context, during the course of any policy, planning, or implementation activity.

**Geographic Information System (GIS):**

GIS is an information system in which data is collected, stored and analysed in a spatial (geographical) framework. The GIS is normally a computer-based system; modern off-the-shelf software allow a basic GIS to be run on an ordinary PC. The data compiled and analysed in the GIS is focused specifically on information relevant for physical planning and environmental management.

**Institutionalisation:**

Institutionalisation of the participatory urban decision making process is the absorption and integration of the process principles, capacities, and products into the institutions and organisations of the city. It mean that the activities of the process will have become normal and will be routinely applied in the day-to-day operations of organisations and stakeholder groups.



**Localizing Agenda 21 Programme:**

The Localising Agenda 21 programme (LA21) is a capacity building programme (of UNCHS) started as a response to chapter 28 of Agenda 21, calling on local authorities to develop and implement a local Agenda 21 for their communities. The programme currently offers support to selected towns in Kenya, Morocco, Vietnam and Cuba for developing local Agenda 21. It promotes urban governance by supporting broad-based environmental action plans, and enhances the capability of local authorities to integrate these action plans into strategic urban development plans, stimulating inter-sectoral cooperation. The programme strategy emphasizes the need for a shared vision for the future development of the city, while in parallel, urgent problems are addressed through action planning and continuous broad-based consultation process.

**Logical Framework:**

Sometimes called “LogFrame”, this is an analytical framework used (often by international agencies) in formulating and designing projects and programmes. In this logical system objectives, the outputs, activities, and inputs are systematically described and analysed with a focus on their interrelations.

**Local Safety Appraisal:**

The Local Safety Appraisal helps determine the extent of crime in a city, its manifestations, its causes, its impacts on society and the perceptions of the public regarding crime and insecurity; it also helps build awareness and mobilise the various stakeholders. The Appraisal involves a stakeholder analysis, a municipal service analysis and an initial safety analysis; it assesses problems and formulates possible solutions, and can be followed by more detailed studies (e.g. victimisation surveys).

**Local Safety Coalition:**

The Local Safety Coalition is a gathering of those involved in the safety issues of a city, including the municipality, the criminal justice system, the private sector, and civil society in general, as well as the local community in the areas affected. The purpose of the Local Safety Coalition is to generate consensus between the partners to support and validate the Local Safety Appraisal, to develop a strategy and to work out an action plan. The Local Safety Coalition thus brings together the key partners to reach consensus and commitment on an urban crime prevention strategy, working through dialogue and partnerships. The Local safety Coalition should be institutionalised within local authority structures to ensure sustainability.

**Process Monitoring:**

Process monitoring is a systematic way of tracking the progress of the participatory urban decision-making process, in order to identify and act upon the various difficulties which are likely to occur during its implementation. Monitoring a participatory process is a complicated task requiring the use of various qualitative and subjective measures, which is why process monitoring must be very carefully designed and applied.

**Mini-Consultation:**

A reduced-scale version of the City Consultation, a Mini-Consultation is generally organised for clarification and elaboration of one specific issue, or perhaps to review options and to agree on issue-specific strategies. Mini-Consultations are a useful device for helping a Working Group take stock of progress and activities and to formalise strategies. It is also useful for bringing the participatory process down to the level of specific neighbourhoods or districts, and it can be helpfully applied in support of a demonstration project.

**Municipal Checklist:**

This refers to the initial examination of local conditions and circumstances (situation analysis), in order to better inform the design of a participatory decision-making process in a specific local context. It takes into account a number of factors including, political will and local capacity, institutional conditions, presence of stakeholder groups, resources, etc.

**Non-Governmental Organisation (NGO):**

The term NGO is applied to a wide range of organisations which are not established by or operated by government. NGOs are usually private, non-profit organisations which are run by their members. Typically, an NGO is concerned with one particular area of activity: women's rights, education, environmental protection, small-scale employment, etc. Most NGOs are local in scope, but some are regional or national, with active local branches, or even international in scope. NGOs often acquire considerable expertise and experience in their particular areas of activity, and some employ professionals or specialists to manage their work. It is normal practice to ensure NGO representation on the Working Groups, and NGOs have an important role to play in institutionalising the participatory process.

**Proposition Paper:**

A proposition paper is a summary paper which deals with an issue or topic in a specific way. Beginning with an overview of the existing situation and providing case examples, it reviews the options or approaches which can generally be applied in such situations (including "best practice"), while discussing how these principles and experiences could fit into the specific local circumstances and priorities. It does not prescribe solutions but provides a well-structured framework for informed choice of solutions.

**Safer Cities Programme:**

The Safer Cities Programme (of UNCHS) was launched in 1996 at the request of African mayors who wanted to address urban violence by developing a prevention strategy at city level. The Programme supports the implementation of the Habitat Agenda, which acknowledges the responsibility of local authorities in crime prevention. Its main objectives are to build capacities at city level to adequately address urban insecurity and thereby contribute to the establishment of a culture of crime prevention and improved security for all.

**Sensitisation:**

This refers generally to the process of giving regular briefings and training to stakeholders at different levels, to create a better understanding of the



participatory process and to “sensitise” them to the kinds of changes in planning and management which are promoted through the process.

**Stakeholder:**

In the context of the participatory urban decision-making process, this word is applied to groups, organisations and individuals who have an important ‘stake’ in the process of urban management and governance - regardless of what their particular ‘stake’ may be. Equally, the term stakeholders includes both formal and informal organisations and groups, and covers many different groups in the public sector but also in the private sector and in the community (or popular) sector. Stakeholders are also sometimes referred to as ‘actors’ in the process. Stakeholders are those organisations or groups or individuals who should be members of the Working Groups and who should participate, in one way or another, in the different activities - issue-specific strategy negotiation, action planning, implementation of demonstration projects, monitoring, etc.

**Stakeholder Analysis:**

In order to identify the people, groups, and organizations who have legitimate interests which should be represented in respect to specific urban issues, a systematic Stakeholder Analysis should be undertaken, both at the outset and repeated and progressively refined during the process.

**Sustainable Cities Programme (SCP):**

The Sustainable Cities Programme (SCP) is a global programme of the United Nations Centre for Human Settlements (UNCHS - Habitat) and the United Nations Environment Programme (UNEP). It is the leading technical cooperation programme in the field of urban environmental planning and management, and it is the principal activity of the United Nations system for operationalising sustainable urban development. Based on the demonstration-replication approach, the SCP supports cities in all parts of the world to develop local participatory approaches to improved urban environmental planning and management; building on this experience, a variety of tools and training materials have been developed in order to support wider replication of the SCP experience.

**Tool:**

In the present context, a “tool” is a general technique or methodology which can be applied to a particular aspect of the participatory urban decision-making process. A tool is basically a problem-solving device, normally based on experience, which show how particular tasks or parts of tasks may be addressed.

**Urban Governance:**

Urban governance refers to the exercise of political, economic, social, and administrative authority in the management of a city’s affairs. It comprises the mechanisms, traditions, processes, and institutions (whether formal or informal) through which citizens and groups articulate their interests, exercise their rights, meet their obligations, and mediate their differences. It is thus a broader concept than “government”, which refers only to the formal and legally established organs of the political structure.

**Urban Governance Campaign:**

The Global Campaign for Urban Governance is a campaign to *reduce urban poverty through good urban governance*. Its objectives are the increased capacity of local governments and other stakeholders to practice good urban governance and raised awareness of and advocacy for good urban governance around the world. The campaign can be thought of as a series of coordinated actions designed to achieve the goal and objectives. The strategy for achieving this is to advocate and, most importantly, *operationalize*, agreed-upon norms of good urban governance through inclusive strategic planning and decision-making processes.

**Urban Pact:**

The Urban Pact is a negotiated agreement among partners, designed to concretise commitments of partners in sustainable urban development initiatives. In the framework of participatory urban decision-making, it is a document normally drawn up at the end of a City Consultation to record the results of the consultation and the agreements reached. . The Urban Pact articulates the vision, goals, strategic objectives, action areas, and next steps which stakeholders have agreed on during the city consultation

**Urban Management Programme:**

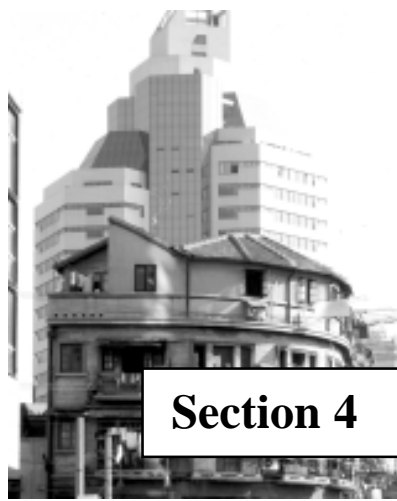
The Urban Management Programme (UMP) develops and applies urban management knowledge in the fields of participatory urban governance, alleviation of urban poverty, and urban environmental management, and it facilitates the dissemination of this knowledge at city, country, regional and global levels. The development objective of the UMP is to strengthen the contribution that cities and towns in developing countries make towards human development, including poverty reduction, improvement of environmental conditions and the management of economic growth. It is an initiative of UNCHS (Habitat), UNDP and the World bank

**Victimization Survey:**

This is a technical tool consisting of a set of questions that directly consult the public on occurrences of crime and their perception of insecurity. It seeks to identify those most at risk, measure the levels of fear, evaluate public perceptions of police effectiveness and service delivery, and seeks to establish the opinion of victims and others regarding appropriate interventions. Victimization surveys function as a tool for mapping crime and, when repeated on a regular basis, allow the effect of crime prevention strategies on a given population to be measured.

**Working Group:**

An issue-specific Working Group is a small body of stakeholder representatives who come together to address a cross-cutting issue of their common concern. The members possess mutually complementing information, expertise, policy and implementation instruments and resources, which they bring together and use in collaboration within the framework of the participatory process.



## Section 4

UNCHS (Habitat) and its partners have developed a number of operational tools which are intended to promote good urban governance in general and the participatory urban decision making process in particular. The purpose of this chapter is to give further details of these various tools, which are listed here in three ways:

- Alphabetical Listing of Tools - [4.1]
- Tools Listed by Phase (of the Participatory Urban Decision-Making Process) - [4.2]
- Full Tool Description, Listed by Organisation - [4.3].

The tools are mostly in the form of guide books or source books, or perhaps training manuals or compilations of case studies; all are intended to provide operational support to different aspects of participatory urban decision-making. In section 3.3 each tool is presented according to a standard format, with a summary description of what it is and how it works. In addition, for each tool information is given for how to contact those responsible for preparing or disseminating the tool.

Although every effort has been made to include as many of the relevant tools as possible, it is inevitable that some may have been missed. Nonetheless, the 35 tools in this chapter represent a reasonably complete listing of those which have been developed, in recent years, by Habitat and its partners, to support urban development management around the world. Twenty-two of these tools have been developed through programmes and initiatives of UNCHS (Habitat); the rest have been produced by its various partners, including:

- Federation of Canadian Municipalities (FCM)
- German Technical Cooperation (GTZ)
- Institute for Security Studies (ISS)
- International Centre for the Prevention of Crime (ICPC)
- International Council for Local Environmental Initiatives (ICLEI)
- International Co-operation Agency of the Association of Netherlands Municipalities (VNG)
- National Committee for International Cooperation and Sustainable Development (NCDO)
- United Nations Children’s Fund (UNICEF)
- United Nations Development Programme (UNDP)
- World Bank (WB).



## 4.1 ALPHABETICAL LISTING OF TOOLS

1. Assessment of Vulnerability to Flood Impacts and Damages
2. Beneficiary Assessment
3. Best Practises Database
4. Building an Environmental Management Information System - EMIS
5. Citizen Satisfaction Survey – Report Card
6. Citizen Participation in Local Governance Toolkit
7. City Consultation Guidelines
8. City Experiences in Improving the Urban Environment
9. Community Based Participatory Planning
10. Crime Prevention Digest II: Comparative Analysis of Successful Community Safety
11. Environmental Design For Safer Communities
12. Establishing and Supporting a Working Group Process
13. Formulating Issue-Specific Strategies and Action Plans
14. Gender Analysis
15. Good Urban Governance Report Cards
16. Guide For Community Based Environmental Management Information Systems (CEMIS)
17. Guide for improving Municipal performance
18. Guidelines for Operational Programme Formulation in Post Disaster Situations
19. Guidelines for the Evaluation of Post Disaster Programmes
20. Institutionalising the Environmental Planning and Management (EPM) Process
21. Integrating Gender Responsiveness in Environmental Planning and Management
22. Local Agenda 21 Planning Guide
23. Local Sustainability Mirrow
24. Manuals for Local Leadership, Governance and Urban Management Capacity-Building
25. Media Content Analysis
26. Organising, Conducting and Reporting an SCP City Consultation
27. Participatory Decision Making Indicators
28. Participatory Rapid Appraisal (PRA)
29. Participatory Urban Governance: Practical Approaches, Regional Trends and UMP Experiences
30. Preparing an SCP Environmental Profile
31. Report on 36 Ways to Encourage Civic Participation
32. SARAR (Self-Esteem, Associative Strength, Resourcefulness, Action Planning and Responsibility)
33. Social Assessment
34. Stakeholder Identification and Mobilisation
35. Urban Indicators Toolkit
36. ZOPP - Objective Oriented Project Planning (*Ziel Orientierte Projekt Planung*)
37. 100 Crime Prevention Programmes To Inspire Action Across The World



## 4.2 TOOLS LISTED BY PHASE (OF THE PARTICIPATORY URBAN DECISION-MAKING PROCESS)

Phase	Tool
<b>I: Preparatory and Stakeholder Mobilization</b>	<ul style="list-style-type: none"> <li>• Preparing the SCP Environmental Profile</li> <li>• Gender Analysis</li> <li>• Assessment of Vulnerability to Flood Impacts and Damages</li> <li>• Social Assessment</li> <li>• Stakeholder Identification and Mobilisation</li> </ul>
<b>II: Issue Prioritization and Stakeholder Commitment</b>	<ul style="list-style-type: none"> <li>• Organizing, Conducting and Reporting an SCP City Consultation</li> <li>• City Consultation Guidelines</li> </ul>
<b>III: Strategy Formulation and Implementation</b>	<ul style="list-style-type: none"> <li>• Citizen Satisfaction Survey – Report Card</li> <li>• Good Urban Governance Report Cards</li> </ul>
<b>IV: Follow-up and Consolidation</b>	<ul style="list-style-type: none"> <li>• Local sustainability Mirror</li> <li>• Guidelines for the Evaluation of Post Disaster Programme</li> <li>• Institutionalising the Environmental Planning and Management (EPM) Process</li> <li>• Media Content Analysis</li> <li>• Participatory Decision Making Indicators</li> <li>• Urban Indicators Toolkit</li> </ul>
<b>Cross Cutting Tools</b>	<ul style="list-style-type: none"> <li>• Best Practices Database</li> <li>• Beneficiary Assessment</li> <li>• Environmental Design for Safer Communities</li> <li>• Building an Environmental Management Information System - EMIS</li> <li>• Integrating Gender Responsiveness in Environmental Planning and Management</li> <li>• Citizen Participation in Local Governance Toolkit</li> <li>• Guide For improving Municipal Performance</li> <li>• Participatory Urban Governance: Practical Approaches, Regional Trends and UMP Experiences</li> <li>• Participatory Rapid Appraisal</li> <li>• Guide For Community Based Environmental Management Information Systems (CEMIS)</li> <li>• Local Agenda 21 Planning Guide</li> <li>• Manuals for Local Leadership, Governance, and Urban Management Capacity-Building</li> <li>• SARAR (Self-Esteem, Associative Strength, Resourcefulness, Action Planning and Responsibility)</li> <li>• Report on 36 Ways to Encourage Civic Participation</li> <li>• Crime Prevention Digest II: Comparative Analysis of Successful Community Safety</li> <li>• 100 Crime Prevention Programmes to Inspire Action Across the World</li> <li>• ZOPP - Objective Oriented Project Planning</li> </ul>





## 4.3 DESCRIPTIVE LISTING BY ORGANISATIONS

### 4.3.1 UNITED NATIONS CENTRE FOR HUMAN SETTLEMENTS (UNCHS - HABITAT)

<b>Title</b>	<b>ASSESSMENT OF VULNERABILITY TO FLOOD IMPACTS AND DAMAGES</b>
<b>Organization</b>	UNCHS (Habitat)
<b>Year of Publication</b>	2001
<b>Areas of Application</b>	Disaster Management; Profiling
<b>Description</b> <p>In this tool, UNEP and UNCHS (Habitat) introduce the concept of 'vulnerability' to flood impacts and damages. The funds and human resources allocated for flood mitigation purposes need to be targeted where interventions can achieve the most significant effects; in this way, decision-makers and investors can choose for their intervention and investment the areas where vulnerability is estimated to be highest.</p> <p>To make such integrated management possible, some generalised tools are necessary so that comparisons can be made across an entire catchment area and also between catchment areas. The guidelines given here should be treated as a comparative tool, being a way of identifying the relative vulnerability of different areas rather than providing an absolute assessment of vulnerability. For easy comparison purposes, a vulnerability index is introduced, comprising of a set of indicators representing various aspects relevant to magnitude and range of impacts and damages of floods to communities and environment.</p> <p>These guidelines should be applied in a way consistent with local knowledge. It is possible to screen in or to screen out cases, for instance to exclude areas assessed to be of low vulnerability from further assessment, or to identify for further action only those areas assessed as being highly vulnerable.</p>	
<b>Further Information:</b>  <i>Jorge Gavidia; Coordinator, Disaster Management Unit; UNCHS, PO Box 30030 Nairobi, Kenya, Tel: 254 2 623051 • e-Mail: Jorge.Gavidia@unchs.org</i>	



<b>Title</b>	<b>BEST PRACTISES DATABASE</b>
<b>Organization</b>	UNCHS (Habitat)
<b>Year of Publication</b>	Available on the World Wide Web, continuously up-dated
<b>Areas of Application</b>	Urban Management
<b>Description</b>	
<p>The Best Practises database is a powerful tool for analysing current trends: finding information on current human settlement issues; networking; capacity building; technical cooperation; and policy formulation. The database contains over 1100 proven solutions to the common social, economic and environmental problems of an urbanizing world, drawn from more than 120 countries. It demonstrates practical ways in which communities, governments and the private sector are working together to improve governance, eradicate poverty, provide access to shelter, land and basic services, protect the environment and support economic development.</p> <p>The Best Practices database is a joint product of UNCHS (Habitat), Dubai Municipality, and The Together Foundation; it has been made possible with the support of the Best Practices Partners and the Governments of Spain, UK and Switzerland.</p>	
<b>Further Information:</b>	
<p><i>For more information on this database, please contact: Nick You, The Co-ordinator, Information and Best Practices, The Urban Secretariat, UNCHS (Habitat) P.O. 30030 Nairobi, Kenya, Tel: (254-2) 623029 • Fax: (254-2) 623080 • e-Mail: bestpractices@unchs.org; Website: <a href="http://www.bestpractices.org/">http://www.bestpractices.org/</a></i></p>	



<b>Title</b>	<b>BUILDING AN ENVIRONMENTAL MANAGEMENT INFORMATION SYSTEM - EMIS</b>
<b>Organization</b>	UNCHS (Habitat)
<b>Year of Publication</b>	2000
<b>Areas of Application</b>	Information; Environment, but also readily applicable to other thematic areas in urban development
<p><b>Description</b></p> <p>The EMIS tool has been developed by the <i>Sustainable Cities Programme</i> (SCP) of UNCHS and UNEP for collecting, organizing, and applying information relevant to urban development and the environment. It is designed to assist in clarifying issues, formulating strategies, implementing action plans, monitoring progress and updating changes. The EMIS toolkit consists of a series of step-by-step descriptions (“how to do it”), together with examples and city case studies.</p> <p>In 1996, the SCP started to develop an operational tool for EMIS at the city level by supporting the Sustainable Dar es Salaam Project (Tanzania) in developing GIS capabilities and applications within the EPM process. With support such as provision of equipment, software and spatial data, the city was able to develop up-to-date base maps, thematic maps on their environment and development setting, and to use these for the analysis which underlay the Strategic Management Framework. Accra, Chennai, Dar es Salaam, Ibadan, Ismailia, Shenyang, Wuhan, and Zanzibar have developed locally relevant EMIS capabilities through support of the SCP, and this diverse experience is reflected in the tool.</p> <p>The EMIS tool is published as Volume 7 of the SCP Source Book Series, a group of detailed guidebooks together covering most aspects of the environmental planning and management process and based on a decade of real-world experience in city project implementation through the Sustainable Cities Programme.</p>	
<p><b>Further Information:</b></p> <p><i>For further information about the tool and about setting up an Environmental Management Information System (ISBN: 92-1-131463-1), contact:</i>  <i>The Information Officer, UNCHS, Room P-330, P.O. Box 30030, Nairobi, Kenya,</i>  <i>Tel: +254-2-623784 • Fax: +254-2-623715 • e-Mail: <a href="mailto:scp@unchs.org">scp@unchs.org</a> or download the draft guide at <a href="http://www.unchs.org/scp/tools/emis/index.htm">http://www.unchs.org/scp/tools/emis/index.htm</a>, Website: <a href="http://www.unchs.org/scp">http://www.unchs.org/scp</a></i></p>	



<b>Title</b>	<b>CITIZEN SATISFACTION REPORT CARD</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	***
<b>Areas of Application</b>	Monitoring
<b>Description</b>	
<p>Citizens' Satisfaction Survey – Report Card is a tool developed by UNCHS (Habitat) to assist in surveying whether citizens are satisfied with their city in the main areas addressed by the Habitat Agenda: access to housing and basic services, transport and mobility, education and learning, health and safety, social inclusion, gender equality, air and water quality, waste management, employment and income, information and communication, participation and civic engagement, and in the local government. The results collected through citizens' ratings are converted into a "report card" on the city. The report card permits the ranking of problems in terms of citizens' satisfaction with the main social and physical services for which the government is accountable for.</p> <p>Citizens' Satisfaction Survey is a tool which not only provides a new insight to urban problems but also promotes dialogue between governments and the civil society. It may also help correct some official data and estimates which might not reflect urban reality. It is therefore a tool which should, in the long term, enhance dialogue and the quality of data, and ultimately contribute to better information for better cities. In the process, it is an instrument for improving governance at the city level, as good governance implies that policy-makers are aware of their citizens' satisfaction in terms of social and physical services.</p> <p>The Citizens' Satisfaction Survey can be used in the particular context of Istanbul + 5 to assess progress made in all areas of the Habitat Agenda and identify what actions should be undertaken to address issues. In a longer-term, the Citizens' Satisfaction Survey can be used to assess performance change over time and serve as a benchmark tool. Regular rating of performance of local authorities will provide critical insights into their strategies, actions plans and implementation.</p>	
<b>Further Information:</b>	
<p><i>For more information, contact: Dr. Jay Moor, Coordinator, Global Urban Observatory, UNCHS (Habitat), P.O. Box 30030 Nairobi, Kenya.</i></p> <p><i>Tel: (254 2) 623184 • Fax: (254 2) 623080, 624266, 624267</i></p> <p><i>e-Mail: guo@unchs.org • Website: <a href="http://www.urbanobservatory.org/indicators">http://www.urbanobservatory.org/indicators</a></i></p>	



<b>Title</b>	<b>CITY CONSULTATION GUIDELINES</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	1999
<b>Areas of Application</b>	Stakeholder mobilisation, participation
<b>Description</b>	
<p>The City Consultation Guidelines have been developed at UNCHS (Habitat) by the Urban Management Programme. The overall process involves eight (8) stages. Stage 1: Selection of Cities; Stage 2: Planning; Stage 3: City Profile; Stage 4: Consultation Process; Stage 5: Follow-up; Stage 6: Final Plan of Action; Stage 7: Implementation; Stage 8: Replication within the city.</p>	
<b>Further Information:</b>	
<p><i>Dinesh Mehta, Coordinator , Urban Management Programme; UNCHS, Box 30030, Nairobi, Kenya; Tel: 254 2 62 3414 • e-Mail: dinesh.mehta@unchs.org</i></p>	

<b>Title</b>	<b>CITY EXPERIENCES IN IMPROVING THE URBAN ENVIRONMENT</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	2000
<b>Areas of Application</b>	Strategy Formulation; Implementation; Urban Environmental Management
<b>Description</b>	
<p>This Working Paper on City Experiences in Improving the Urban Environment gives a summary over-view of the results of a detailed evaluation of six African City projects under the Sustainable Cities Programme of UNCHS and UNEP. The experiences of Accra (Ghana), Dar es Salaam (Tanzania), Dakar (Senegal), Ibadan (Nigeria), Ismailia (Egypt) and Lusaka (Zambia) are covered in this "snapshot", which focus on key aspects of the participatory urban decision-making process as it worked out in practice. The Paper looks at the different achievements of the cities, the ways in which the participatory process worked out, and the different approaches taken to the adaptation of the general process to local circumstances in each individual city.</p> <p>"City Experiences in Improving the Urban Environment" was published as Working Paper No. 1, Urban Environment - Sustainable Cities Programme, UNCHS.</p>	
<b>Further Information:</b>	
<p><i>For further information about the Working Paper please contact: The Information Officer, United Nations Centre for Human Settlements, Sustainable Cities Programme, Room P-330, P.O. Box 30030, Nairobi, Kenya, Tel: +254-2-623784 • Fax: +254-2-623715 e-Mail: SCP@unchs.org • Website: <a href="http://www.unchs.org/scp">http://www.unchs.org/scp</a></i></p>	



<b>Title</b>	<b>COMMUNITY BASED PARTICIPATORY PLANNING</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	2001
<b>Areas of Application</b>	Community participation; urban planning and management
<b>Description</b>	
<b>BOOK 1 - USERS GUIDE, READER</b>	
<p>This provides a detailed look at the participatory planning process as it has evolved over time and gives insights and strategies for implementing the process in a community. It discusses perspectives on and essential characteristics of participatory planning and then discusses step-wise the various stages for undertaking participatory planning in communities: initiating the process, strategising, diagnosing the situation, planning, implementing plans, and measuring success.</p>	
<b>BOOK 2 - TOOLKIT: LEARNING IMPLEMENTATION STRATEGIES AND FACILITATORS GUIDE</b>	
<p>This book has several parts. First it provides a perspective on 'learning implementation' which includes how to implement learning in a workshop setting and how to implement what has been learnt, where implementation suggests action. Secondly, it provides a number of training exercises that can be used to design and implement an experimental learning event. Third, it details a case study on how to plan a participatory planning process. Fourth, it provides a full blown simulation of the participatory planning process based on likely inter-jurisdictional issues of how to deal with a solid waste management situation.</p>	
<b>BOOK 3 - A SELF DIRECTED GUIDE FOR PLANNING</b>	
<p>This workbook lays out the various steps in the participatory planning process so actual planning teams can use it as a guide for fulfilling their planning roles and responsibilities. By completing each step in the process outlined in the workbook, they will have achieved their goals of engaging in participatory planning and in developing a plan of action based on full participation. This workbook also includes short descriptions of other useful planning tools that can supplement all the other planning goods presented the books.</p>	
<b>Further Information:</b>	
<p><i>For more information, please contact: Liz Case, Local Leadership Management programme, UNCHS (Habitat), P.O. Box 30030 Nairobi, Kenya.</i></p> <p><i>Tel: (254 2) 623935, Fax: (254 2) 623080, 624266, 624267</i></p> <p><i>e-Mail: <a href="mailto:liz.case@unchs.org">liz.case@unchs.org</a> • Website: <a href="http://www.urbanobservatory.org/indicators">http://www.urbanobservatory.org/indicators</a></i></p>	



<b>Title</b>	<b>GUIDE FOR COMMUNITY BASED ENVIRONMENTAL MANAGEMENT INFORMATION SYSTEMS (CEMIS)</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	2001
<b>Areas of Application</b>	Information, Stakeholder Participation
<b>Description</b>  The Community Based Environmental Management Information System deals with low income housing and the living and working conditions of marginalized people in large cities. The information system is combined with planning as a dialogue (Consultation) at different levels the family, the neighbourhood, and the community - and with partners who include political leaders, governments, and NGOs, in order to share information and experiences. The CEMIS is conceptualised within a framework with different phases: preparation and mobilization; Environmental Risk Assessment; Technical Options; Prioritisation of Interventions; Action Planning; and Monitoring and Evaluation.  It aims to contribute to poverty reduction and to encourage co-operation as part of participation in multi-level planning.	
<b>Further Information:</b>  <i>Andre Dzikus; Human Settlements Officer, UNCHS, Box 30030, Nairobi, Kenya; Tel. 254 2 623060 • e-Mail: andre.dzikus@unchs.org</i>	



<b>Title</b>	<b>GUIDELINES FOR OPERATIONAL PROGRAMME FORMULATION IN POST DISASTER SITUATIONS</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	2001
<b>Areas of Application</b>	Disaster Management, Strategy Formulation
<b>Description</b>	
<p>These Guidelines seek to assist practitioners and local governments to meet the challenges of post disaster reconstruction with the best possible understanding of the different issues and of the tools for identifying and adopting workable strategies. By adopting better strategic planning at the outset, it is hoped that the projects undertaken after disaster will go further in addressing the issues of long term development in the affected communities.</p> <p>The methods and strategy behind programmes and projects have a huge impact on their rate of success. One of the characteristics of a post-crisis situation is upheaval and lack of order. The tools in this resource guide help to re-establish a sense of order in the planning of programmes. The purpose of this tool is to provide mechanisms to help create sustainable programming that will best enable communities to rebuild themselves in a holistic manner.</p> <p>It discusses the issues at hand - why projects fail or succeed - and how to address this - better programme design strategies. It provides a brief introduction to the concept of Operational Programme Formulation; and moves step-by-step through the Operational Programme Formulation framework. Finally it examines three main themes of post-disaster programming in terms of Operational Programme Formulation.</p> <p>There are a number of different groups who can benefit from this resource guide (local and international NGO's, community based organisations, UN agencies), but it has been designed specifically targeting the needs of local governments in post-disaster situations.</p>	
<b>Further Information:</b>	
<p><i>Jorge Gavidia, Coordinator; Risk and Disaster Management Programme, UNCHS, P.O Box 30030, Nairobi Kenya. e-Mail: Jorge.Gavidia@unchs.org</i></p>	





<b>Title</b>	<b>GUIDELINES FOR THE EVALUATION OF POST-DISASTER PROGRAMME</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	2001
<b>Areas of Application</b>	Disaster Management; Monitoring
<b>Description</b>	
<p>The Guidelines will help local practitioners incorporate evaluation strategies into programme design and carry out successful evaluations. Part of the goal of this resource tool is to demonstrate that post-disaster projects have far-reaching effects on the sustainable development of societies. In preparing post-disaster programmes, it is crucial to keep in mind that disasters create opportunities as well as costs.</p> <p>The Guidelines consider why projects fail or succeed and how better to address this through better evaluation strategies. The concepts of evaluation are introduced, with a step-by-step explanation of the process of designing and implementing evaluations. Each step includes useful techniques to assist in putting these ideas into practice.</p> <p>These Guidelines have been designed specifically for the use of local authorities, but a number of other groups can benefit from them: local and international NGO's, community based organisations, UN agencies, etc.</p>	
<b>Further Information:</b>	
<p><i>Jorge Gavidia, Coordinator; Risk and Disaster Management Programme, UNCHS, P.O Box 30030, Nairobi Kenya. e-Mail: <a href="mailto:Jorge.Gavidia@unchs.org">Jorge.Gavidia@unchs.org</a>/<a href="mailto:rdmu@unchs.org">rdmu@unchs.org</a></i></p>	



<b>Title</b>	<b>ESTABLISHING AND SUPPORTING A WORKING GROUP PROCESS</b>
<b>Organization</b>	UNCHS/UNEP
<b>Year of Publication</b>	1999
<b>Areas of Application</b>	Environment; Strategy Formulation; Stakeholder Participation
<b>Description</b> <p>This comprehensive source book gives a detailed and systematic explanation of how to establish and support a working group process. It is aimed at professionals and practitioners who will actually be operating and supporting working groups on a day-to day basis.</p> <p>The guide is divided into 3 main parts. Part A gives an introduction and overview of working groups as they operate in an SCP city project. Part B gives a detailed, step-by-step explanation of how working groups are established, organized and supported as part of a participatory urban decision-making process; these explanations are illustrated with case examples from various SCP cities. Part C contains annexes and reference materials directly related to the operation of working groups, such as sample terms of reference for consultants, city case studies, and lessons of experience.</p> <p>The Working Group tool is published as Volume 3 of the SCP Source Book Series, a group of detailed guidebooks together covering most aspects of the environmental planning and management process and based on a decade of real-world experience in city project implementation through the Sustainable Cities Programme.</p>	
<b>Further Information:</b> <p><i>For further information about the SCP Source Book on Establishing and Supporting a Working Group Process (ISBN No. 92-1-131411-9), please contact:</i> <i>The Information Officer Sustainable Cities Programme,</i> <i>United Nations Centre for Human Settlements, Room P-330 • P.O. Box 30030, Nairobi, Kenya,</i> <i>Tel: +254-2-623784 • Fax: +254-2-623715</i> <i>e-Mail: <a href="mailto:scp@unchs.org">scp@unchs.org</a> • Website: <a href="http://www.unchs.org/scp">http://www.unchs.org/scp</a></i></p>	



<b>Title</b>	<b>FORMULATING ISSUE SPECIFIC STRATEGIES AND ACTION PLANS</b>
<b>Organization</b>	UNCHS / UNEP
<b>Year of Publication</b>	1999
<b>Areas of Application</b>	Environment; Strategy Formulation; Action Planning and Implementation
<p><b>Description</b></p> <p>This Source Book gives a detailed and carefully-structured explanation of how to formulate issue specific strategies and action plans as part of a participatory urban decision-making process. It is aimed at professionals and practitioners, as well as working group participants and others who will actually be charged with preparing strategies and action plans.</p> <p>The guide is divided into three parts. Part A gives an overview of issue specific strategies and action plans in the context of an SCP city project. Part B gives a step-by-step explanation of formulating and agreeing Issue Specific Strategies and of then developing Action Plans for their implementation. Part C contains annexes and reference materials with concrete examples and illustrations which are designed to directly assist all those involved in the task.</p> <p>The Strategies and Action Plans tool is published as Volume 4 of the SCP Source Book Series, a group of detailed guidebooks together covering most aspects of the environmental planning and management process and based on a decade of real-world experience in city project implementation through the Sustainable Cities Programme.</p>	
<p><b>Further Information:</b></p> <p><i>For further information about the SCP Source Book on Formulating Issue Specific Strategies and Action Plans (ISBN No. 92-1-131439), please contact: The Information Officer, United Nations Centre for Human Settlements, Sustainable Cities Programme, Room P-330, P.O. Box 30030, Nairobi, Kenya,</i></p> <p><i>Tel: +254-2-623784 • Fax: +254-2-623715,</i></p> <p><i>e-Mail: <a href="mailto:scp@unchs.org">scp@unchs.org</a> • Website: <a href="http://www.unchs.org/scp">http://www.unchs.org/scp</a></i></p>	



<b>Title</b>	<b>INSTITUTIONALISING THE ENVIRONMENTAL PLANNING AND MANAGEMENT (EPM) PROCESS</b>
<b>Organization</b>	UNCHS / UNEP
<b>Year of Publication</b>	1999
<b>Areas of Application</b>	Process Follow-up and Consolidation; Environmental Management
<b>Description</b> <p>This Source Book gives a careful explanation of what is meant by institutionalisation of the EPM process - how it can be organised and undertaken, based on a step-wise description of the typical participatory EPM process in a city. The Source Book is aimed at professionals, policy-makers and practitioners who are responsible for actually implementing the participatory decision making process and thus responsible for its longer-term sustainability. Practical advice is given based on experiences of the various SCP cities, and the explanation is supported and backed up by city examples and illustrations.</p> <p>The Institutionalisation tool is published as Volume 5 of the SCP Source Book Series, a group of detailed guidebooks together covering most aspects of the environmental planning and management process and based on a decade of real-world experience in city project implementation through the Sustainable Cities Programme.</p>	
<b>Further Information:</b>  <i>For further information about the SCP Source Book on Institutionalising the EPM Process (ISBN No. 92-1-131413-5), please contact:</i> <i>The Information Officer, United Nations Centre for Human Settlements, Sustainable Cities Programme, Room P-330, P.O. Box 30030, Nairobi, Kenya,</i> <i>Tel: +254-2-623784 • Fax: +254-2-623715,</i> <i>e-Mail: <a href="mailto:scp@unchs.org">scp@unchs.org</a> • Website: <a href="http://www.unchs.org/scp">http://www.unchs.org/scp</a></i>	



<b>Title</b>	<b>INTEGRATING GENDER RESPONSIVE ENVIRONMENTAL PLANNING AND MANAGEMENT</b>
<b>Organization</b>	UNCHS / UNEP
<b>Year of Publication</b>	2000
<b>Areas of Application</b>	Urban Management; Gender; Environmental Management
<p><b>Description</b></p> <p>Part One of this Source Book begins with a careful explanation of the context, concept, and process of gender responsive environmental planning and management (EPM) - definitions, issues, analytical approaches, etc. The second chapter reviews and discusses the task of "mainstreaming" gender into a participatory urban process, including in all the various steps and stages. The third chapter looks at the lessons of experience, the challenges of gender issues at city level, and explores how gender responsive EPM can be locally adapted, applied and used.</p> <p>Part Two of the Source Book gives summary descriptions of 19 different case studies in gender responsive urban planning and management, while Part Three includes a variety of useful references and supporting documents.</p> <p>The Source Book as a whole is intended to be a useful foundation document for people involved in planning and managing urban areas - urban managers, stakeholder groups, development managers, other involved professionals and practitioners. It is also a valuable training and information tool, to give people a basic grounding in the key ideas and practices of gender responsiveness</p> <p>This Gender Responsiveness tool is published as Volume 8 of the SCP Source Book Series, a group of detailed guidebooks together covering most aspects of the environmental planning and management process and based on a decade of real-world experience in city project implementation through the Sustainable Cities Programme.</p>	
<p><b>Further Information:</b></p> <p><i>For further information about the SCP Source Book on Integrating Gender Responsiveness (ISBN No. 92-1-131455-0), please contact:</i></p> <p><i>The Information Officer, United Nations Centre for Human Settlements, Sustainable Cities Programme, Room P-330, P.O. Box 30030, Nairobi, Kenya,</i></p> <p><i>Tel: +254-2-623784 • Fax: +254-2-623715</i></p> <p><i>e-Mail: <a href="mailto:scp@unchs.org">scp@unchs.org</a> • Website: <a href="http://www.unchs.org/scp">http://www.unchs.org/scp</a></i></p>	



<b>Title</b>	<b>MANUALS FOR LOCAL LEADERSHIP, GOVERNANCE, AND URBAN MANAGEMENT CAPACITY BUILDING</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	1996
<b>Areas of Application</b>	Urban Management
<b>Description</b>  The "Training for Elected Leadership" Series of 13 handbooks on Elected Leadership Training covers eleven different roles performed by the elected councillor. Many of these roles (such as Councillor as Communicator or as Negotiator) have important and direct significance in and are crucial for a participatory process in decision-making. The package includes a trainer's guide and overview document in addition to the eleven workbooks. Each of these contains a self-study essay describing the role together with training aids to provide the trainer with options to address specific needs and circumstances. The user-friendly training package, which can also be used as a practical on-the-job guide is a primer that addresses the behavioural roles of elected officials. The handbooks include: Trainer's Guide for Training Elected Officials Perspectives on Training Elected Leaders The Councillor as Policy-Maker The Councillor as Decision Maker The Councillor as Communicator The Councillor as Facilitator The Councillor as Enabler The Councillor as Negotiator The Councillor as Financier The Councillor as Overseer The Councillor as Power Broker The Councillor as Institution Builder The Councillor as Leader	
<b>Further Information:</b>  <i>For more information, please contact: Liz Case, Information Officer, Local Leadership Management Programme UNCHS (Habitat), P.O. Box 30030 Nairobi, Kenya. Tel: (254 2) 623935 • Fax: (254 2) 623080, 624266, 624267 e-Mail: Liz.Case@unchs.org • Website: www.unchs.org/llm/series/content/htm</i>	



<b>Title</b>	<b>Media Content Analysis</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	
<b>Areas of Application</b>	Monitoring
<b>Description</b>	
<p>Media Content Analysis is a tool developed by the <i>Urban Indicators Programme</i> of UNCHS, to determine the comparative number of stories during one complete year of daily news that fall into each of the 20 key thematic areas of the Habitat Agenda. The news stories may be about local issues, or they may be stories from other cities in the country, or from cities outside the country. In any case, the subject matter will be an indicator of what the editors consider to be of interest to their readers or of what the editors would like readers to know about. When compared with priority issues obtained from numerical indicator series and from perception surveys, Media Content Analysis provides additional information on local awareness of issues. It will also help to evaluate the performance of the media in reporting on real conditions and how its reporting affects perceptions of the urban environment. The first step is to select the daily newspaper to be analyzed and to obtain access to archived newspapers; the second step is to set up a twenty-by-twenty matrix that will allow tabulation of stories by theme and subtheme; the third step is to classify the stories; and the fourth step is to compare the total numbers of stories for each year in each thematic area.</p> <p>Where urban indicators have been collected and/or a Citizens' Satisfaction Survey has been undertaken, media priorities may be compared with actual conditions as revealed through urban indicators or with citizens' own perception of the urban environment as revealed through surveys. If expertise and resources allow, the analysis may be carried further, determining, for example, whether reporting on issues had any impact on policy priorities or on shaping public opinion that, in turn, had an impact on policy.</p>	
<b>Further Information:</b>	
<p><i>For more information, please contact: Dr. Jay Moor, Coordinator, Global Urban Observatory, UNCHS (Habitat), P.O. Box 30030 Nairobi, Kenya.</i></p> <p><i>Tel: (254 2) 623184 • Fax: (254 2) 623080, 624266, 624267</i></p> <p><i>e-Mail: guo@unchs.org • Website: <a href="http://www.urbanobservatory.org/indicators">http://www.urbanobservatory.org/indicators</a></i></p>	



<b>Title</b>	<b>ORGANISING, CONDUCTING AND REPORTING AN SCP CITY CONSULTATION</b>
<b>Organization</b>	UNCHS / UNEP
<b>Year of Publication</b>	1999
<b>Areas of Application</b>	Stakeholder Mobilisation, Participation; Urban Environmental Management
<b>Description</b> <p>This Source Book gives detailed and systematic explanation of how to prepare and implement a City Consultation, based on extensive experience in SCP and other cities. It is aimed at the professionals, practitioners, and others who will actually be organising and implementing the consultation, and the Source Book is designed to give them all the information and support needed.</p> <p>The guide is divided into three main parts. Part A gives an introduction and overview of the City Consultation, explaining its role and purpose in the SCP process, and summarising how it is prepared and conducted. Part B gives a step-by-step explanation of the necessary preparations for a city consultation, with careful guidance covering all the different aspects of organisation and management. Part C is quite voluminous and contains numerous annexes and reference materials giving examples, for instance, of Terms of Reference for resource persons/consultants, guidelines on preparing proposition papers, sample letters, sample forms and documents, etc.</p> <p>This City Consultation tool is published as Volume 2 of the SCP Source Book Series, a group of detailed guidebooks together covering most aspects of the environmental planning and management process and based on a decade of real-world experience in city project implementation through the Sustainable Cities Programme.</p>	
<b>Further Information:</b> <p><i>For further information about the SCP Guide Book on Organizing, Conducting and Reporting an SCP City Consultation (ISBN No. 92-1-131410-0), please contact:</i> <i>The information Officer, Information Officer, United Nations Centre for Human Settlements, Sustainable Cities Programme, Room P-330, P.O. Box 30030, Nairobi, Kenya,</i> <i>Tel: +254-2-623784, Fax: +254-2-623715,</i> <i>e-Mail: SCP@unchs.org • Website: <a href="http://www.unchs.org/scp">http://www.unchs.org/scp</a></i></p>	





<b>Title</b>	<b>PARTICIPATORY DECISION-MAKING INDICATORS</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	available on the web; to be published
<b>Areas of Application</b>	Monitoring; Stakeholder Participation
<p><b>Description</b></p> <p>UNCHS (Habitat) has developed participatory decision-making indicators (PDM indicators) to provide a core measure of the decision-making processes between the time of the original Habitat II Conference in 1996 (Istanbul) and the follow-up Special Session in 2001 (Istanbul +5). They are based on a rating, given by the stakeholder groups to themselves, which rates its own performance according to the proposed scale. The rating process is participatory, and thus the final rating must be a consensus.</p> <p>The stakeholders respond to simple questions such as: Have we followed the right processes for decision-making so far? Have we always enhanced participation? Have we involved the relevant stakeholders, and do they provide expertise, information, and resources as much as they can? Have we secured strong commitment for implementation from a wide range of stakeholders? Have we managed to build strong consensus on priorities to be addressed and on strategies to be implemented?</p> <p>The Participatory Decision-Making Indicators have evolved from earlier work and are currently being tested at the city level as well as circulated for review to urban management practitioners and experts. (It is substantially based on the draft document "Measuring Progress: Management Indicators for Environmental Planning and Management" (January 1999) which was initially developed as part of the SCP Source Book Series.)</p>	
<p><b>Further Information:</b></p> <p><i>For more on Participatory decision-making indicators, please contact: The Indicators for Decision-making Flexible Team, UNCHS (Habitat)</i></p> <p><i>Email: Jean-Christophe.Adrian@unchs.org or Christine.Auclair@unchs.org or download the file in PDF format - <a href="http://www.urbanobservatory.org/indicators/guidelines/process/">http://www.urbanobservatory.org/indicators/guidelines/process/</a></i></p>	



<b>Title</b>	<b>PARTICIPATORY URBAN GOVERNANCE; PRACTICAL APPROACHES, REGIONAL TRENDS AND UMP EXPERIENCES</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	2000
<b>Areas of Application</b>	Participation; Urban Governance
<b>Description</b>  This Paper provides a practical overview of the various dimensions of participatory urban governance and tools as used in UMP city consultations. The document puts forward a set of policy options that will assist mayors and leaders to engage urban stakeholders to find local solutions within a participatory governance framework. In this regard, a case for change owing to the challenges of urbanisation and globalisation is presented, which includes options on managing these changes. It then discusses the relevance and dimensions of participatory governance. UMP experiences in Latin, America, Africa and Asia are presented. The final section deals with pillars of Urban Governance and participatory tools, including indicators and institutionalisation of participation  Published as UMP Discussion Paper No. 25.	
<b>Further Information:</b>  <i>For Further information on this Paper No. 25, please contact Dinesh Mehta, Coordinator, Urban Management Programme, UNCHS, P.O Box 30030 Nairobi , Kenya, Tel 254 2 62341 • Fax 254 2 623536, e-Mail: ump@unchs.org</i>	



<b>Title</b>	<b>PREPARING THE SCP ENVIRONMENTAL PROFILE</b>
<b>Organization</b>	UNCHS / UNEP
<b>Year of Publication</b>	1999
<b>Areas of Application</b>	City Profiling; Urban Environmental Management
<p><b>Description</b></p> <p>This Source Book provides detailed guidance on how to prepare a city environmental profile, seen here as an integral part of a participatory urban decision-making process. It is aimed at the professionals, practitioners, and stakeholders who will be involved in preparing, writing, and updating the environmental profile. Although focused in this volume on the environment, the methodology could also be applied to the profiling of other aspects of urban development and urban management. The Environmental Profile Source Book is divided into three main parts. Part A gives an introduction and overview of an SCP environmental profile, focusing on its particular role and purpose within a participatory urban process. Part B gives a step-by-step explanation of how to prepare an environmental profile, with particular emphasis on the logical sequence of activities and on the basic analytical framework which is utilised. Part C contains annexes and reference materials useful in preparing an environmental profile, such as terms of reference for consultants or extracts from profiles prepared in other cities.</p> <p>The Environmental Profile tool is published as Volume A of the SCP Source Book Series, a group of detailed guidebooks together covering most aspects of the environmental planning and management process and based on a decade of real-world experience in city project implementation through the Sustainable Cities Programme.</p>	
<p><b>Further Information:</b></p> <p><i>For further information about the SCP Source Book on Preparing the SCP Environmental Profile (ISBN: 92-1-131409-7), please contact: The Information Officer, United Nations Centre for Human Settlements, Sustainable Cities Programme, Room P-330, P.O. Box 30030, Nairobi, Kenya, Tel: +254-2-623784 • Fax: +254-2-623715</i></p> <p><i>E-mail: SCP@unchs.org; Website: <a href="http://www.unchs.org/scp">http://www.unchs.org/scp</a></i></p>	



<b>Title</b>	<b>Stakeholder Identification and Mobilisation</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	2000
<b>Areas of Application</b>	Stakeholder Mobilisation; Participation; Environmental Planning and Management
<b>Description</b>	
<p>This tool begins with a careful explanation of the idea of “stakeholder” and of how it can be put into practical terms. Examples of specific operational methods of classifying and identifying stakeholders are given, together with appropriate frameworks. It then discusses the importance of briefing and familiarising stakeholders with the process and their role in it, following which it explains in detail how stakeholders can be organised into Working Groups and how these can be made to work in an effectively participatory way. Finally, it presents the experiences of SCP cities and closes with a reminder on the crucial gender dimension of stakeholder identification.</p> <p>This draft tool was prepared for the Local EPM Project in the Phillipines, under the Sustainable Cities Programme. Its purpose is to provide practical guidance on how to identify and mobilise stakeholders and bring them in as active partners in a participatory process. It was aimed at cities (initially, in the Phillipines) which would be initiating an SCP or similar participatory urban management process. The guidance given, however, would readily be applicable to cities outside the Phillipines, as it deals with a general process which is at the heart of any participatory process.</p>	
<b>Further Information:</b>	
<p><i>For further information on this draft tool, contact Chris Radford, Senior SCP Adviser, or Gulelat Kebede, SCP Adviser, UNCHS, P.O.Box 30030, Nairobi, Kenya, Tel: 254-2-623541 or 624194 • Fax: 254-2-623715 email: <a href="mailto:chris.radford@unchs.org">chris.radford@unchs.org</a> or <a href="mailto:gulelat.kebede@unchs.org">gulelat.kebede@unchs.org</a>.</i></p>	



<b>Title</b>	<b>URBAN INDICATORS TOOLKIT</b>
<b>Organization</b>	UNCHS
<b>Year of Publication</b>	available on the World Wide Web
<b>Areas of Application</b>	Monitoring
<b>Description</b>	
<p>The Urban Indicators Toolkit for Istanbul + 5 has been developed by UNCHS (Habitat) for reporting on progress in the implementation of the Habitat Agenda. The toolkit contains guidelines to help Governments and stakeholders in human settlements development to assess progress in implementing the Habitat Agenda. This is done through a set of 23 indicators and 9 check-lists, which provide measures for each of the 20 key commitments and recommendations extracted from the Habitat Agenda. A reporting format is also provided.</p> <p>The toolkit gives guidelines on the Habitat Agenda indicators system, the minimum data set for Istanbul +5, and indicators reporting format and timeline. The resulting global database will provide the statistical foundation for development of composite indices of urban poverty, urban human development, city investment potential, urban environment, urban governance and overall quality of urban life.</p>	
<b>Further Information:</b>	
<p><i>For more information, please contact: Dr. Jay Moor, Coordinator, Global Urban Observatory, UNCHS (Habitat), P.O. Box 30030 Nairobi, Kenya.</i></p> <p><i>Tel: (254 2) 623184, Fax: (254 2) 623080, 624266, 624267</i></p> <p><i>e-Mail: <a href="mailto:guo@unchs.org">guo@unchs.org</a> or download the toolkit at</i></p> <p><i>Website: <a href="http://www.urbanobservatory.org/indicators">http://www.urbanobservatory.org/indicators</a></i></p>	



### 4.3.2 THE WORLD BANK

<b>Title</b>	<b>BENEFICIARY ASSESSMENT</b>
<b>Organization</b>	World Bank
<b>Year of Publication</b>	
<b>Areas of Application</b>	Participation; Stakeholders; Monitoring
<b>Description</b>  Beneficiary Assessment (BA) is a consultative methodology that has been utilised by the World Bank in both project and economic and sector work. BA was developed as a distinctive methodology in the early 1980's during World Bank-supported studies of urban slums in Latin America, and is now widely used by the World Bank and its borrowers in a range of sectors and countries. Approximately 80 World Bank-supported activities have used BA methods in about 36 countries and across six sectors. The most common application has been in projects with a service delivery component for which it is especially important to gauge user demand and satisfaction. BAs have been conducted throughout the project cycle. At the <i>preparation stage</i> , BA can provide input into project design. During <i>implementation</i> , BA can provide feedback for monitoring purposes and for reorientation of the project. Finally, BAs can complement technical and financial evaluations of projects with the views of the beneficiaries themselves. Examples of World Bank applied Beneficiary Assessment: three BAs used for the mid-program evaluation of the Zambia Social Recovery Project to assess the success of the component funding micro-projects in education and health, and a Beneficiary Assessment in an Education Sector Project in Mali.	
<b>Further Information:</b>  <i>For more information on the use and application of this tool and case studies, download the BA source book: <a href="http://extweb1.worldbank.org/wbi/sourcebook/sba106.htm">http://extweb1.worldbank.org/wbi/sourcebook/sba106.htm</a> or alternatively refer to the "Participation and Social Assessment Guidebook on Tools and Techniques", prepared by Jennifer Rietbergen-McCracken &amp; Deepa Narayan: ISBN NO. 082-1341863.</i>	



<b>Title</b>	<b>GENDER ANALYSIS</b>
<b>Organization</b>	World Bank
<b>Year of Publication</b>	
<b>Areas of Application</b>	Gender; Stakeholders; Profiling
<p><b>Description</b></p> <p>Gender Analysis as a tool has been utilized by the World Bank in development interventions to (a) identify gender based differences in access to resources to predict how different members of households, groups, and societies will participate in and be affected by planned development interventions; (b) permit planners to achieve the goals of effectiveness, efficiency, equity, and empowerment through designing policy reform and supportive program strategies, and (c) develop training packages to sensitise development staff on gender issues and training strategies for beneficiaries.</p> <p>As an example, the World Bank successfully utilised Gender Analysis in analysing gender issues in the World Bank's country economic memorandum in Uganda. This poverty profile illustrated the relevance of gender in assessing poverty and the importance of incorporating gender concerns into the formulation and design of strategies for reducing poverty and promoting economic growth.</p>	
<p><b>Further Information:</b></p> <p><i>For more information on the use and application of this tool and case studies, download the Gender Analysis source book: <a href="http://extweb1.worldbank.org/wbi/sourcebook/sba109.htm">http://extweb1.worldbank.org/wbi/sourcebook/sba109.htm</a> or refer to the "Participation and Social Assessment Guidebook on Tools and Techniques", prepared by Jennifer Rietbergen-McCracken &amp; Deepa Narayan: ISBN NO. 082-1341863 (A copy of this guidebook is available at the World Bank Library).; Website: <a href="http://www.worldbank.org">http://www.worldbank.org</a></i></p>	



<b>Title</b>	<b>SOCIAL ASSESSMENT</b>
<b>Organization</b>	World Bank
<b>Year of Publication</b>	
<b>Areas of Application</b>	Profiling; Stakeholder Participation
<b>Description:</b>  <p>The World Bank developed social Assessment as a tool for project planners to understand how people will affect, and be affected by development interventions. It provides a framework for prioritising, gathering, analysing, and incorporating social information and participation into the design and delivery of development operations. It is carried out in order to identify key stakeholders and establish an appropriate framework for their participation in project selection, design, implementation, monitoring, and evaluation. Most teams that have undertaken Social Assessment in World Bank supported projects recommend that it begin early in the project cycle, and continue as an iterative process all the way through to monitoring.</p> <p>The tool has been used in: identifying key stakeholders/vulnerable groups and their priorities; unifying a broad range of stakeholders; action planning; providing a process for iterative planning; developing flexible solutions; building capacity for relevant social analysis and participation; developing procedures for public involvement; participatory process for planning and for building capacity for relevant social analysis and participation. Examples of World Bank applied Social Assessment case studies include: the Argentina Rural Poverty Alleviation Project, the Fez Medina Rehabilitation Project in Morocco, and the Baku Water Supply Project in Azerbaijan.</p>	
<b>Further Information:</b>  <p><i>For more information on the use and application of this tool, refer to the "Participation and Social Assessment Guidebook on Tools and Techniques", prepared by Jennifer Rietbergen-McCracken &amp; Deepa Narayan: ISBN NO. 082-;</i></p> <p><i>Website: <a href="http://www.worldbank.org">http://www.worldbank.org</a></i></p>	





### 4.3.3 THE UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)

<b>Title</b>	<b>GOOD URBAN GOVERNANCE REPORT CARDS</b>
<b>Organization</b>	UNDP
<b>Year of Publication</b>	2000
<b>Areas of Application</b>	Urban management
<p><b>Description:</b></p> <p>The Good Urban Governance Report Card is an evaluation tool introduced by The Urban Governance Initiative (TUGI) and designed to assess the level of good governance in cities. The report card is intended for use by local authorities (mayors, governors, city administrators), regional associations of cities or municipalities, training and research institutes, members of civil society, institutions of central government, the private sector, and international development agencies.</p> <p>The report card is aimed at encouraging and assisting urban local government institutions and their civil society and corporate sector partners in understanding and appreciating the need for good governance; it will support regular assessment of their performance to determine and address the strengths and weaknesses of the city's political and administrative support; and good methodologies and indicators for self-assessment.</p> <p>The report card employs nine core characteristics of good governance: participation; rule of law; transparency; responsiveness; consensus orientation; equity; effectiveness and efficiency; accountability; and strategic vision. The report card can be used to evaluate various key urban issues such as employment/job creation, solid waste collection and disposal, urban poverty, shelter and housing, water and sanitation, public transport and traffic, health services, and civil society participation.</p>	
<p><b>Further Information:</b></p> <p><i>For further information, please contact: Programme Manager, The Urban Governance Initiative (TUGI), United Nations Development Programme (UNDP), Wisma UN, Kompleks Pejabat Damansara, P.O. Box 50490 Kuala Lumpur, Malaysia</i></p> <p><i>Tel: (6-03) 255 9122 • Fax (6-03) 253 2361</i></p> <p><i>e-Mail: <a href="mailto:tugi@undp.org">tugi@undp.org</a> • Website: <a href="http://www.tugi.apdip.net">http://www.tugi.apdip.net</a></i></p>	



#### 4.3.4 INTERNATIONAL COUNCIL FOR LOCAL ENVIRONMENTAL INITIATIVES (ICLEI)

<b>Title</b>	<b>LOCAL AGENDA 21 PLANNING GUIDE</b>
<b>Organization</b>	International Council for Local Environmental Initiatives
<b>Year of Publication</b>	1996
<b>Areas of Application</b>	Local Environmental Planning; Monitoring
<b>Description</b>  The Local Agenda 21 Planning Guide, prepared by the International Council for Local Environmental Initiatives (ICLEI), presents the planning elements, methods, and tools being used by local governments to implement sustainable development planning in their communities. It is based on more than five years of experience in cities and towns that have begun the challenging process of integrating planning across economic, social, and environmental spheres. By drawing conclusions from work that is underway at the local level, the guide offers tested, practical advice on how local governments can implement the UN Agenda 21 action plan for sustainable development and for achieving the goals of the related UN Habitat Agenda. The guide outlines five planning elements (partnerships, community-based issue analysis, action planning, implementation and monitoring, and evaluation and feedback) and uses figures, worksheets, case studies, and appendices to help illustrate how different concepts and methods can be applied.	
<b>Further Information:</b>  <i>For more information on the Localizing Agenda 21 Planning Guide( IDRC/ICLEI/UNEP 1996, ISBN No. 0-88936-801-5), please contact: Local Agenda 21 team, ICLEI World Secretariat, City Hall, West Tower, 16th floor, Toronto, Ontario, Canada, M5H 2N2, Tel: +1-416/392-1462 • Fax:+1-416/392-1478 e-Mail: la21@iclei.org • Website: <a href="http://www.iclei.org">http://www.iclei.org</a></i>	



#### 4.3.5 GERMAN TECHNICAL COOPERATION (GTZ)

<b>Title</b>	<b>ZOPP - OBJECTIVE ORIENTED PROJECT PLANNING ("Ziel-Orientierte Projekt Planung")</b>
<b>Organization</b>	GTZ
<b>Year of Publication</b>	1998
<b>Areas of Application</b>	Project Planning; Stakeholder Participation; Monitoring
<p><b>Description</b></p> <p>ZOPP is a planning tool utilised by the GTZ to actively involve stakeholders. The core element of ZOPP is the Project Planning Matrix (PPM), which spells out detailed action plans to achieve the objectives and identifies indicators to measure progress in achieving objectives. According to a set of relevant criteria, such as input-constraints, probability of success, political priorities, cost-benefit-relation, social risks, prospects for sustainability, time horizon, ecological compatibility, synergetic effects with other projects, etc., the alternative that describes the best project strategy is determined. This project strategy is expressed as a logical hierarchy of objectives in the PPM. The expected development impact, or the benefit for the target groups, describes the purpose of the project.</p> <p>The characteristic feature of ZOPP is the way it actively involves the people affected by the project in the planning process. Basically, this is done by inviting all relevant parties to participate in the respective planning seminars and workshops. Typically, these people are brought together for various joint planning sessions that take from three days to one week. This kind of participation is neither an end in itself nor a mere formality: the aim is to let the people themselves clarify their roles as participating partners in development or beneficiaries and to accept responsibility for their role in the planned change. A development process organized in this way meets the demands for self-realisation, self-help and democratisation.</p> <p>ZOPP's emphasis on broad stakeholder participation has led to improved ownership and has provided the basis for a smoother implementation process. The broad participation of beneficiaries, particularly in social service projects, has improved accountability and transparency at the level of service delivery as beneficiaries have been more aware of expected project outputs. Task managers have found that the extra time that ZOPP requires during project preparation is offset by the implementation problems that it avoids. The ZOPP approach is also being used increasingly in mid-term evaluation, particularly with problem projects.</p>	
<p><b>Further Information:</b></p> <p><i>For more information, please download the ZOPP Planning Guide:</i>  <a href="http://www.gtz.de/pcm/download/english/zopp_e.pdf">http://www.gtz.de/pcm/download/english/zopp_e.pdf</a> • Website: <a href="http://www.gtz.de">http://www.gtz.de</a></p>	



#### 4.3.6 FEDERATION OF CANADIAN MUNICIPALITIES (FCM)

<b>Title</b>	<b>A GUIDE FOR IMPROVING MUNICIPAL PERFORMANCE:</b>
<b>Organization</b>	Federation of Canadian Municipalities
<b>Year of Publication</b>	Forthcoming
<b>Areas of Application</b>	Project Planning; Urban Management
<b>Description</b>  Universalia Management Group (UMG) and the Federation for Canadian Municipalities (FCM) are collaborating in the design and delivery of a diagnostic guide for assessing the performance of municipalities internationally. The main objective of this tool will be to develop better project selection, planning, and implementation, leading the FCM towards improved market leadership in the international field. This guide will consist of a series of tools and manuals that include a Self-Assessment Tool for Municipalities, an FCM Consultant Manual with strategies for helping overseas municipalities implement their self-assessment, a List of Municipal Performance Indicators, and a Planning, Monitoring and Reporting Manual.	
<b>Further Information:</b>  <i>For further information and comments; please e-Mail: <a href="mailto:univers@umg.ca">univers@umg.ca</a> or <a href="mailto:international@fcm.ca">international@fcm.ca</a> • Website: <a href="http://www.fcm.ca">www.fcm.ca</a></i>	



<b>Title</b>	<b>REPORT ON 36 WAYS TO ENCOURAGE CIVIC PARTICIPATION</b>
<b>Organization</b>	Federation of Canadian Municipalities & the Toronto Health Office
<b>Year of Publication</b>	1997
<b>Areas of Application</b>	Urban Management; Participation
<p><b>Description:</b></p> <p>This report describes some 36 ways to engage stakeholders in public participation. The report is intended as a reference for governments, organisations, and agencies wishing to include the public in formulating policies, services, etc. It first examines the barriers to participation, including physical and perceived barriers, and stresses the need for a diversity of methods for reducing the barriers in order to involve a broad based spectrum of stakeholders.</p> <p>The report then groups the 36 methods of participation by size of the participating group, giving five charts ranging from community-wide methods to small group and individual techniques. The Charts can be used as a quick reference guide for information about cost, time, resources, people, the type of outcome generated and situations where specific methods are effective.</p>	
<p><b>Further Information:</b></p> <p><i>Further information on this tool can be obtained from Fran Perkins, Director, Healthy City Toronto, Toronto Healthy City Office, Toronto City Hall, 100 Queen St.W., Toronto Ontario, Canada, M5H2N2, Tel: +416 -392-0099, Fax: +416-392-0089</i></p> <p><i>e-Mail: <a href="mailto:hco@city.toronto.on.ca">hco@city.toronto.on.ca</a> • Website: <a href="http://www.city.toronto.on.ca/healthycity">www.city.toronto.on.ca/healthycity</a></i></p> <p><i>For information on FCM; Website: <a href="http://www.fcm.ca">www.fcm.ca</a></i></p>	



#### 4.3.7 INSTITUTE FOR SECURITY STUDIES

<b>Title</b>	<b>ENVIRONMENTAL DESIGN FOR SAFER COMMUNITIES</b>
<b>Organization</b>	Institute for Security Studies
<b>Year of Publication</b>	1998
<b>Areas of Application</b>	Profiling; Security
<b>Description</b> <p>This monograph begins by defining crime prevention and the potential role of environmental design within this framework. This is followed by an analysis of crime patterns and trends based on victimisation surveys carried out by the Institute for Security Studies among representative samples of the population across the metropolitan areas of Johannesburg, Durban and CapeTown in 1997 and early 1998. These findings have been supplemented with police statistics, as well as in-depth interviews with police and local government officials in the cities concerned.</p> <p>An examination of varying crime levels and victimisation patterns in townships and informal settlements, suburbs, and the inner city/city centre, suggests that in particular areas, specific environmental factors increase the risk of victimisation (and the fear of crime). By focusing on these factors, priorities for environmental design interventions can be determined.</p>	
<b>Further Information:</b>  <i>For more information on this and other monographs and publication, please contact; The Institute for Security Studies, P.O Box 1787, Brooklyn Square, Pretoria 0075, SA, Fax: 27 12 460 1998, email iss@iss.co.za • Website: www.iss.co.za</i>	



#### 4.3.8 INTERNATIONAL CENTRE FOR THE PREVENTION OF CRIME

<b>Title</b>	<b>CRIME PREVENTION DIGEST II : COMPARATIVE ANALYSIS OF SUCCESSFUL COMMUNITY SAFETY</b>
<b>Organization</b>	International Centre for the Prevention of Crime
<b>Year of Publication</b>	1999
<b>Areas of Application</b>	Security; Profiling
<b>Description</b>	
<p>The Crime Prevention Digest II shows that prevention works and is more effective than traditional crime control methods. Through a comparative analysis of studies conducted in various countries on the root causes of crime and of evaluations of interventions which targeted these causes, as well as an examination of the key elements of a rigorous process and of strategies best capable of sustaining successful preventive intervention, the Digest reveals that prevention is both cost-effective and socially responsible to reduce the dire consequences of crime and victimization.</p> <p>This digest is aimed at urban decision-makers, i.e. government departments such as treasury, finance, justice, interior, health, labour, education, women's affairs, youth, housing, transportation etc, who are or could be involved in the allocation of funds and the development of policies and programs to prevent crime. It is also intended for Police, legal, and judicial services, municipal governments, community agencies responsible for education, social affairs, sports, culture etc., private enterprises particularly insurance, security, banking, construction etc;</p>	
<b>Further Information:</b>	
<p><i>Please contact International Centre for the Prevention of Crime, 507, Place d'Armes, Suite 2100, Montreal (Quebec) Canada H2Y 2W8, Tel: 1 514 288 - 6731 • Fax: 1 514 288 -8763, e-Mail: <a href="mailto:cipc@crime-prevention-intl.org">cipc@crime-prevention-intl.org</a> • Website <a href="http://www.crime-prevention-intl.org">www.crime-prevention-intl.org</a></i></p>	



<b>Title</b>	<b>100 CRIME PREVENTION PROGRAMS TO INSPIRE ACTION ACROSS THE WORLD</b>
<b>Organization</b>	International Centre for the Prevention of Crime
<b>Year of Publication</b>	1999
<b>Areas of Application</b>	Security; Partnerships
<b>Description:</b>  This book will act as a source of inspiration for all those concerned with reducing delinquency, violence, and insecurity. It was conceived to promote action across a broad spectrum of sectors and occupations: health, recreation, and social services planners, schools, housing, and urban planners, public transport, police and the judiciary, the business community, as well as the media. It includes concise, easy to understand descriptions of 100 prevention programmes from around the world. It shows how to create successful prevention partnerships with key actors and helps understand how, why and by whom delinquency, violence and insecurity can be tackled efficiently and in a sustainable manner.	
<b>Further Information:</b>  <i>Please contact International Centre for the Prevention of Crime, 507, Place d'Armes, Suite 2100, Montreal (Quebec) Canada H2Y 2W8 Tel: 1 514 288 - 6731 • Fax: 1 514 288 -8763, Email: <a href="mailto:cipc@crime-prevention-intl.org">cipc@crime-prevention-intl.org</a> • Website <a href="http://www.crime-prevention-intl.org">www.crime-prevention-intl.org</a></i>	





#### 4.3.9 NATIONAL COMMITTEE FOR INTERNATIONAL COOPERATION AND SUSTAINABLE DEVELOPMENT (NCDO)

<b>Title</b>	<b>LOCAL SUSTAINABILITY MIRROR</b>
<b>Organization</b>	NCDO
<b>Year of Publication</b>	1999 - ongoing activity
<b>Areas of Application</b>	Governance, Municipal Management and Performance Monitoring
<p><b>Description</b></p> <p>This tool has been developed for local groups in the Netherlands to give them an insight into the sustainability of their municipal council in dealing with various development issues which, for example, include energy, international cooperation, general policy, green &amp; space, water, social themes, transport &amp; mobility, sustainability building and living, etc. The Local Sustainability Mirror can be used to assess the performance of a municipal council with respect to these issues, in comparison with other councils. It therefore, can provide useful information for local groups to influence local government policy.</p> <p>The methodology used is data collection by groups using short questionnaires whose answers can be obtained fairly easily from the municipal councils. Every positive answer score points with maximum limits set for each development issue or topic. Completed questionnaires are sent to the NCDO, which then adds the information to a national score sheet for examined municipal councils.</p> <p>Local groups applying this tool are those whose activities include scrutinising and influencing the policies of their local councils for example, aid organisations, nature and environmental organisations, women's groups, youth groups, pensioners' groups, immigrant groups, pressure groups, political groups and village and neighbourhood councils. Even though this tool is developed and applied in the Netherlands, it could be adopted elsewhere.</p>	
<p><b>Further Information:</b></p> <p><i>For more information on the use and application of this please visit the website: <a href="http://www.ncdo.nl/la21">www.ncdo.nl/la21</a></i></p>	



#### 4.3.10 INTERNATIONAL CO-OPERATION AGENCY OF THE ASSOCIATION OF NETHERLANDS MUNICIPALITIES (VNG)

<b>Title</b>	<b>CITIZENS PARTICIPATION IN LOCAL GOVERNANCE TOOLKIT</b>
<b>Organisations</b>	VNG
<b>Year of Publication</b>	1999 - 2002
<b>Areas of Application</b>	Civic Engagement and Participation
<b>Description</b> <p>This toolkit currently (2001) still under development aims to provide policy instruments for increasing citizens's participation at the local level, and as a consequence, to strengthen the process of democratic decision-making. It will provide descriptions to a range of policy instruments which will include the target group, function of the instrument, the phase of the policy cycle to which the instrument applies, the actors involved, the institutional context and preconditions for its use, as well as potential limitations of the instrument. These instruments will be useful for local authorities in promoting citizens participation in local governance and, as well, be available to citizens and their organisations to enforce participation.</p> <p>It will be the result of a joint effort of International Co-operation Agency of the Association of Netherlands Municipalities (VNG), the development organisation NOVIB, The Habitat Platform and the development organisation SNV. It is meant to be used by practitioners active at the local level in different parts of the world.</p>	
<b>Further Information:</b> <p><i>For more information on the progress in preparation, use and application of this tool, please contact Barbara Perquin, Project Manager, VNG International, Tel: + 31 - 70 -373 87 99, Fax: +31- 70- 373 86 60. Email: Barbara.Perquin@vng.nl, website; www.vng-international.nl</i></p>	



#### 4.3.11 TOOLS DEVELOPED/USED BY DIFFERENT PARTNERS

<b>Title</b>	<b>PARTICIPATORY RAPID APPRAISAL</b>
<b>Organisations</b>	World Bank, Action Aid, AgaKhan Foundation, Ford Foundation, GTZ, SIDA, UNICEF, UNDP and UNCHS
<b>Year of Publication</b>	
<b>Areas of Application</b>	Profiling; Participation; Monitoring
<p><b>Description</b></p> <p>Participatory Rapid Appraisal (PRA) is a qualitative survey methodology tool utilised by many organisations including World Bank, Action Aid, Aga Khan Foundation, Ford Foundation, GTZ, SIDA, UNICEF, UNDP and UNCHS (Habitat), to formulate solutions to identified problems. It has been developed for collaborating with local people in analysis and planning and has contributed to the development of action plans and participation strategies. It evolved from a series of qualitative multidisciplinary approaches to learning about local-level conditions and local peoples' perspectives, including Rapid Rural Appraisal and Agrosystem Analysis. PRA provides a "basket of techniques" from which those most appropriate for the project context can be selected. The techniques include interviews and discussions, mapping, ranking, and trend analysis.</p> <p>The World Bank has used PRA during preparation, identification, monitoring, and evaluation. The main component tools used by the World Bank in PRA include semistructured interviewing, focus group discussions, preference ranking, mapping and modeling, and seasonal and historical diagramming. Examples of applied PRA cases include: identification of a rural development project in Mauritania; preparation of an emergency rehabilitation project in Maharashtra, India; evaluation of the Economic and Social Adjustment Credit in Zambia; and a PRA-based ESW in Gambia on girls' education.</p>	
<p><b>Further Information:</b></p> <p><i>For more information on the use and application of this tool and case studies, please download the PRA source book: <a href="http://extweb1.worldbank.org/wbi/sourcebook/sba104.htm">http://extweb1.worldbank.org/wbi/sourcebook/sba104.htm</a> or alternatively refer to the "Participation and Social Assessment Guidebook on Tools and Techniques", prepared by Jennifer Rietbergen-McCracken &amp; Deepa Narayan: ISBN NO. 082-1341863 (A copy of this guidebook is available at the World Bank Library).; Website: <a href="http://www.worldbank.org">http://www.worldbank.org</a></i></p>	



<b>Title</b>	<b>SELF ESTEEM, ASSOCIATIVE STRENGTH, RESOURCEFULNESS, ACTION PLANNING AND RESPONSIBILITY - SARAR</b>
<b>Organisations</b>	UNDP and UNICEF, World Bank, NGOs
<b>Year of Publication</b>	
<b>Areas of Application</b>	Participation
<p><b>Description</b></p> <p>SARAR is a participatory approach tool applied extensively in the development activities of various United Nations agencies, including UNDP and UNICEF, World Bank as well as of many NGOs worldwide. SARAR has been used to train on local knowledge and strengthens local ability to assess, prioritize, plan, create, organize, and evaluate development initiatives. SARAR's purpose is to (a) provide a multisectoral, multilevel approach to team building through training, (b) encourage participants to learn from local experience rather than from external experts, and (c) empower people at the community and agency levels to initiate action. It is based on Self-esteem, Associative strength, Resourcefulness, Action planning and Responsibility. In the World Bank, SARAR methods have been the principal community participation mechanism used in the PROWESS program (Promotion of the Role of Women in Water and Environmental Sanitation Services), which is managed jointly by the World Bank and UNDP.</p> <p>SARAR applications in the World Bank include: a rural water supply and sanitation project in Nepal, where the techniques have been used to assist communities in planning and organizing their involvement in the project, and to enable them to monitor the project's impact at the local level; and a participatory poverty assessment in Tanzania, where poor communities were actively involved in assessing the country's poverty. SARAR is also being applied increasingly in other World Bank-financed projects and economic and sector work.</p>	
<p><b>Further Information:</b></p> <p><i>For more information on the use and application of this tool, download the SARAR source book: <a href="http://extweb1.worldbank.org/wbi/sourcebook/sba105.htm">http://extweb1.worldbank.org/wbi/sourcebook/sba105.htm</a> or alternatively refer to the "<b>Participation and Social Assessment Guidebook on Tools and Techniques</b>", prepared by Jennifer Rietbergen-McCracken &amp; Deepa Narayan: ISBN NO. 082-1341863 (A copy of this guidebook is available at the World Bank Library); Website: <a href="http://www.worldbank.org">http://www.worldbank.org</a></i></p>	