

INCLUSIVE AND SUSTAINABLE  
URBAN PLANNING:

# A GUIDE FOR MUNICIPALITIES

2

VOLUME  
Two

Volume 2:  
Urban Situation Analysis

UN  HABITAT

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URBAN PLANNING:**

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**Volume 2:  
Urban Situation Analysis**



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## Foreword

The world has seen a significant rise in the number of conflicts and an intensification of their impacts, over the last few decades. UN-HABITAT has responded swiftly and effectively to these situations, whether in the Balkans, Iraq, Afghanistan, Somalia or Sudan. One of the key areas of UN-HABITAT intervention and assistance has been institutional development and capacity-building in post-conflict situations, where conflict is often characterized by a breakdown of governance institutions and anarchy in human settlements reconstruction and redevelopment. UN-HABITAT has played a key role in the Balkans, especially in Kosovo, in restoring urban governance practices and introducing new local development planning process.

UN-HABITAT has been engaged with the central and local governments in the Western Balkans through several interventions, most of them focusing on strengthening processes of participatory governance. The Urban Planning and Management Programme (UPMF) in Kosovo was a path-breaking intervention where UN-HABITAT worked closely with both central and local institutions to support the development of new policy and legislation relating to urban and spatial planning; to enhance local capacity for good governance and inclusive planning; and to strengthen local institutions with support from experts and professionals from across the world. UPMF is still being applied at the time of publication to train municipal and urban planners in inclusive, strategic and action-oriented planning practices.

Globally planning is in a state of flux and is reinventing itself to incorporate many of the characteristics mentioned above. Traditionally, urban planning has been seen as a means to control and regulate the development of towns and cities. In the cities of the developing world as well as in the post-conflict and post-disaster context, however, these traditional planning approaches have failed to address the challenges of rapid urbanization and the poverty, exclusion, informality and vulnerability which it brings in its wake. At the third session of the World Urban Forum held in Vancouver 2006, discussions on a renewed role for planning in ensuring sustainable urbanization generated enormous interest. Several events brought to the fore several innovative cases and examples of how things are changing. UPMF is another example. It was also highlighted, however, that there is still a lot to be done, in order to change the practice of planning across the world, especially in post-disaster and post-conflict contexts.

This publication synthesizes UN-HABITAT's experience Kosovo in the area of strategic, inclusive planning. I hope that it will be a useful resource to planning practitioners grappling with planning issues and problems in other post-disaster and post-conflict situations, and will guide them towards introducing new approaches and developing new skills to address these problems.



**Anna Tibaijuka**

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## Preface

This series of publications on “**Inclusive and Sustainable Urban Planning: A Guide for Municipalities**” has been developed by the UN-HABITAT’s Urban Planning and Management Programme (UPMP) in Kosovo (2002-03), which was funded by the Government of the Netherlands. Executed under the aegis of the Disaster, Post-Conflict and Safety Section of UN-HABITAT, UPMP trained about 100 urban planners from all municipalities of Kosovo in strategic planning approaches and methods. This series is based on the four-phase Urban Planning and Management Framework (UPMF), described in detail in the first volume, and the training materials (eleven manuals and numerous tools) that were developed as part of the UPMF.

The series reflects the inclusive and strategic approach to planning, putting primary of emphasis on the dynamic character of the planning process , engagement of stakeholders and the importance of the development of action plans and securing financial outlays for the implementation of selected priority projects.

The process of planning is not linear but cyclic and some of the activities can be conducted in parallel, but for the purpose of clarity we decided to divide it to phases and steps to help those who will try to do it on their own using the Urban Planning and Management Framework as their model.

This approach to planning has been the basis of the Law on Spatial Planning passed in Kosovo in 2003 including the accompanying by-laws. Kosovo experience inspired the paper on Re-inventing Planning, which was broadly discussed during the World Urban Forum III and the World Planners Congress in Vancouver in June 2006. In its current use, the UPMF has been enriched by incorporation of spatial aspects necessary for the strategic spatial planning such as spatial diagnosis, envisioning exercise for future spatial development or the assessment of spatial impact of sector policies. Space being a limited resource needs to be taken into account while planning for sustainable development. This enriched approach also contributes to the harmonisation of the planning systems in the South Eastern Europe while being in line with the current spatial planning practices exercised in the EU countries.

The UPMF series has been shared with UN-HABITAT teams in Somalia, Afghanistan , Bosnia and Herzegovina, and with partners in Kosovo, in its electronic version, and the current printed version incorporates the latest editorial changes.

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## Vol. 2: Urban Situation Analysis

### Acronyms

CPT	City Profiling Team
CUD	Consolidated Urban Diagnosis
EU	European Union
GCUG	Global Campaign on Urban Governance
ICA	Investment Capacity Assessment
ICT	Investment Capacity Team
M&E	Monitoring and Evaluation
MPT	Municipal Planning Team
NAP	Neighbourhood Action Planning
NGO	Non Governmental Organisation
PT	Profiling Tool
PUD	Participatory Urban Decision Making (PUDM)
SA	Stakeholder Analysis
SUDP	Strategic Urban Development Plan
SWOT	Strengths, Weaknesses, Opportunities, Threats
UIT	Urban Indicators Toolkit
UN	United Nations
UNCHS	Former Acronym for UN-HABITAT (United Nations Centre for Human Settlements)
UNHSP	United Nations Human Settlement Programme, UN-HABITAT
UPMF	Urban Planning and Management Framework
UPMP	Urban Planning and Management Programme
USA	Urban Situation Appraisal
USP	Urban Situation Profile
USPP	Urban Strategic Planning Process
WG	Issue-Specific Stakeholder Working Groups

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## 1.0 Introduction

The United Nations Human Settlements Programme, or UN-HABITAT, is the UN agency responsible for human settlements. Drawing its mandate from the Habitat Agenda, the agency focuses on two key objectives: sustainable development of human settlements and adequate shelter for all. To achieve these, UN-HABITAT has launched two Global Campaigns on Urban Governance and Secure Tenure. These Campaigns provide the framework for all other UN-HABITAT programmes, interventions and initiatives across the globe.

One of the key areas of UN-HABITAT intervention and assistance in the past few years has been institutional development and capacity building in post-conflict situations. In many parts of the world – the Balkans, Iraq, and Afghanistan, to name a few – violent conflicts have been followed by a complete breakdown of governance institutions and utter anarchy in human settlements reconstruction and redevelopment. In the Balkans, specifically, after the break-up of former Yugoslavia, a range of development problems has arisen from a combination of three factors:

1. an inflexible socialist economic regime under former Yugoslavia and its subsequent collapse;
2. the economic and social exploitation and marginalisation of territories and violent ethnic conflict; *and*
3. virtual anarchy in the absence of functional governance structures immediately after the conflict ended.

Paradoxically, these same factors have provided an opportunity to rewrite the future of the Western Balkan states, including Croatia, Serbia, Montenegro, the Former Yugoslav Republic of Macedonia, and the UN-administered territory of Kosovo. These are significant potential opportunities to revitalise the economy, steer it away from central planning and towards a market system, and to introduce new socio-political paradigms.

However, the transition from a centrally planned system to an open market economy is slow. The public sector is only beginning to recognise that, in the new socio-political structure, its role must change from controlling to guiding. Stakeholder participation in development planning and decision-making is still weak. This is partly because the tools and mechanisms for civic engagement have only recently been introduced, and they need consolidation. However, the more crucial factor is an absence of a “culture of participation,” at all levels and across all segments of society.

The problems of chaotic development also persist. A legal and policy framework in transition, coupled with fragmented development strategies and plans, has led to (1) unmanageable influx of population into the cities, (2) thousands of illegal constructions, (3) urban overcrowding, (4) poor quality of life and (5) a volatile investment climate. Most governments are looking to address some of these issues through new laws and regulations on planning along the lines set by EU planning frameworks and guidelines.

Governments in the Balkan region explicitly recognise that economic development requires dedicated plans to direct capital expenditure (both public and private) towards various sectoral and spatial priorities. Economic development at the local level also relies on clear municipal strategic plans that include public investment priorities. The process of decentralisation

in these countries – the very existence of local governments, and the fact that they are democratically elected, functional and increasingly taking on a wider range of responsibilities – is an important sign of progress in the aftermath of the Balkan conflicts. Nevertheless, most local authorities need substantial strengthening if they are to perform their new functions effectively.

UN-HABITAT has been engaged with the central and local governments in the Western Balkans through several interventions, most of them focusing on strengthening participatory governance. UN-HABITAT is working with both central and local level institutions:

- to build new legislative and policy frameworks;
- to enhance capacity for good governance and inclusive planning in cities; and
- to build and strengthen institutions with support from experts and professionals from across the world.

The common development objective of all these interventions is to improve living conditions and promote development investment in urban areas across the region through modern inclusive planning practices and strategies.

The Urban Planning and Management Framework, or UPMF, developed to suit the specific context and problems in the Balkan region is being applied to train municipal and urban planners in inclusive, strategic and action-oriented planning practices. According to the UPMF, urban strategic planning involves:

- engaging stakeholders in urban planning and the co-financing of urban infrastructure and services;
- enhancing the sense of ownership and responsibility amongst all stakeholders for improved maintenance and operation of urban infrastructure and services;
- improving the technical quality of urban project proposals and management;
- improving urban management practices; and
- making urban planning transparent and accountable.

The Framework advocates a four-phase approach to developing strategic urban development plans and is inclusive and participatory in nature, as depicted in Figure 1. The four phases of urban strategic planning include:

1. Urban Situation Analysis;
2. Sustainable Urban Development Planning;
3. Sustainable Action Planning; and
4. Implementation and Management of Projects.

There is an explicit acknowledgement by the governments in this region that economic development requires development plans to guide investments (both public and private) in line with sectoral and spatial priorities. Economic development at the local level also relies on clear municipal strategic development plans, which include public investment priorities. The process of decentralisation in these countries - the very existence of local governments, and the fact that they are democratically elected, functional and increasingly taking on a wider range of responsibilities - is an important sign of progress in the aftermath of the Balkan conflicts. Most local governments, however, need to be considerably strengthened so that they can perform their new functions effectively.

**Figure 1: Phases and Stages of Urban Strategic Planning Process**



The framework envisages that the development planning process would be conducted under the guidance of a multi-sectoral Municipal Planning Team, established with participation of various departments of a municipality. This is extremely important, because urban planning is no longer seen as a uni-dimensional, static, technocratic activity, but rather a process of bringing together various perspectives and sectoral priorities to develop the common future of a city. Box 1 describes the role and responsibilities of the Municipal Planning Team in the urban strategic planning process.

### **Box 1: Role of the Municipal Planning Team (MPT)**

A Municipal Planning Team (MPT) comprises representatives of all departments in a municipality. It is a multi-sectoral group and may include at least one (possibly more) urban planner, architect, geographer, civil engineer, economist, legal expert, finance and accounting expert, a Municipal Gender Officer, and any other professionals from within the municipality. It may also include any international experts or project staff seconded to the municipality for specific tasks/projects.

The primary objective of the MPT is to oversee and guide the municipal development process, which includes preparation of the urban situation analysis and strategic urban development plan for the municipality. MPT members will be responsible for:

- 1. Providing inputs to the stakeholder analysis** for their respective fields and then **reviewing the final stakeholder analysis report** prepared by urban planners.
- 2. Providing data and information** and other inputs which the **City Profile Team** needs for the urban profile, appraisal and investment capacity assessment
- 3. Providing inputs to and reviewing reports** on the urban profile, appraisal, investment capacity assessment and consolidated urban diagnosis prepared by municipal planners and the city profile team.
- 4. Preparing a draft vision, goal and objectives for the strategic urban development plan** based on the consolidated urban diagnosis.
- 5. Active participation in working groups for the development of action plans** for selected strategic priorities.
- 6. Reviewing the draft action plans prepared by working groups and the final strategic urban plan** before it is presented to the Committee on Urbanism or Policy and Finance Committee.
- 7. Providing any other guidance, inputs and support to municipal urban planners** as may be required for the process of preparing the strategic urban development plan.

This series of publications, *“Inclusive and Sustainable Urban Development Planning: A guide for Municipalities”* is a consolidation of the materials initially developed as UN-HABITAT’s response to the specific requirements of the Balkan context. The series has been suitably modified to be able to serve as a generic guideline for the training of urban planners in the area of urban strategic planning. The series consists of five volumes organised according to the training phases of the urban strategic planning process. The fifth Volume of the series, which focuses on “Implementation and Management of Projects”, is distinct in that it is being developed in collaboration with a partner. The contents will be based on the current training activities being undertaken. The volume will be published at a later stage.

The present volume describes the basic concepts of strategic planning, the linkages with good governance and UN-HABITAT’s Global Campaign on Good Urban Governance, its specific significance in the context of strategic planning, and the over-arching principles of participation and gender orientation. In addition, it outlines the monitoring and evaluation approach that is expected to run throughout the whole planning process. Each subsequent volume describes one phase in detail, and attempts clearly to establish the forward and backward linkages in the process. Although the four volumes are organised along the phases of the urban strategic planning process and thus form part of a series, they can also be used individually to learn more about a particular phase or step in the urban strategic planning process.



## **2.0 Concepts**

The Urban Planning and Management Framework applies a number of universally accepted concepts such as strategic planning, good urban governance, public participation and gender equality. The applicability of these concepts to the Urban Situation Analysis Phase is described in this section.

### **2.1 Urban Strategic Planning**

The Urban Strategic Planning process helps the local community not only in defining its visions and aspirations but also in making informed choices and prioritising their concerns, after considering what is feasible in terms of human resources, technology and financial resources. The urban strategic planning process begins with the urban situation analysis, which is explained in this volume. The strategic character of this analysis is reflected in the fact that the information collected is not comprehensive (nor is it intended to be) but is focussed on key aspects of city life, collected and analysed for a meaningful direction and setting of priorities. The strategic approach also applies to the analysis of stakeholders and identification of those who may play a key role in setting priorities and assisting in implementation of the action plans.

Before any institution, community or city reaches the point of formulating its vision, mission, goals and objectives, it must be fully aware of the assets it has at its disposal and the key issues it must address in the immediate, medium-term or long-term future. The conclusions derived from the analysis of the collected data and information serve as a starting point for further discussions with citizens and other stakeholders.

### **2.2 Good Urban Governance**

UN-HABITAT launched the Global Campaign on Urban Governance in 1999 to support the implementation of the Habitat Agenda goal of ensuring sustainable human settlements development in an increasingly urbanising world. While cities are perceived as engines of enormous potential for economic and social development, creating jobs and offering new opportunities, they can also generate and intensify social exclusion and poverty. This manifests in denial of the benefits of urban life to the vulnerable and marginalised groups, women, children, youth, and religious and ethnic minorities.

The goal of the Global Campaign is to contribute to the eradication of poverty through improved urban governance. Its theme is the *“Inclusive City,”* a place where everyone, regardless of wealth, gender, race or religion, can participate in the [social, economic and political] opportunities that cities have to offer (UN-HABITAT, 2000). Participatory planning and decision-making are the means for realising this goal.

Urban strategic planning as a process as well as its phases is instrumental in helping local governments apply the principles and norms of good urban governance in their daily work. The good urban governance norms, which apply to the urban situation analysis phase, include subsidiarity, equity, efficiency, civic engagement, transparency and accountability.

## **Subsidiarity**

The principle of subsidiarity means that the responsibility for the provision and management of any service must be vested in the lowest levels of authority that is best positioned to deliver these services in an efficient and cost-effective manner. This implies that as the level of governance closest to the people, municipalities should be empowered as much as possible to develop and implement strategic and spatial plans.

Conducting the urban situation analysis in a participatory manner, at the municipal government level and with the engagement of stakeholders who are undoubtedly best placed to identify their own priorities, reflects the principle of subsidiarity in the urban situation analysis.

## **Equity**

Equity entails establishment of equitable principles for allocation of land, development of infrastructure, pricing for services and participation in setting priorities. The stakeholder analysis, which is the first stage of urban situation analysis, identifies, among others, those groups of stakeholders whose lives are influenced by key development decisions. . This is also the first stage when local governments engage with citizens and encourage their participation. Through collecting disaggregated data both for the urban situation profile as well as investment capacity assessment, decision-makers acquire a better understanding of the actual needs of different stakeholders. The application of UN-HABITAT's Urban Indicators Toolkit gives local governments an opportunity to collect data disaggregated by gender, age, economic status, ethnicity or any other relevant criterion, to ensure fair and equal treatment of various social groups. This ensures equity in setting priorities and making development decisions.

## **Efficiency**

Efficiency implies that cities must be financially sound and cost-effective in their management of revenues and expenditures, the administration and delivery of services, and that all development decisions must ensure the most efficient use of resources. The promotion of inter-sectoral planning both at the local and central level is another aspect of efficiency. The urban situation analysis focuses on the collection and analysis of information that helps in establishing gaps in service delivery and identifying critical areas where citizens' needs and priorities remain unsatisfied. The whole process is aimed at improving efficiency in the delivery of services and in responding to the needs of citizens in such a way, which maximises the contributions of all sectors of society.

## **Transparency and Accountability**

Transparency in decision-making and accountability of local authorities to their citizens, are fundamental principles of good governance. Transparency and accountability are essential to build stakeholders' understanding of local government. Access to information is the key to ensuring transparency and accountability.

The active involvement of stakeholders in collecting data and information, analysing it and setting priorities, in the urban situation analysis, gives citizens access to information and helps in achieving transparency and accountability of local government.

## **Civic Engagement and Citizenship**

Civic Engagement and citizenship is a key aspect of good urban governance. People are the principal wealth of cities; they are both the object and the means of sustainable human development. Civic engagement implies that living together is not a passive exercise: in cities, people must actively contribute to the common good. Citizens, both women and men, must be empowered to participate effectively in decision-making processes.

The urban situation analysis lays the foundation for more extensive participation of stakeholders by involving them in data collection for profiling, urban situation appraisal through the SWOT analysis, and preliminary consultations in the process of investment capacity assessment. The establishment of multi-stakeholder teams such as the City Profiling Team and Investment Capacity Team in this phase initiates stakeholder involvement, gives citizens access to municipal data, and builds ownership of the process.

### **2.3 Public Participation**

Public participation in the urban decision-making process is increasingly being seen as the key strategy of governments and civil societies to solve urban problems effectively and to ensure sustainability of solutions. The participation of citizens and other stakeholders is the cornerstone of the strategic planning process. Participation is an important element in urban decision making that will facilitate equal involvement of men and women. The involvement of citizens in identifying their needs, selecting priorities and developing alternative courses of action, offers better chances for achieving solutions which are sustainable, feasible and which the citizens are willing to implement.

Public participation is demonstrated in different forms ranging from the lowest level of participation i.e. receiving information, to the one in which stakeholders become partners in the development initiatives and begin to assume full responsibility for their management. At the stage urban situation analysis public participation is primarily focused on information sharing, though it does invite stakeholders' views as well, to a limited extent. On the one hand citizens are informed about the decision of the local government to embark on the strategic planning process, the perspective of the municipal administration and the manner in which public funds are utilised. On the other hand, citizens and other stakeholders get a chance of voicing their concerns and get an opportunity to share the information they possess on key urban issues.

Collecting information for the urban situation profile and subsequently conducting its verification and analysis during the urban situation appraisal envisages active participation of stakeholders through the City Profiling Team. The main purpose of such participation is to elicit information that the local government may not have or may not be able to collect. Disaggregation of data by gender, age, ethnicity and economic status helps in identifying special needs and priorities of different stakeholder groups and sets the stage for their participation in the consultative process that follows urban situation analysis.

The use of participatory techniques is especially important in the process of investment capacity assessment. The reason is that this concerns, among other things, the collection of financial information from public institutions, private sector, local communities, NGOs and other institutions and entities. Eliciting this kind of information is a sensitive issue and requires

a high level of trust that the information will not be misused or publicised against the will of the data provider. Active participation of key stakeholders in the data collection process, a clear explanation of the purpose of this information as well as an assurance of confidentiality can prove to be critical for building mutual trust among the various stakeholders. The investment capacity assessment also provides various stakeholders with opportunities to identify their interests and capacities in participating in the development process of their city.

Although the urban situation analysis is not the phase where decisions are made, public participation at this stage is crucial, as it paves the way for involvement of stakeholders in the urban consultation process as well as in the development and implementation of action plans.

## **2.4 Gender**

Gender issues impact all aspects of urban planning and are therefore included in all the concepts and processes described in this publication. Gender refers to the economic, social and cultural attributes and opportunities associated with being female or male. Gender is more than just the biological sex of a person. It is about how a person is perceived and expected to act in a society based on their sex. This impacts on the roles, responsibilities, access and opportunities they have. As such, gender as a concept is rooted in the social dynamics between people in any given society. When preparing an urban plan, understanding these dynamics will improve the overall effectiveness of the planning process and the ultimate impact of the projects that take place as a result.

One of the most useful ways that gender perspectives can be incorporated into the planning cycle is by using techniques of gender analysis when carrying out stakeholder analysis, urban situation appraisals or action plans. Gender analysis is a method of examining society through the lens of the different roles and responsibilities of men and women, boys and girls. It allows for an understanding of the causal relationships between gender and the way in which people behave, and what kind of access, power and control they have in society.

Using this analytical framework will also help in preparing planning processes that are inclusive, particularly in terms of involving men and women equally. Equal participation at every level and at every stage of the planning process is critical to ensure that the process is truly addressing the needs of all members of the community and is promoting gender equality as a whole.

The impact of urban planning on men and women, boys and girls, must also be clearly measured throughout the planning process. Therefore, it is important that indicators are developed in a gender sensitive manner, to facilitate gathering of information and analysis of the effects of urban activities on gender equality in the communities.

## **2.5 Monitoring and Evaluation**

Monitoring and Evaluation (M&E) of development activities provides government officials, development managers and civil society with better means of learning from past experience, improving service delivery, planning and allocating resources, and demonstrating results as part of their accountability to key stakeholders. The development process is strongly focussed on results. This helps explain the current growing interest in M&E.

Monitoring is “an internal project activity designed to provide constant feedback on the progress of a project, the problems it is facing, and the efficiency with which it is being implemented”. This type of assessment is performed while a project is being implemented, with the aim of improving the project design and functioning while in action.

Evaluation assesses the outcome of a project (for example, changes in housing quality), or a distinct segment of a project, with the aim of influencing the design of future projects. Evaluation measures the impacts on different segments of the population – for instance, the different benefits of services on men and women. Evaluation is mainly used to help in the selection and design of future projects. An evaluation exercise is a learning activity. Urban planners need to understand why and how to undertake effective monitoring and evaluation throughout the urban strategic planning process.

The easiest way to conduct these two activities in relation to the urban situation analysis would be to design a set of questions related to the process, for monitoring, and to the result, for evaluation. An example of such questions for individual steps of urban situation analysis is suggested in Table 1.

**Table 1: Monitoring and Evaluation Questions for Urban Situation Analysis**

Step	Monitoring	Evaluation
1. Stakeholder Analysis	Did a multi-disciplinary group (MPT) conduct stakeholder analysis?	Does the stakeholder list contain stakeholders representing different walks of life?
	Did the process have an inclusive character?	Does the list of stakeholders include the poor and other vulnerable groups?
	Did different members of the MPT participate in assessing stakeholders' stakes, influence and capacities?  Was the Municipal Gender Officer involved in carrying out the stakeholder analysis?	Does the final table of stakeholders fairly reflect their stakes, influence and capacities?
		Is the final result of the stakeholder analysis reliable?
		Did the stakeholder analysis involve women and men equally?
2. Urban Situation Profile	Did a multi-disciplinary team with the participation of stakeholders (CPT) conduct an Urban Situation Profile?	Does the information collected cover different aspects of city life?
	Was there enough focus on collecting data disaggregated by gender, age, ethnicity, etc.?	Does the profile offer enough disaggregated data to allow for an in-depth analysis?
	Has the process of collecting the data given you a better knowledge about the urban situation?	Does the profile provide enough data for a substantial analysis of the urban situation?
3. Urban Situation Appraisal	Was the process of verification of the data from the profile and other sources necessary?	Do the input data and information allow identifying strengths, weaknesses, threats and opportunities for local development?
	How do the issues identified by CPT as strengths, weakness, threats and opportunities reflect stakeholders' perceptions?	Is the result of the SWOT analysis adequate enough to allow for identifying the most pressing issues?
	Did the SWOT analysis process incorporate a gender perspective?	What aspects of gender were reflected in the SWOT Analysis results?
4. Investment Capacity Assessment	Did the Investment Capacity Assessment cover both public and private sector?	What is the capacity of investment by sector?
	Did the process help build mutual trust and transparency?	What are the major gaps in capital investment?
5. Consolidated Urban Diagnosis	Was the process of consolidation of the data conducted in an objective and unbiased way?	Does the final report present the situation of the city in an objective and unbiased way while reflecting the needs of men and women, the young and the old, and ethnic minorities?

For each of the monitored activities it is important to find the most appropriate question. This could be done through a brainstorming session to give all MPT members an opportunity to articulate those issues of special importance to them. For more examples of questions, see the M&E Tool included in the “Tools” section of this volume.

The development of indicators to use in the evaluation process is another key component of M&E. It is particularly important to design indicators to highlight impacts from the perspective of both women and men, boys and girls, as benefits often vary between them. The development of gender sensitive indicators and the collection of gender disaggregated data will be further elaborated in these publications as a method for developing the most effective M&E system in planning.



Inclusiveness ensures engagement of a whole range of different participants including marginalized and vulnerable groups.

## **3.0 Stakeholder Analysis**

Urban strategic planning is a process that must engage and involve a large number of people and their organisations, as well as institutions (both formal and informal) representing all sections of society. Therefore, one of the first tasks of the Municipal Planning Team is to identify whom they will work with during the different stages of the planning process and why each group should be involved. This assessment is called a Stakeholder Analysis.

Participatory planning only makes sense if those in charge of the urban planning process make a genuine effort to involve and engage citizens and their organisations in the debate on how the city should develop in the future. Urban planners and public decision-makers can also benefit greatly from supporting the ideas and initiatives of citizens and their organisations. Effective participation implies ensuring the widest-possible “ownership” of an initiative by sharing responsibility and decision-making power. As such, it is extremely important that it is designed in such a way that the unique needs and capabilities of all stakeholder groups are recognised, particularly those of women as well as men.

The Stakeholder analysis helps municipal planners to identify whom to approach and engage in consultations relating to general as well as specific urban issues, for implementation of development projects and conducting other activities such as monitoring and evaluation.

### **3.1 Defining stakeholders**

In order to conduct the Stakeholder analysis it is necessary to define the stakeholders relevant for the urban planning and management process. A stakeholder can be defined as an individual, group or organisation that:

- (a) Is directly affected by one or more urban issues
- (b) Has an interest in one or more urban issues
- (c) Can influence urban development (positively or negatively)
- (d) Has access to, or control of, resources (financial, technical, intellectual) that may be needed to support urban development

In the context of urban planning the list of stakeholders may include, for instance, central government and policy-making bodies, political parties, local government bodies, public enterprises, community based organisations, small business organisations, local and central financial institutions, religious and social organisations, NGOs and donors. This list is by no means final or exhaustive. The final identification of stakeholders depends on the specific situation of a given city or municipality.

### **3.2 The Purpose of Stakeholder Analysis**

Stakeholder Analysis helps to identify the legitimacy, interest and role of each stakeholder in the urban planning and management process. It helps to ensure the participation and recognise the needs of groups that are vulnerable and often marginalised, such as the urban poor, the elderly, the disabled, children and youth, women, ethnic minorities, etc.

Stakeholder Analysis also provides an insight into the capacity of each stakeholder to engage in



the urban planning and management process. It also helps to define the strategy for maximising their role. This is valuable for subsequently building “ownership” and sense of responsibility among all the stakeholders in the city at various stages of the urban strategic planning process.

In this context, it is especially important to analyse the different capacities of men and women, particularly since the bulk of women’s contributions tend to be in the informal sector, and therefore focused analysis is required to draw out and use this information. The result of emphasising the different capacities of women and men will improve the understanding of the urban situation and highlight possible strengths in the community that would otherwise be hidden. Overall, this will strengthen stakeholder ownership and contribute to successful planning.

Determining the significance and legitimate interest of the stakeholders has a great importance in achieving two objectives:

- Enabling all stakeholders to participate in development decision-making;
- Empowering stakeholders to perform their roles and undertake responsibilities.

### 3.3 Principles

While identifying stakeholders, the following principles must be kept in mind:

- **Inclusiveness**, which ensures engagement of a whole range of different participants including marginalised and vulnerable groups;
- **Relevance**, meaning those who have a specific interest in a particular issue;
- **Equality**, which recognises the different perspectives and needs of men and women, and uses strategies to ensure equal participation.

### 3.4 Key Actors in the Preparation of Stakeholder Analysis

#### Municipal urban planners

The role of urban planners in the strategic urban planning process is not only technical as perceived in traditional urban planning practice. In the participatory planning process, planners will play a more outgoing role as reflected in their cooperation with other municipal departments, as well as with other stakeholders. Planners are, in effect, responsible for co-ordinating and facilitating the entire planning process. See Box 2 on the proposed role of planners.



Special attention should be given to those stakeholders whose stake is big but may not have enough capacity to fully participate in the planning process

## Box 2: A New Role for Planners

A planner is:

**An Enabler.** Planners perform a positive role, as they enable development to proceed and allow developers, environmentalists, the public, and others involved in the future of towns and cities a voice and stake in sustainable development issues.

**A Facilitator.** A planner undertakes an essential role in facilitating development and environmental protection as well as facilitates an on-going process of discussion and negotiation with and between a range of actors and institutions that shape the future of urban areas.

**A Choreographer.** A planner plays a pivotal mediation role between different interest groups and vested interests in the city, and choreographs the various pressures and conflicts of interests that typically come to the fore in discussions over the future of cities.

**A Strategist.** A planner manages a complex political and policy-making process in urban areas that requires long- and medium term planning and attendant strategic thinking across short-term needs and conflicts.

**An Adviser.** A planner is expected to advise his or her employer, and other actors and institutions in an urban area, imparting professional opinion based on the development of unique knowledge and skills, and to do so in an impartial way.

**An Educator.** A planner works in an environment where his or her decisions, or those of others in the urban area with a responsibility for the future of cities, need to be disseminated among professionals and the public at large, and where decisions, choices and the rationale behind them are adequately explained

**Source:** Jones (2002). *Suggestions for 'Value-Added by The Professional Planner, UCL.*

## The Municipal Planning Team

The members of the Municipal Planning Team<sup>1</sup> will play a key role in this analysis, providing inputs about relevant stakeholders in their respective fields. At a later stage it may be useful to involve stakeholders in order to improve, validate and adjust the initial assumptions of urban planners and members of the Municipal Planning Team.

### 3.5 Conducting the Stakeholder Analysis

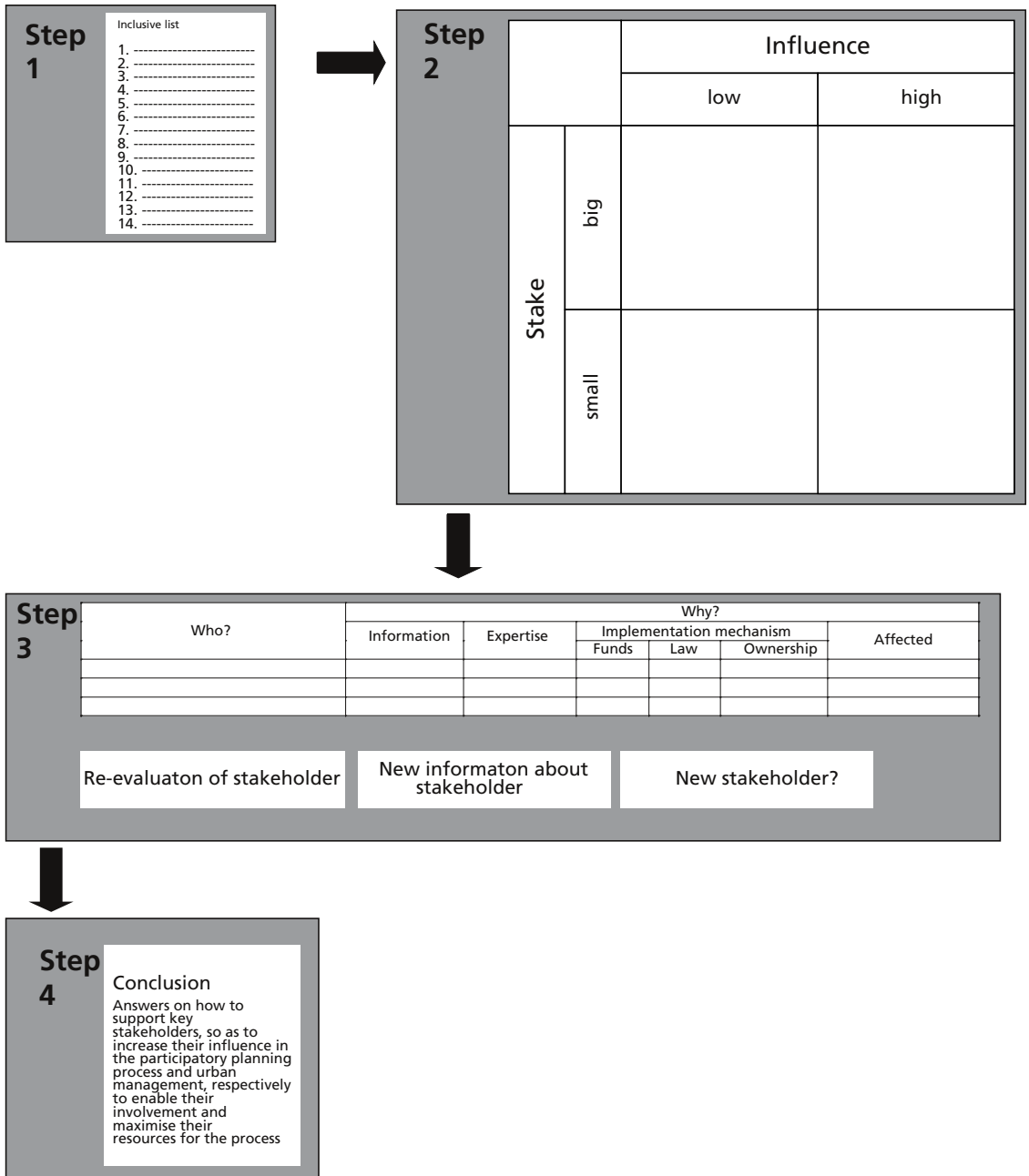
In order to make the stakeholder analysis easier, and in order for it to be harmonised with subsequent activities in the urban planning process, stakeholder identification could use the thematic areas defined by UN-HABITAT's Urban Indicators Toolkit. (For more detailed information, see Section 4 of this volume). These are:

- Shelter
  - Social Development and Eradication of Poverty
  - Environmental Development
  - Economic Development
  - Governance and
  - International Cooperation
- The whole process is conducted in four steps, as shown graphically in Figure 2:
- Listing of all potential stakeholders

<sup>1</sup> A Municipal Planning Team (MPT) comprises representatives of all departments within the municipality who can take (or advise on) key development decisions. As a multi-sectoral group the team may include, for instance, urban planner, architects, geographers, civil engineers, economists, legal experts, finance and accounting experts, and any other professionals from within the municipality.

- Defining stakeholders with reference to their stake and influence
- Re-evaluation of stakeholders
- Strategy for mobilising and participation of stakeholders

**Figure 2: The Process of Stakeholder Analysis**



## Listing of all potential stakeholders

The thematic lists should include all individuals or entities that:

- Are affected by the issue or contribute to the cause(s) of the issue;
- Can contribute with human, financial, technical or other resources in the formulation and implementation of the Strategic Urban Development Plan;
- Control or influence the implementation of the Strategic Urban Development Plan.

## Defining stakeholders

The position of each stakeholder in the list must be defined on the basis of their stake and influence on the particular issue or theme at hand. **Stake** stands for the necessity of the stakeholder to get engaged in the particular urban issue, while **influence** implies the impact which the stakeholder can have on resolving the issue.

The matrix shown in Figure 3 below clarifies the process of defining stakeholders by creating at least four groups of stakeholders from each list.

**Figure 3: Stake-Influence matrix**

	Low influence	High influence
Small stake	Stakeholder with limited potential for involvement	Stakeholder with decision-making power
Big stake	Important stakeholder possibly needing encouragement and support	Stakeholder with maximum impact on resolution of the issue

## Re-evaluation of stakeholders

At this stage, the position of each stakeholder is re-evaluated by adding any supporting/relevant information. For instance, the additional criteria of “capacity” may be added, which indicates the potential of stakeholders to engage in resolving the particular urban issue. Other tools for re-evaluation of stakeholders are shown in the “Tools” section of this volume.

## Strategy for mobilisation of stakeholders

There can be many different strategies for mobilising different groups of stakeholders depending on the characteristics of the group, their special interest or stake, and their capacity. The strategy also depends on the objectives of the local government at a given time. Special attention should be given to those stakeholders whose stake or influence is significant but who may not have enough capacity to fully participate in the urban strategic planning process.

Strategies for mobilising stakeholders may take the form of:

- town hall meetings for a sense of stakeholders’ “feelings” about a specific urban issue;
- a citizens' assembly which gives people an opportunity to meet with members of the municipal council and review progress on electoral promises; or
- small neighbourhood meetings to share information, identify problems and propose solutions.

The Municipal Planning Team may also establish advisory committees with participation of relevant stakeholders, and citizens may be invited to public hearings where municipal employees discuss important urban issues.

Stakeholder analysis provides information about which key stakeholders can be helpful in collecting the information needed for urban situation profiles and may finally play an important role in defining and implementing the development vision of the municipality.

### **3.6 A Gendered Stakeholder Analysis**

As described earlier in this section, the purpose of the stakeholder analysis is to identify the relevant stakeholders in the urban strategic planning process. A stakeholder is anyone who is impacted by, is influencing, and has control over or interest in, some element of the urban strategic planning process. In order to develop an understanding of how different groups and individuals are involved or affected by urban planning and management issues, there needs to be a clear grasp of the social dynamics of the community.

In terms of gender, this means that any stakeholder analysis must be based on an assessment of the different roles, responsibilities, access and opportunities of men and women in the community. Examining how men and women are able to interact in their urban setting as a result of gender will give important evidence about what strategies can be employed through the urban strategic planning process to meet their respective needs equally. In addition, such an understanding will help ensure that urban planning activities contribute to equality between women and men, and are not having the opposite effect.

When developing a gender analysis it is useful to prepare information in five categories:

- Assessment of needs
- Gender-disaggregated profile of activities
- Resources, access, and control profile
- Benefits and incentives analysis
- SWOT analysis

These aspects can be integrated into the different stages of the urban strategic planning process and will therefore help to develop a deeper and more comprehensive consolidated urban diagnosis and a more relevant Strategic Urban Development Plan.

Assessing the needs of the community from the perspectives of men and women, boys and girls will give the initial picture of the different situation of men and women in the communities. This will pinpoint priority areas for emphasis in urban planning. Many of the needs that will initially be identified in this process will be practical issues such as female needs for better sanitation services. These must then be linked with broader needs for equal access to resources, opportunities and so forth, as these issues emerge along the analytic process. A profile of activities helps to further elaborate on the roles and responsibilities of men and women. This will give greater insight into the way different aspects of urban planning will affect men and women differently. It also will highlight the potential roles they can play as stakeholders throughout the planning process.

Profiling resources, access and control sheds light on the power dynamics underlying some of the gender-based roles and needs that will have been identified in the first two categories. This

analysis is of particular importance when examining the constraints that women or men may face with regard to participation in the planning process. In addition, such analysis can highlight some of the causes of inequality in the community and how these can be linked to urban planning issues. This stage helps to identify the interrelationships that exist in the power structure – particularly as it centres on the household. This information is very important, as the introduction of urban planning activities – including the participatory planning process – will impact these relationships and the power dynamics.

For example, if women control the access of the household to clean water, an intervention to bring municipal water services directly to the house may have some unintended effects on a woman's status in the house. It is important to be aware of these issues and weigh any potential negative consequences against the benefits of a particular method of service provision. This will help to determine the best strategy to address the needs of the community in a way that best promotes positive gender roles and improves the status of women.

Examining the potential benefits and incentives to equal involvement of men and women in the urban planning process will help to identify strategies for equal participation. Reviewing the potential benefits for men in the involvement of women is an important way of raising awareness of the importance of equal involvement of women and men.

## 4.0 Urban Situation Profile

The urban situation profile helps urban planners to identify, collect and organise information in a way that will support urban decision-making. The manner in which this information is gathered, the type of data collected and the way it is sorted out and presented will have a strong influence on the final outcome of any urban planning exercise. The Urban Indicators Toolkit developed by UN-HABITAT has been introduced to assist in collecting and systematising urban data and preparing the Urban Development Plan. It has been developed for reporting on progress in the implementation of Habitat Agenda and has been used by cities all over the world. The rationale behind this methodology is to collect and group data according to 23 indicators and 9 types of qualitative data that cover six thematic chapters (hereinafter referred to as “thematic areas”), and reflect the 20 commitments set out in the Habitat Agenda.

**Table 2: UN-HABITAT Urban Indicators Toolkit: Chapters and Commitments**

Chapter/Area	Commitments
Shelter	<ol style="list-style-type: none"> <li>1. Provide security of tenure for residential purposes</li> <li>2. Promote the right to adequate housing for all</li> <li>3. Provide equal access to land</li> <li>4. Promote equal access to credit for shelter</li> <li>5. Promote access to basic services</li> </ol>
Social development and eradication of poverty	<ol style="list-style-type: none"> <li>6. Provide equal opportunities for a safe and healthy life</li> <li>7. Promote social integration and support disadvantaged groups</li> <li>8. Promote gender equality in human settlements development</li> </ol>
Environmental Management	<ol style="list-style-type: none"> <li>9. Promote geographically-balanced settlement structures</li> <li>10. Manage water supply and demand for water in an effective manner</li> <li>11. Reduce urban pollution</li> <li>12. Prevent disasters and rebuild settlements</li> <li>13. Promote effective and environmentally sound transportation systems</li> <li>14. Support mechanisms to prepare and implement local environmental plans and local Agenda 21 initiatives</li> </ol>
Economic Development	<ol style="list-style-type: none"> <li>15. Strengthen small and micro-enterprises, particularly those developed by women</li> <li>16. Encourage public-private partnerships and stimulate productive employment</li> </ol>
Governance	<ol style="list-style-type: none"> <li>17. Promote decentralisation and strengthen local authorities</li> <li>18. Encourage and support participation and civic engagement</li> <li>19. Ensure transparent, accountable and efficient urban governance</li> </ol>
International Cooperation	<ol style="list-style-type: none"> <li>20. Enhance international cooperation and partnerships</li> </ol>

*Source: UN-HABITAT Urban indicators Toolkit, Year 1998*

An urban situation profile provides an overview of the city in a systematic manner and can and should be updated and improved constantly. Some basic principles can be applied in preparing the urban situation profile:

- **Rapid and basic:** The profile must bring together in a well-structured manner the existing basic information that directly supports the urban strategic planning process and the prioritisation of issues in urban consultations. The objective is not to generate a comprehensive and technically accurate database, but to captivate the existing situation in relation to a few key issues.
- **Open-ended:** The profile will continue to be added to and expanded, as work progresses through strategy formulation and action planning. The principle is to use whatever information is available and to continue updating the urban profile as more accurate information is obtained.
- **Gender sensitive:** Wherever possible, information should be disaggregated by gender in order to measure the different roles of men and women in the city and to help integrating the gender dimension in urban policies. This will also facilitate the development of gender sensitive indicators, which will help to evaluate the process comparatively in terms of impacts on men and women.
- **Ethnically inclusive:** In a similar manner as above, it is very useful to include separate data on the situation of ethnic groups to ensure that needs and priorities of all are taken into consideration in the urban strategic planning process.



The urban situation profile provides an overview of the city in a systematic manner



## 4.1 The Purpose of an Urban Situation Profile

The purpose of the urban situation profile is to ensure that necessary data are available in a consolidated and easily understandable form for urban planners, decision-makers as well as other stakeholders interested in evaluating and understanding the complexities of the situation in a city. The data collected can also serve as a baseline, which will make it possible to measure change over time and the effectiveness of urban development policies, strategies and programmes.

The data collected at city level can also be an important source of information for other institutions responsible for developing policies at regional and national levels.

## 4.2 Key Actors Involved in the Preparation of the Urban Profile

The first task in drawing up the urban situation profile is to set up the database and identify possible sources of data within and outside the municipality. Urban planners cannot be expected to have all the relevant data; therefore, it is necessary to include other relevant stakeholders, such as:

- Professionals from other departments within the municipality such as housing, public utilities/works, environment/health, economic development, office of the CEO, etc.;
- Experts and specialists from universities, specialised institutions, professional associations;
- Civil society organisations including local NGOs, neighbourhood associations, real estate companies, industrial associations and chambers of commerce, and other such organisations;
- International organisations such as UN agencies and NGOs that frequently conduct surveys in particular fields before implementing projects, and often have up-to-date information and data.

A City Profile Team (CPT) can be organised and tasked to prepare a work plan to assign responsibilities to various members. The role of the City Profile Team is described in Box 3.

### **Box 3: Role of the City Profile Team.**

A City Profile Team (CPT) comprises selected representatives of municipal departments, along with a few stakeholder representatives who can contribute significantly to the situation analysis phase of the urban strategic planning process. The role of the CPT is to complete the urban situation profile and conduct an urban situation appraisal. It also plays a key role in preparing a Consolidated Urban Diagnosis.

The CPT is responsible for collecting data and information related to:

- The urban situation profile (based on the Urban Indicators Toolkit and the Profiling Tool)
- The urban situation appraisal (based on thematic SWOT analysis)

The CPT is also responsible for drafting the Consolidated Urban Diagnosis.

The CPT drafts the above-mentioned reports in close consultation with urban planners. The draft reports are subsequently reviewed and finalised by the Municipal Planning Team before they are forwarded to the CEO/ Board of Directors.

### 4.3 Developing the Urban Situation Profile

The Urban Indicators Toolkit was originally designed to assess performances and trends in the 20 selected commitments of the Habitat Agenda relating to the six thematic areas mentioned earlier, and to measure progress in the implementation of the Habitat Agenda. However, this Toolkit has also been found useful in providing cities with a quantitative, comparative basis for collecting information on the condition of cities, and measure progress towards achieving urban objectives (See tool no. 6 in the “Tools” section of this volume).

Two different types of data are included in the minimum data set advocated by the Urban Indicators Toolkit:

- **Key indicators:** Indicators that are important for policy and relatively easy to collect. These are either numbers, percentages or ratios;
- **Qualitative data or checklists:** Information needed to assess thematic areas, which cannot easily be measured in quantitative terms. This generally comes with checkboxes for “yes” or “no” answers.

Each of the 23 indicators and of nine lists of qualitative data sub-sets in the Urban Toolkit includes detailed explanations of:

- **the significance** of each indicator for analysing urban conditions and trends and their meaning in the Habitat Agenda;
- **the definitions** adopted by UN-HABITAT in accordance with international standards, in order to facilitate data comparison when possible;
- **the methodology** for obtaining and collecting data, as well as for calculating results; the ways and methods of **gender** inclusion in each indicator;
- **any linkages** between indicators, for cross-analysis of effective indicators (e.g., crime rates may be related to the level of poverty and unemployment).

Successful application of these indicators depends on getting the most accurate information available at any given time. Where recently published data are available, this is preferable. If published data are not available or are not recent enough, the best possible estimates should be obtained. The guiding principles are that the information should be the best available, the latest available, and that it should be fully documented.

It is not expected that new household surveys will be initiated to collect data. For areas that might eventually require detailed household or other surveys, an estimate or an “educated guess” can be obtained from a group of expert observers in the field.

### 4.4 Developing Gender Sensitive Urban Indicators

When incorporating gender perspectives into the planning process, it is crucial that a mechanism makes it possible to measure the long-term impact of the process on the status of men and women. Indicators are a key part of any project, as they provide a means of evaluating the success of the programme. Indicators are like signposts, showing the progress in social change. As such, it is critical that they reflect the changes in gender dynamics in a community. Indicators are more than simply a collection of data. Statistics do not, by themselves, allow for contextual judgement of an issue. The key purpose of an indicator, and particularly of a gen-

der indicator, is to give a contextual measurement of change in the status of women or men, against prevailing international norms and the prevailing local reality.

Incorporating gender-based indicators in overall measurement will also facilitate the ongoing process of analysis of the situation in the community itself. A combination of indicators measuring gender changes with other indicators will also help to show where other social factors combine with gender to impact issues. For example, measuring respective enrolment rates of boys and girls from a gender perspective may highlight a disparity to the detriment of girls. However, combining this information with indicators measuring rates of enrolment of boys and girls from a particular ethnic or socio-economic group will often show that the issue is a mix of several social factors. This provides a more comprehensive understanding and will therefore help planners devise the most appropriate strategies.

All indicators in the planning process should be gender-disaggregated – that is, designed to measure the impacts on men and women separately. This will allow for the comparison of the situation and needs of men and women, which is critical in any urban situation analysis. The design of gender based indicators will be supported by the collection of disaggregated data. It is important to ensure that all indicators, where possible, are disaggregated to allow for a comparison of impacts between men and women, boys and girls, as this is central to gauging the changes in the gender situation resulting from the planning process (tool no. 6)

#### **4.5 Gender-Disaggregated Data**

In many countries and areas of life, analysing the status of women in human settlements is not easy because data do not exist. The contribution that women make to development, as well as the discrimination against them, are equally hidden. Efforts to obtain sufficient and factual information about the state of the housing and urban sectors should be made in relation to overall economic, social and environmental development. Disaggregation of data and indicators allows for comparisons to be made between the situation and needs of men and women, and will therefore better inform policy than non-disaggregated data.

The availability of statistics and indicators that quantify women's specific roles and life conditions can influence changes in public perceptions and therefore policies. If collected by countries, such indicators will provide a sound basis for the formulation and implementation of housing and urban development policies that are sensitive to the roles of different members of the society.

The purpose of gender-disaggregated indicators is to:

- Measure the roles of men and women in urban development and shelter;
- Examine the different needs of men and women in urban development and shelter;
- Monitor how urban and shelter sectors are impacting men and women;
- Integrate the gender dimension in policies, using gender sensitive indicators as key policy tools;
- Measure the longer-term impacts of policies on equality between women and men.

The data collected in the urban situation profile is re-evaluated and reinforced by urban situation appraisal.

#### **Box 4: Ways of disaggregating data collection**

Data collected for specific thematic areas should be disaggregated by the criteria that are most relevant for a more in-depth analysis. Gender is often the most common criterion for disaggregation of data. However, some other criteria can also be applied, depending on the purpose of the exercise. These include:

**Type of settlements:** In larger cities, it is useful to obtain data disaggregated for formal and informal urban settlements, generally slum and non-slum areas; results such as on the tenure status, price of utilities or level of services vary dramatically between formal and informal areas.

**Districts:** Information disaggregated by urban districts is extremely useful for planning in a variety of issues related to shelter, socio-economic development, environmental management and governance. Cities with highly developed data collection and analysis systems are generally able to provide data by wards, districts or sectors. Such information will easily be compiled into a geographical information system that will allow mapping of urban performance by sectors.

**Neighbourhoods:** Cities with pronounced community differences are well-advised to collect community-specific information, especially with regards to types of tenure (indicator 1), access to services (indicators 6 and 7), poor households (indicator 10), and employment (indicators 20 and 22). This information will provide a useful background for assessing the levels of inclusion of the different communities.

**Age groups:** Disaggregation by age group can provide crucial information allowing for adequate targeting of a number of employment policy areas such as crime and safety (indicator 9) and poverty alleviation (indicators 10, 20, 22); commonly used age groups are 0-4 years, 5-14 years, 15-24 years, 25-59 years, and over 60.

**Ethnicity:** In many cities and areas of life, analysis of the status of ethnic groups in human settlements is not easy because data do not exist. The contributions of respective ethnic groups to development as well as any discrimination against them are equally hidden. Efforts to obtain sufficient and factual information about the state of the housing and urban sectors should be made in relation to overall economic, social and environmental development.

## 5.0 Urban Situation Appraisal

The objectives of urban situation appraisal are twofold. The first objective is to review and verify the data collected in the urban situation profile and fill gaps wherever possible. The second objective is to filter the information through a tool such as SWOT (Strengths, Weaknesses, Opportunities, Threats) analysis to arrive at certain conclusions regarding the city situation. The combination of the urban profile and SWOT will provide urban planners with a complete picture of the city, including constraints and opportunities for future planning actions. SWOT can be all-inclusive or issue-focused according to the priorities of a municipality.

### 5.1 Review and Verification of Data

The tasks of urban planners in the urban situation appraisal are divided into two major areas: data review and data analysis. The review of existing data includes:

- Identifying gaps and inconsistencies in available data;
- Validating and/or complementing data through other means (direct observation, surveys, etc.)
- Preparing thematic maps based on data provided in the urban profile.

Once the data is reviewed, it can be classified according to the validity of the sources of information. The data may be organised as:

- 0: Not useful (therefore, try to obtain information from other sources)
- 1: Indicative (therefore, try to improve on data from secondary sources)
- 2: Accurate or useful (therefore, proceed to draft thematic maps where relevant)

Data analysis includes:

- analysing the substantial problems as illustrated by the available data;
- understanding the causes and connections/linkages between problems existing in the city;
- complementing this with accepted general knowledge;
- identifying the major constraints to be addressed;
- identifying potential opportunities that can contribute to urban development;
- reviewing legal constraints/opportunities and addressing major issues as identified.

### 5.2 SWOT Analysis

SWOT analysis is a way of reviewing and analysing data and information on the current situation from two different perspectives:

- Internal (strengths and weaknesses)
- External (opportunities and threats)

The internal perspective relates to those areas where the municipality has some degree of control to influence and effect change in the city.

- **Strengths** describe the advantages of the city, such as an extensive public service coverage (water, housing, etc.), a clean environment, low morbidity and mortality rates etc. Any identified strengths are the major assets which the city can capitalise on in order to further improve the quality of life and working conditions for the population. Strengths describe the major assets of the city, i.e., what makes it special.
- **Weaknesses** are the obstacles that inhibit or restrict urban development, such as poor quality housing, inadequate infrastructure, high unemployment, environmental pollution, etc. The main challenge for the city is to reduce the weaknesses and convert these into strengths through dedicated action. Weaknesses describe the major problems of the city.

The external perspective relates to those areas where the municipality has no major control over but which are important to be aware of, as they can be important factors in shaping the future of the city.

- **Opportunities** are external factors that can be exploited to strengthen citizens' quality of life and working conditions. They can include, for instance, areas with high tourist potential, availability of skilled human resources in a specific field, the availability of resourceful companies, etc. Opportunities are the hidden assets that should be worked upon to convert into strengths.
- **Threats** imply external factors that may affect urban development and the success of any city initiatives. They may include civil unrest and urban conflicts among different groups which may destabilise any development initiative; gradual shrinking of private business with the attendant unemployment and reduced municipal revenues; poorly constructed or maintained housing in seismic zones; constraining national policies or legislation, etc. Threats are the "red lights" which indicate that action must be taken if their consequences are to be mitigated.

### 5.3 Conducting SWOT

Once the data has been verified and the thematic maps have been produced (where relevant and possible) to highlight the territorial distribution of the data, a SWOT analysis can be launched. The City Profiling Team should be in charge, and the analysis is best carried out in working groups through a facilitated discussion/workshop. Participants in these workshops should, among others, include urban planners, relevant professionals from other municipal departments such as Housing, Welfare and Social Affairs, Environment, Health, Public Services, Economy and Finance, etc., as well as stakeholders from outside the municipality. At least an entire day should be planned for each thematic area (5-6 in all). Each workshop should include the following steps:

**Introduction:** For each thematic area, the relevant information must be displayed visually and explained to participants. A matrix should be drafted on a flip chart or other large sheet of paper, with empty columns to fill in the Strength, Weaknesses, Opportunities and Threats. Each participant could also be given a blank format to fill in individually during the workshop.

**Brainstorming:** Participants review the data and information and engage in a discussion or brainstorming session in smaller working groups. Comments and opinions on each SWOT item are written into the matrix. It is important that, at first, ALL comments are included in the matrix.

**Review and prioritisation:** In a second round, participants discuss each of the statements, eliminate repeats or those considered irrelevant by consensus, and add any other relevant points that may emerge during the discussion.

**Conclusions:** The final step is to draw conclusions. This can be done in one of two ways. For each thematic area (for example “Shelter”) a general conclusion as to the overall strengths of the city can be drafted. Alternatively, an overall conclusion can be drafted for each commitment. After this, a final assessment of the area – a brief statement – can be developed, which describes the overall conclusion for each thematic area.

**Overall Assessment:** Once the various working groups have come to a conclusion for each thematic area, the information is written into the final summary chart (see tool no. 2 in the “Tools” section of this volume). The team of urban planners proceeds as per the final step above. This final matrix serves as a summarised version of the urban situation appraisal. This is subsequently used for presentation to key decision-makers (CEO, board of directors and municipal council members) as an input into the consolidated urban diagnosis.

**Final Report:** Based on the respective matrices for each thematic area and the final matrix, urban planners should draft a summary report with additional information and data. This report could also include thematic maps (where relevant) to facilitate understanding of the issues described in the final urban situation appraisal report.

**Table 3: Results of a SWOT Analysis (Illustrative)**

Thematic area 1: Shelter (a theoretical example for illustration purposes only)					
Habitat Agenda Commitments	Strengths	Weaknesses	Opportunities	Threats	Conclusions
Security of Tenure	80% of population with secure tenure No evictions needed	45% of ethnic minorities without secure tenure		Social unrest	The urban plan must give particular consideration to shelter provision for ethnic minorities
Right to Adequate Housing	Low rent in public housing	Construction by-laws are not observed – dangerous constructions	New national regulations for construction	Rents are increasing	
Access to Land		No formalised land market	Public land available for future development	Illegal occupation of land by immigrants	The plan should include land banks for future housing
Access to Credit	Support from abroad is helping people to build houses	Banks do not offer credit for shelter – specially to women			Local banks are important stakeholders to develop credit facilities for women
Access to Basic Services	90% of the city is supplied with clean water	60% of the sewerage system is seriously damaged No city dump for waste		Serious health risk, specially among children	
Conclusions		Shelter is still critical for special groups			

The results of a SWOT analysis help identify gaps and establish priorities for immediate interventions. SWOT conclusions are incorporated into the Consolidated Urban Diagnosis, which serves as a starting point for the public debate on the future of the city.

Image next page: The establishment of Investment Capacity Team with the participation of stakeholders and potential investors can go a long way in building trust amongst stakeholders and wider ownership of the process



## 5.4 Using Gender Analysis in SWOT

SWOT analysis provides an excellent opportunity to examine how gender will impact, and will be impacted by, the urban planning and management process. The following table provides some guidance for examining gender in the SWOT analysis during the planning process.

**Table 4: Incorporating Gender Issues in a SWOT Analysis**

STRENGTHS	WEAKNESSES	OPPORTUNITIES	THREATS
<ul style="list-style-type: none"> <li>- Do positive aspects in gender roles and responsibilities already exist in the community?</li> <li>- What organisational tools can be drawn on in terms of gender?</li> <li>- What is the role of the Municipal Gender Officers?</li> <li>- What resources exist to promote gender-equal strategies in planning?</li> </ul>	<ul style="list-style-type: none"> <li>- What are the challenges for or constraints on equal participation of men and women within the municipal structure ?</li> <li>- Is there an adequate level of expertise in gender issues in the municipal structure?</li> <li>- Are there adequate training materials on gender equality strategies?</li> </ul>	<ul style="list-style-type: none"> <li>- What potential resources can be developed to improve gender equality in the city?</li> <li>- Which sectors of the city economy can benefit men and women more equally?</li> <li>- Do any national regulations protect women's rights and promote gender equality?</li> <li>- What other activities are being undertaken by international or governmental organisations that help to promote gender equality in municipalities?</li> </ul>	<ul style="list-style-type: none"> <li>- Do any cultural attitudes constrain equal participation of men and women?</li> <li>- In what areas are women or men particularly vulnerable in the society?</li> <li>- Are there traditional codes of conduct that constrain equality between men and women?</li> </ul>



## **6.0 Investment Capacity Assessment**

The investment capacity assessment is a review of potential resources that will enable implementation of urban initiatives and projects. Such assessment should include not only potential financial contributions (donations, credits, grants, etc.) but also possible “in-kind” contributions that can be drawn upon, such as machinery and equipment, voluntary human resources (skilled/ professional as well as unskilled) and any others.

Investment Capacity Assessment serves as a database that can be consulted once the types and quantities of resources are identified for implementation of specific projects and programs. The initial assessment must be complemented and continuously improved upon during the entire planning process. The information contained in the investment capacity assessment is managed by the urban planners and the Municipal Planning Team.

The investment capacity assessment should identify and explore opportunities for accessing both public and private resources for each thematic area of the urban situation profile.

### **6.1 Purpose of Investment Capacity Assessment**

Invitation for participation in urban strategic planning also generates expectations amongst stakeholders that a tangible outcome will occur at the end. Therefore it is essential to be able to count on a pragmatic and realistic resource base, in the initial stages of the participatory planning process. The assessment should not only analyse existing potential, but also explore (together with stakeholders where relevant and possible) creative ways to generate funds and other resources through innovative partnerships and public fund-raising modalities (Also see section on local resources mobilisation in volume 3 of this series). The long-term purpose of this exercise is to build local awareness among the stakeholders in the city that urban development is everybody's responsibility. The wider the commitment and contributions that can be mobilised, the faster will people, communities and businesses experience growth of and improvement in their living conditions.

### **6.2 Principles of Investment Capacity Assessment**

The investment capacity assessment is initially a confidential exploration of the investment potential in the city. It is easier to obtain data regarding public sources such as municipal revenues and budget and potential funding from central authorities. However, private companies may not want to reveal how much they could potentially contribute towards public capital investments.

It is essential that all potential contributors are made aware that any contribution of resources in any kind will be publicly recognised and acknowledged in adequate ways.

It is recommended that an Investment Capacity Team be established to conduct the investment capacity assessment. The establishment of such a team with the participation of stakeholders and potential investors can go a long way in building trust amongst stakeholders and wider ownership of the process.

Image previous page: The establishment of Investment Capacity Team with the participation of stakeholders and potential investors can go a long way in building trust amongst stakeholders and wider ownership of the process

### **Box 5: Role of the Investment Capacity Team (ICT)**

An Investment Capacity Team (ICT) consists of actors and stakeholders who can contribute significantly to assessment of a city. This includes selected representatives of municipal departments (Economic Development or Budget and Finance), economists and finance professionals, representatives of trade/industry/private sector, representatives of public utility companies which make investments in infrastructure, banks and private lending/ mortgage companies, builders, etc.

The ICT is responsible for collecting data and information needed for:

- Discussing and preparing investment capacity survey formats
- Conducting surveys to assess investment capacities
- Record results in the form of data sheets
- Draft report on the investment capacity assessment

The ICT is expected to draft the investment capacity assessment in close consultation with urban planners. The draft reports are subsequently reviewed and finalised by the Municipal Planning Team before being forwarded to the CEO/ Board of Directors.

### **6.3 Review and assessment of municipal capital investment capacity**

The first and most immediate source of public capital investments is the municipal budget. In order to facilitate a qualified and informed discussion on how municipal funds can be invested, it is necessary to have a disaggregated picture of how resources are generated and how they are distributed. It is also important to review innovative alternatives to increase municipal revenues for public capital investments.

#### **Municipal revenue**

The revenue of the municipality consists of the total sum of money that is generated from taxes, permits, licenses and user fees of services. Regulated transfers from central authorities may complement municipal revenue. These funds represent the basic resource for providing the best possible service to the geographical area under the administration of the municipal authorities. In order to obtain a realistic overview of the capacity of the municipality to engage in any future urban capital investment, it is necessary to have a clear breakdown of the income sources.

Knowledge of how the revenue is generated may help decisions on allocating part of the taxes for specific capital investments. For example, all revenues or part of them from building permits could be destined for land development projects. This information can also be useful to argue for contributions from other sectors outside the municipality. (See tool No. 2 in the “Tools” section of this volume)

## **Municipal expenditure**

In the same way as the overview of the revenue, it is equally important to understand how the municipal income is spent. It can help public officials to argue for increased collaboration and also show in a transparent manner that citizens' money is handled responsibly.

An assessment of municipal spending patterns can also help in identifying ways to rationalise expenses, thereby releasing additional resources for capital investments. This information may also be used to invite the citizens to discuss and contribute innovative ideas to rationalise existing municipal investments.

## **Alternatives to stimulate increased revenues**

One of the biggest challenges faced by any municipal administration is to make its constituency aware of the need to contribute towards public investments. Besides regular taxes (building permits, patents, licenses, property tax) and rates for services (water, electricity, garbage collection), it is also possible to earmark voluntary or compulsory contributions/taxes within a determined area, to account for value added investments (i.e., upgraded infrastructure). It may be useful to promote a discussion on this subject within the municipal assembly to receive similar ideas on how additional revenues can be generated for the municipality within the given legal framework. It is also important to examine the impact of such additional tariffs on men and women in the communities. For example, levying rates on certain services may be more detrimental to women than men, which may require special considerations regarding the way the charge is to be levied.

## **6.4 Exploration of local private sector capacity**

Private sector contributions in cash or kind for municipal capital investments, can be a powerful resource. The service sector may be interested in cost-sharing investments that facilitate improved access of their clients to their services. The manufacturing sector may be interested in contributing to improved water, electricity and transport infrastructure to increase competitiveness. Residents in a particular area may be willing to contribute with funding (through local fund raising) or provide time and skills to carry out local environmental improvements.

Involving women in examining these potential areas can be extremely valuable, for several reasons. As prime users of many of the services, women will have important insight into how these services can be improved through private involvement. It has also been shown that targeting women as a key market when offering privatised services has a much higher rate of success than targeting men.

At this preliminary stage of assessing the potential opportunities in the city to share the costs of capital investments for urban improvement, it may be difficult to get clear commitments from investors from outside the municipality. Therefore, any preliminary exploration must be speedy and must focus on getting an overall picture of the entire spectrum of potential investors, rather than details about a handful of contributors. Such exploration of private sector interest can use a variety of methods:

- **Rapid appraisal** to identify potential contributors, type of contribution, conditions for obtaining resources, and their availability. (See tool no. 3 in the “Tools” section of this volume)
- **Small-scale questionnaire surveys** within the identified sector or within a specific geographical area, targeted at the stakeholders identified during the stakeholder analysis. (see tool no. 4 in the “Tools” section of this volume)
- **Focus group discussions** with specific stakeholders that have some import in urban development such as construction and real estate companies or all businesses related to the tourism industry.
- **Data search on the Internet** can be a useful mechanism, since many international investors and companies frequently post their interests on their web sites. Within specific sectors it may be possible to identify potential foreign investors using the Internet. (Also see section on local resources mobilisation in volume 3 of this series).

## 6.5 Identifying potential neighbourhood contributions

Once specific capital investment projects have been identified and their location defined, it is not uncommon to seek participation of residents through existing neighbourhood organisations or groups. Even though their contributions may be limited in monetary terms, these can often be essential for project implementation and sustainability. To stimulate this type of participation, it is essential that residents are well informed and involved from the beginning of the formulation of the project. It is important that they feel “ownership” and have a voice in decisions that will affect their immediate surroundings. Since these contributions are often action area- or project-specific, it may be difficult at this preliminary stage to assess their real potential. However, it is important to keep this assessment in mind during the planning and project formulation process, and start updating the database as soon as possible. Neighbourhood contributions commonly take two forms:

- **Human resources or other in-kind support** – Citizens can participate in project formulation through guidance, opinion, experience-sharing and even technical assistance or be directly involved in implementing projects as volunteers. Young disabled and unemployed people and women often are able to assist at various stages of project design and implementation. (See tool no. 5 in tools section of this volume)
- **Financial contributions** - It may be harder to obtain financial contributions from citizens. Nevertheless, experience has shown that when communities are actively involved from the very beginning in local action projects that address their prioritised needs, they are able to find surprisingly effective mechanisms of raising funds for implementation of those projects.

## **6.6 Updating the Investment Capacity Assessment**

Any assessment of investment capacity must be regularly updated to identify new and innovative sources of funding for urban development initiatives. This could be done in two ways:

- Creating a “potential resources” database - When preparing the capacity assessment for the first time, it could be useful to set up a database that can systematically record the results, serve as future reference for consultations and negotiations with potential contributors, and be updated regularly.
- Mapping resources - Mapping could be another useful way of recording data on investment capacity in the city. With the city map as reference, the physical location of the contributors, their offices and neighbourhoods, can be pinpointed, along with details of the type of resources that may be or will be contributed.

Due to the nature of the data that is collected in this process, it is important that the leading decision-makers in the municipality (Mayor or President of Municipal Assembly, CEO, Board of Directors, etc.) are kept informed. Regular reporting can also stimulate more active engagement of political as well as administrative leaders in active fund-raising.

## **7.0 Consolidated Urban Diagnosis**

The consolidated urban diagnosis is the final output of the urban situation analysis phase. This brief and straightforward report provides an analytical but highly focused and concise overview of the issues. The document brings together a substantial amount of information from a variety of sources and structured around thematic areas. The information is summarised and logically presented (without any elaborate technical discussion) in a manner that can readily be comprehended by a large and diverse group of stakeholders.

A consolidated urban diagnosis is a tool for informed discussion, consensus building and strategy formulation. This document is passed on to stakeholders for discussion on strategic planning and formulation of the Urban Development Plan.

### **7.1 The Purpose of the Consolidated Urban Diagnosis**

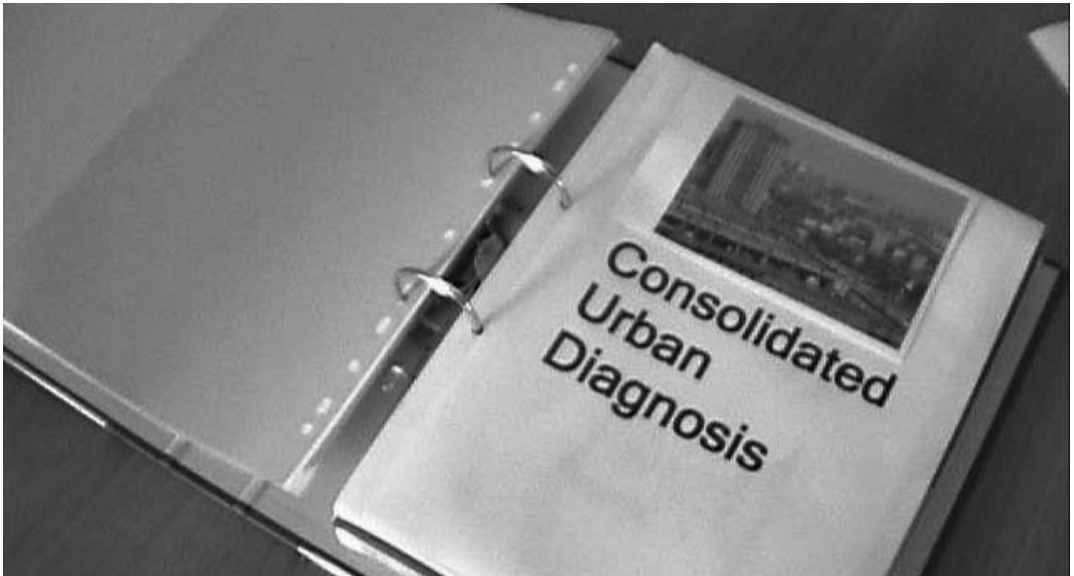
The purpose of the consolidated urban diagnosis is to provide summarised and logically presented information on the state of the city, citizens' quality of life and working conditions, future development perspectives, and institutional capacity to address these issues. It establishes the nature and scale of the problem and justifies the need to intervene.

The report synthesises key issues, possible options for action, and supporting management arrangements for addressing them. These include a wide range of possibilities for each of the issues, such as municipal task forces, project management groups/teams, non-governmental and community-based organisations, etc.

It is important that the consolidated urban diagnosis discusses all themes but concludes with identification of a few key thematic priority areas, which can provide inputs to the urban strategic planning process. It may even split the priorities between those requiring intervention in the short, medium and long terms respectively.

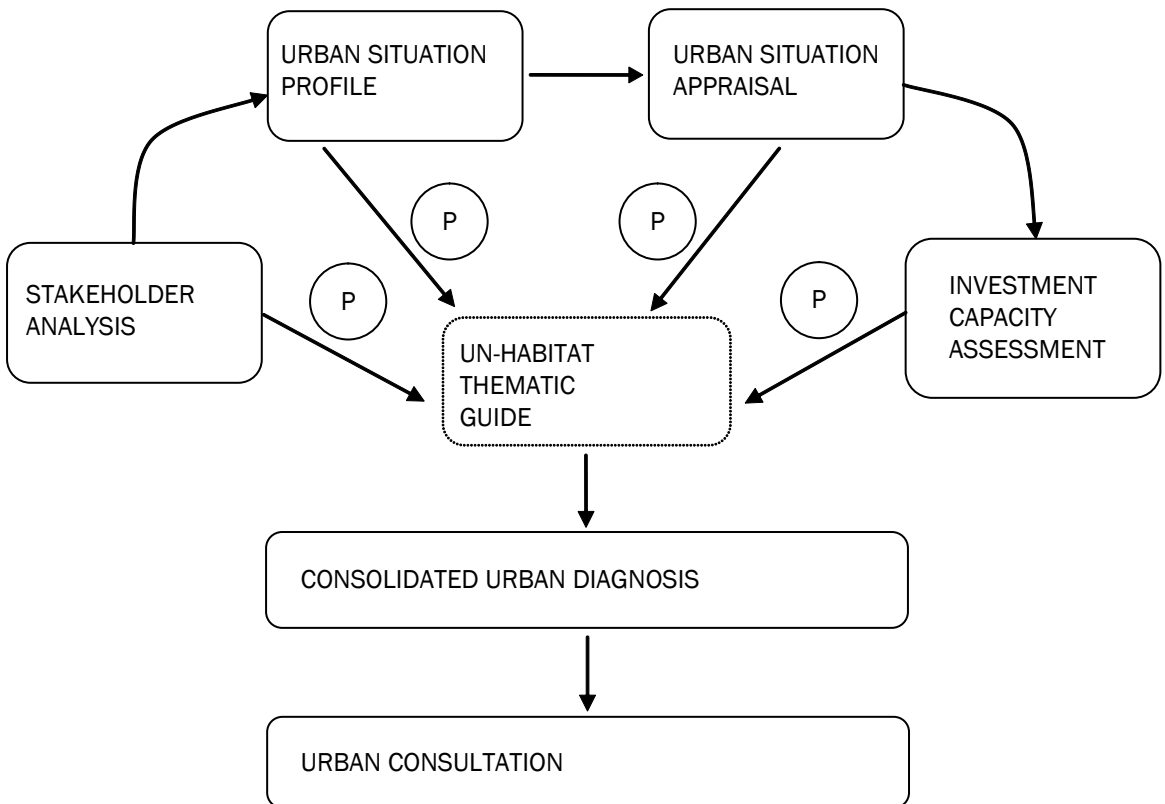
This section provides guidelines for preparation of a well-structured consolidated urban diagnosis; this would in turn provide the framework for discussion in urban consultations and make the process both more efficient and participatory. The process of producing a consolidated urban diagnosis involves analysing and summarising the results of the stakeholder analysis, urban situation profile and appraisal and investment capacity assessment.

Figure 4 illustrates how, through a participatory process (P), the selected information from the previous steps is put together under the each of six thematic guides (*Shelter, Social development, Environmental Management, Economic Development, Governance and International Cooperation*) and consolidated into a final report.



A consolidated urban diagnosis is a tool for informed discussion and strategy formulation

**Figure 4: Process of Developing a Consolidated Urban Diagnosis**





## 7.2 Preparing a Consolidated Urban Diagnosis

### Selecting Information

Since the purpose of a consolidated urban diagnosis is to present the status of the city, the inputs for the report should be selected and synthesised carefully to provide strategic information on the existing situation. The participatory process adopted in preparing the reports which feed into the consolidated urban diagnosis (as shown in Figure 3) results in increased diversity of information sources and a common understanding amongst stakeholders from early stages of the process. Inclusion of all voices, particularly of both women and men, is critical during this phase and will be particularly valuable when defining the most relevant priorities.

Information may be selected by asking a set of questions that bring out the most crucial facets of the city situation. An indicative list of questions is shown in Box 6.

#### **Box 6: Questions for selecting information for the Consolidated Urban Diagnosis** **Analysing information**

1. What are the gaps, based on Urban Situation Profile?
2. What are the gaps, based on Urban Situation appraisal?
3. What are the key weaknesses based on Urban Situation Appraisal?
4. Who are the key stakeholder groups (actors, beneficiaries) for identifying gaps/priorities?
5. What is the potential capital investment capacity of key stakeholders identified through ICA - in cash, kind, human or other resources?

### Analysing information

Having selected and synthesised information from relevant documents, the final and most crucial aspect is to analyse the collected information and draw conclusions regarding priorities of the city and areas for intervention. Gender analysis should also be used here, particularly with reference to the causes of key problems. Information can be objectively analysed and simply presented through tools such the cause-effect table or the analysis table (Tables 5 and 6 shown below).

**Table 5: Problem causes and effects analysis**

Thematic Area	Major problem(s)	Causes(s)	Effect(s)
Shelter			
Social development and eradication of poverty			
Environmental management			
Economic development			
Governance			
International cooperation			

Finally, conclusions regarding gaps, priorities and constraints must be drawn in order to arrive at a few priority areas for discussion at the urban consultations. Important stakeholder groups, as well as their potential roles, must be highlighted for each priority area.

In the final stages of the analysis, it is important once more to look at the information in the analysis table and ask questions such as: Is the information clearly presented, understood and interpreted? After this final check on contents, the next step would be drafting the report.

**Table 6: Analysing information from different sources**

Thematic area	Gaps and Priorities Identified		Key Stakeholders	Capital Investment Capacity Potential of Stakeholders	Issues for Urban Consultations
	Profile	Appraisal			
Shelter					
Social Development and Poverty Eradication					
Environmental Management					
Economic Development					
Governance					
International Cooperation					

### **7.3 Key Actors Involved in the Preparation of a Consolidated Urban Diagnosis**

Key actors who should be involved in the preparation of any consolidated urban diagnosis are:

- Municipal Urban Planners
- Municipal Planning Team
- City Profile Team
- Stakeholder representatives

Members of the City Profile Team should be responsible for drafting the report in consultation with stakeholders, and urban planners must facilitate the process. The document is reviewed and finalised by the Municipal Planning Team.

### **7.4 Envisaged Outcome of a Consolidated Urban Diagnosis**

The consolidated urban diagnosis proposes what needs to be done, by whom and why – the justification and rationale behind identified priority areas. The diagnosis should conclude by proposing the priority issues and aspects for discussion in urban consultations.

Some of the expected outcomes to be reflected in the consolidated urban diagnosis are:

- Overview of the issues as viewed by different stakeholders
- Statements justifying importance of the issues and need to intervene
- Priorities for strategy formulation
- Institutional capacity to address these priorities
- Review of past interventions in the priority areas and lessons learned
- Justification of cross-sectoral approach through working groups
- Review of ongoing interventions, drawing lessons from operational experiences and identifying overlaps and complementarities.

### **Box 7: Suggested outline of a consolidated urban diagnosis**

- Introduction
- Thematic areas\*
  - Shelter
  - Social development and eradication of poverty
  - Environmental Management
  - Economic Development
  - Governance
  - International Cooperation
- Priorities
- Constraints and opportunities
- Conclusions and suggested directions for strategic planning
- Annexes

*\* Each thematic area should contain summarised information from Stakeholder Analysis, Urban Situation Profiles, Urban Situation Appraisal and Assessment of Investment Capacity.*

### **7.5 Constraints in the preparation of Consolidated Urban Diagnosis**

Preparation of the consolidated urban diagnosis may be affected by several internal or external factors. These include:

- Insufficient or outdated information and data
- Lack of gender disaggregated data
- Unfavourable institutional conditions for effective stakeholder involvement
- Low potential for mobilising local and other resources
- Low local capacity for monitoring, and capturing and sharing lessons from experiences
- Low level of political will and capacity, and therefore local political ownership, of the process

## 8.0 Some Key Considerations

As the first stage in the urban strategic planning process, the urban situation analysis forms the basis for urban consultations and must focus on engagement with stakeholders from the beginning. Participation of stakeholders may be ensured through identification of their interests, needs and motivations; their influence, i.e., ability to exert specific impact; and their capacities, or abilities to participate in the process in a meaningful way. The process should help enable and empower all groups of citizens to take part in the decision making process on the future of their city or community. The process should be inclusive and take into consideration all social groups and ensure equal conditions for the participation of men and women, various ethnic groups, the able and the disabled, the young and the old. At every stage of the urban situation analysis, special consideration should be given to gender equality in providing and accessing information and the right to participate in public events on an equal footing.

Engagement of civil society in the collection of information and its processing would help the municipality in building mutual trust and making development decisions more transparent. The urban situation analysis phase can help bring civil society on board through groups such as the City Profile Team and the Investment Capacity Team. Such engagement also makes the municipality and its bodies more accountable and responsive to the needs of the community. The output documents such as the Stakeholder Analysis Report, urban situation profile, appraisal, investment capacity assessment report and consolidated urban diagnosis should be clear and communicative in presenting urban development issues to decision makers. They must also reflect the participatory character of the process, by incorporating the views and opinions of the various groups involved in their preparation, and provide an objective and unbiased picture of the situation.

Finally, the consolidated urban diagnosis and all other reports produced as part of the situation analysis must present useful information in a simple and concise manner. They should be clearly structured and written in simple language to present information in a way that facilitates its understanding and the drawing of conclusions. Some elements such as maps, charts, graphs, pictures, tables and other graphical elements could be used to present information in a visual way and thus to allow for easier understanding by the intended audience.

It is important to remember that these documents will be read by a variety of stakeholders and will serve as a starting point for a general public discussion at the city level. Therefore, all documents, especially the consolidated urban diagnosis, should be designed in an attractive style. At the same time, they should retain the logic and data content required to highlight the conclusions.

## Glossary

**Accountability:** Accountability literally means the ability to provide explanation and justification for choices and activities as well as a description of what has happened. The accountability of local authorities to their citizens is a fundamental tenet of good urban governance.

**Action Plan:** An output-oriented, actor-specific document outlining the mechanisms required to achieve the objectives of a specific strategy. The action plan specifies details of inputs and actions by various stakeholders with practical work programmes, time schedules, types and timing of financial and other resource commitments.

**Action Planning:** The process through which strategies are converted into practical programmes or activities for implementation. The key feature throughout the process is the emphasis on full discussion and negotiation among the stakeholders involved.

**Citizenship:** A characteristic of citizens – that they are members of a city or state by virtue of being legally resident in it. As a norm of good urban governance, citizenship implies that all citizens, especially women, must be empowered to participate effectively in decision-making processes (UN-Habitat, 2002).

**City Profiling Team (CPT):** A group consisting of selected representatives of municipal departments and stakeholder representatives who can contribute significantly to data collection and drafting of the Urban Situation Profile, Urban Situation Appraisal and Consolidated Urban Diagnosis.

**Civic Engagement:** One of the principles of good urban governance norms advocated by UN-HABITAT. Civic engagement implies that living together is not a passive exercise – in cities people must actively contribute to the common good (UN-Habitat, 2002).

**Consensus:** Agreement reached through a process of gathering information and viewpoints through discussion. Through negotiation, a position is arrived at which is acceptable to all stakeholders after they have interacted through consultations, working groups and other mechanisms. The goal of the consensus-building process is to reach a decision with which everyone can agree.

**Efficiency:** In economics, the degree of efficiency is the ratio of project output (*or business income*) to project input (*or business expenditures*). Efficiency as advocated by UN-HABITAT good urban governance norms relates to efficiency in the delivery of public services and in promoting local economic development. Cities must be financially sound and cost-effective in their management of revenue sources and expenditures, the administration and delivery of services and, based on comparative advantage, in enabling, government, the private sector and communities to contribute formally or informally to the urban economy.

**Equity:** Impartiality, fairness or justice. Norms of good urban governance refer to equity of access to decision-making processes and the basic necessities of urban life. The sharing of power leads to equity in access to and use of resources. Women and men must participate as equals, in all urban decision-making, priority-setting and resource allocation processes.

**Evaluation:** An evaluation assesses the outcome of a project (for example, changes in housing quality) with the aim of informing the design of future projects. Evaluation is used mainly to help in the selection and design of future projects. An evaluation exercise is a learning activity.

**Gender:** The word “*gender*” refers to the social attributes associated with being male or female. It was coined in the social sciences (*borrowed from grammar – masculine and feminine words*). It focuses on the social perceptions that determine the way men and women are expected to behave, and what opportunities and constraints they face because of their gender.

**Gender Analysis:** A type of analysis of a society that seeks to understand the causal relationships leading to gender inequalities. This is an important foundation for mainstreaming gender in various programmes in a community.

**Gender Disaggregated Data:** The word “*disaggregated*” means that statistics or data are split into sub-categories. These can, for instance, include age, income, ethnicity, language or gender. Gender disaggregated data means statistics that are broken down between men and women, boys and girls, to help highlight the different situations and experiences of people based on gender. Availability of disaggregated data about a population is extremely important for the purposes of planning in a more meaningful way for all segments of the society.

**Gender Equality:** The goal of gender equality refers to equality between men and women, boys and girls in terms of access, opportunities, roles and responsibilities. It is important to remember that gender equality is not just numerical gender balance.

**Gender Mainstreaming:** The process of incorporating a gender-based perspective into all aspects of a programme. This process will differ from programme to programme – there is no set method, the goal is to ensure that all aspects are examined from a gender perspective to promote the final goal of gender equality.

**Investment Capacity Team (ICT):** A group of selected representatives of municipal departments related to finance and budgets (such as Economic Development, Budget and/or Finance, Accounts) along with a few stakeholder representatives (economists, trade and industry representatives, the private sector, etc.) who can contribute significantly to the preparation of the Investment Capacity Assessment Report.

**Initial Urban Consultation:** The first high-profile meeting of all stakeholders involved in the urban strategic planning process. In this event, priority development issues for the city as indicated in the Consolidated Urban Diagnosis are presented and discussed. This event may take 2-3 days.

**Issue-Specific Working Groups/Working Groups:** A small body of stakeholder representatives who come together to address particular issues or topics which are selected for further exploration or the purposes of the Action Planning urban consultation process. The members possess mutually complementing information, expertise, policy and implementation instruments and resources, which they bring together and use within the framework of participatory decision-making process.

**Inclusive City:** A place where everyone, regardless of wealth, age, race, gender, etc. can participate productively in the opportunities that cities have to offer (UN-HABITAT, 2000)

**Indicator:** An Indicator is a measurement of change that indicates progress, or lack of it, in working towards the achievement of an objective (Ministry of Interior, Thailand and GTZ, 2002). Indicators are like signposts, showing the progress of social change.

**Influence:** The concept of “*influence*” implies an ability to modify some action, as in indirect power or indirect control. As an essential characteristic of a stakeholder, influence refers to the impact that a stakeholder can have on resolving the issue.

**Local Resource Mobilisation:** A strategy or scheme showing how local government budgets can be maximised through identification of different sources of required resources. An important aspect of effective local resource mobilisation strategies is the definition of how these resources are to be used in a transparent, equitable and purposeful manner. It is a part of action planning and a key step to ensure final implementation of action plans.

**Local Government Revenue (per capita):** The annual total of local government resources, both capital and current, divided by population (usually taken as a 3-year average). It includes taxes, user charges, transfers, donations and aid.

**Municipal Planning Team (MPT):** A multi-sectoral group that comprises representatives (engineers, architects, planners, sociologists, geologists, accountants, economists, lawyers; etc.) from all departments within the municipality. The MPT is responsible for overseeing and guiding the municipal development process.

**Mission Statement:** A statement that defines the purpose or what (a city) seeks to achieve.

**Monitoring:** This is “*an internal project activity designed to provide constant feedback on the progress of a project, the problems it is facing, and the efficiency with which it is being implemented*”. (Bamberger 1986) This type of assessment is performed while a project is being implemented, with the aim of improving the project design and functioning while in action.

**Ownership:** In a participatory urban decision-making process, ownership implies the right for stakeholders to engage, possess, decide and benefit in decision-making, problem solving and achievements individually or collectively

**Participatory Urban Decision Making:** A process that engages participation of citizens in urban decision making that will facilitate equal involvement of men and women. The involvement of citizens in identifying their needs, selecting priorities and developing alternative courses of action, offers better chances for achieving solutions that are sustainable, feasible and which the citizens are willing to implement.

**Power Dynamics:** The different levels of control over various resources that people have in a community. This is particularly important to consider when comparing the situation of women and men in a society. For example, if a woman is working outside the home and earning an income, questions about power dynamics would ask whether or not she was able to keep or control that income, or if she were forced to hand it over to her husband/father/brother.

**Responsiveness:** The ability of an entity to provide services to suit the requirements of the targeted group.

**Security:** As a norm of good urban governance, it implies safety of individuals and their living environment. Every individual has an inalienable right to life, liberty and personal security. Cities must strive to avoid human conflicts and natural disasters by involving all stakeholders in crime and conflict prevention and disaster preparedness. Security also implies freedom from persecution and forced eviction, and provides for security of tenure.

**Stakeholders:** Individuals, groups or institutions with relative importance, interests, agenda, influence on a particular issue, concern or initiative towards a definite and common goal or purpose.

**Stakeholder Analysis:** A tool for planners to identify and determine whom to engage and involve in the urban strategic planning process. It identifies and defines the individuals, groups, and organisations with legitimate interests that should be represented in respect to specific issues.



**Strategic Priorities:** Prevalent issues, which cut across sectoral concerns and impact the future of the city.

**Strategic Urban Development Plan (SUDP):** A document that presents the objectives, strategic priorities, action plans and projects of the city, as a result of the agreements reached through the participatory process.

**Subsidiarity:** Subsidiarity means that responsibility for the provision and management of any service must be held at the lowest level of authority that can deliver these services in an efficient and cost-effective manner. UPMF advocates that as the level of governance closest to the people, municipalities should be empowered as much as possible to develop and implement strategic and spatial plans. Such empowerment would necessarily include delegation of power and resources to municipalities, along with efforts to build their capacity to engage stakeholders in a meaningful, constructive decision-making process. Subsidiarity is one of the key principles of good urban governance.

**Sustainable Development:** Development that meets the needs of the present generation without compromising the ability of the future generation to meet their own needs (Brundtland Commission, 1987).

**Sustainability:** A fundamental principle of good urban governance, sustainability necessarily involves keeping the consumption of natural resources, material and energy within regeneration and substitution limits; polluting the air, land and water only within limits that can be comfortably tolerated by people, buildings, wildlife and plants. Sustainability implies that cities must balance the social, economic and environmental needs of present and future generations (Also see: Sustainable Development).

**SWOT (Strengths, Weaknesses, Opportunities, Threats):** A strategic analysis tool used to identify Strengths, Weaknesses, Opportunities and Threats faced by a city. Strengths and weaknesses are internal characteristics of any city/situation, while opportunities and threats are external factors that can influence the situation. Carrying out a SWOT analysis helps planners to focus activities in such a way as to build on strengths, maximise opportunities, eliminate weaknesses and reduce the impact of threats.

**Transparency:** Transparency literally means “sharing information and acting in an open manner.” It connotes the conduct of public business in a manner that affords stakeholders wide accessibility to the decision-making process and the ability effectively to influence it. Transparency allows stakeholders to gather information that may be critical to uncovering abuses and defending their interests. Transparent systems have clear procedures for public decision-making and open channels of communication between stakeholders and officials, and make a wide range of information available. Transparency and accountability together form one of the core principles of good urban governance. (UNDP, 1997; UN-HABITAT, 2000)

**Urban consultation process:** A participatory process that aims to arrive at a common understanding of key issues and priorities and agreeing on the course of action to be undertaken before drafting the Strategic Urban Development Plan. It is a process where stakeholders bring together issues and concerns and develop a broad-based consensus on solving their problems. The consultation process is not only a means for effective plan formulation and implementation; it is also an end in itself as it stimulates participation and civic engagement in the city.

**Urban Governance:** The sum of the many ways individuals and institutions, public and private, plan and manage the common affairs of the city. It is a continuing process through which conflicting or diverse interests may be accommodated and cooperative action can be taken.

Governance includes formal institutions as well as informal arrangements and the social capital of citizens. Therefore, it is a broader concept than “government”, which refers only to the formal and legally established bodies in a political structure. (UN-HABITAT, 2000)

**Urban Planning and Management Framework (UPMF):** An inclusive, action-oriented planning approach that advocates the preparation of strategic urban development plans through a broad-based participatory process. The concept of UPMF has been developed by UN-HABITAT during the course of its work in the Balkans. It consists of four phases – Urban Situation Analysis, Sustainable Urban Development Planning, Sustainable Action Planning, and Project Implementation and Management.

**Urban Situation Analysis:** A process that looks into the present situation of the city in terms of its physical, environmental and socio-economic conditions. It is the first phase of the Urban Planning and Management Framework (UPMF). This phase includes a number of steps relating to identification of stakeholders, assessment of the city situation, key problems and capital investment capacities.

**Urban Situation Appraisal:** An approach to analyse and validate the preliminary data collected in an Urban Situation profile (Also see: Urban Situation Profile). UPMF uses SWOT as an effective tool for the Urban Situation profile.

**Urban Situation Profile:** A document that provides an overview of the city in a systematic manner. It includes information and analysis of the existing city situation, carefully organised around thematic areas. An Urban Situation Profile aims to build a shared understanding of issues and to facilitate prioritisation of these issues by the stakeholders, based on objective analysis and up-to-date information.

**Urban Strategic Planning:** A complex and continuous process of planning for city change which is oriented towards the future. It helps to identify and accomplish the most important strategic actions in view of the current situation.

**Vision Statement:** Description of a desired situation in the future. From such a vision, goals and objectives can be generated. A city vision would include social, environmental, economic, organisational and political aspirations of the city and its stakeholders.

**Working Groups (WG):** (See Issue-Specific Stakeholder Working Groups)

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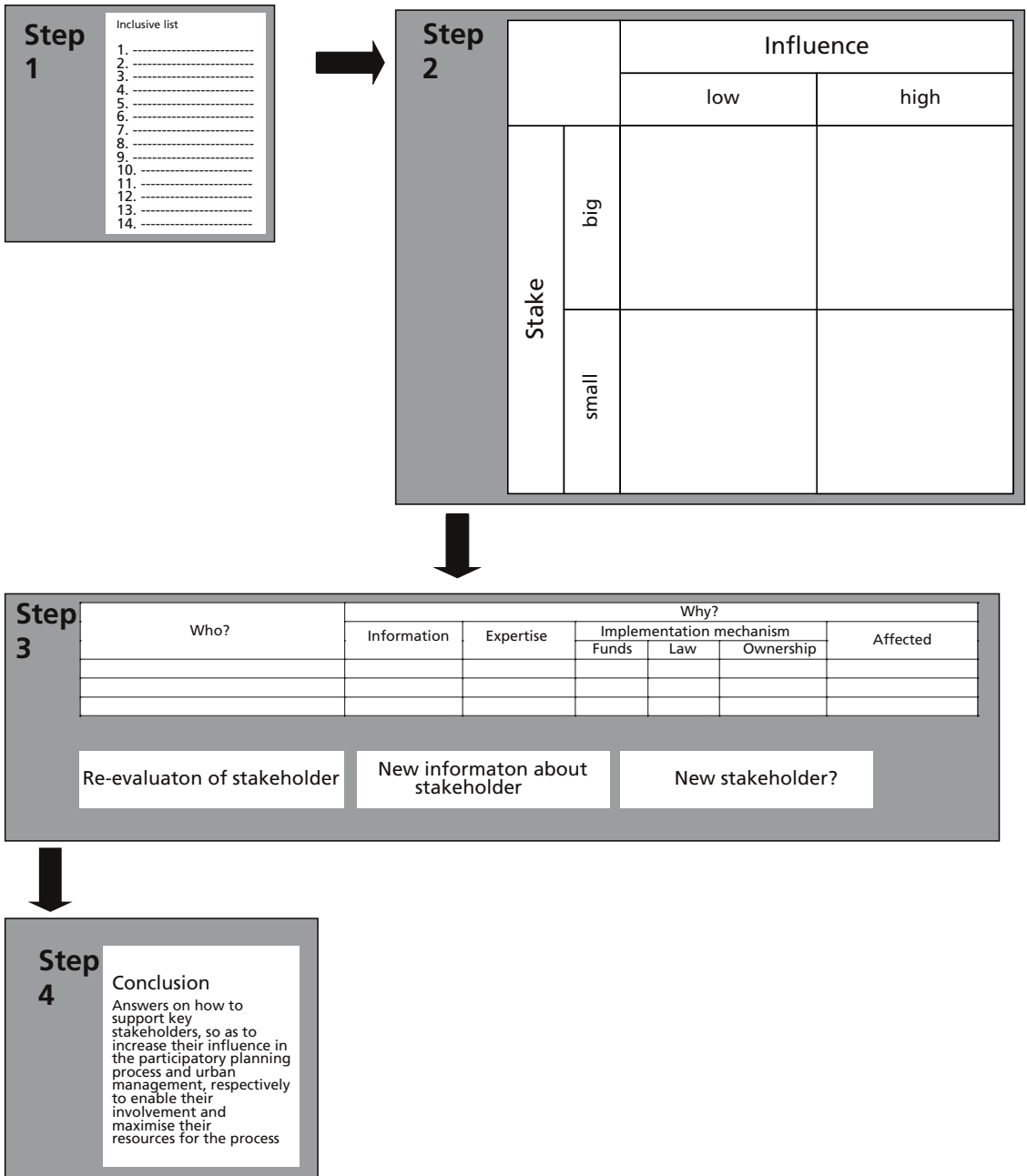
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# Tools

## Tool 1: Stakeholder Analysis Tool

### Tool: 2



Overview of Municipal Revenues

Financial transfers from Central Level							
#	Source	Estimated Amount (annual)	Earmarked			Availability for Capital Investments	Amount Available
			Yes	No	Partially	End of year/ monthly	
1	(CFA)						
2							
3							
4							
5							
TOTAL AVAILABLE FUNDS			Total possible available funds for capital investments				

Funds generated in the Municipality							
	Source	Estimated Amount (annual)	Earmarked			Availability for Capital Investments	Amount Available
			Yes	No	Partially	End of year/ monthly	
1	(Building Permits)						
2							
3							
4							
5							
TOTAL AVAILABLE FUNDS			Total possible available funds for capital investments				

**Tool 3.****Potential Contributors to Urban Development**

Sources (Municipality, companies, local, or international organisations, neighbourhood groups, other public organisations, etc.)

Potential type of contributions (money: donation/credit, in-kind support, human resources, etc.)

Conditions for obtaining resources (preconditions for giving resources, who will manage resources, and disbursement modalities, public recognition, etc.)

Availability (when are resources available, duration before possible disbursement or delivery, procedures, etc.)

Potential Contributors to Urban Development					
#	Source	Type of contribution	Quantity	Conditions	Availability
1	Municipality	Financial Machinery Human Resources	- - -	Project must be within urban plan	Must be budgeted in September, available in February following year
2	Central Authority	Financial	50.000,-	Presentation of proposal	Requested in October, available if approved in February
3	NGO 1	Financial	25.000,-	Presentation of proposal	Approval possible after two weeks
4	NGO 2	Tech. Assistance	?	Formal request, only for promotion of economic development	Approval procedure: 2 months
5	Company 1	Financial	100-200.000,-	If infrastructure improvement benefits the company	1 week after approval by Board of Directors
6	Company 2	Machinery	3 Bulldozers and 5 Trucks	No conditions	Immediate
7	Donor 1	Financial	Up to 250.000	Counterpart contribution of 30%	Request procedure 6 months
8	Donor 2	Financial	Between 50 - 100.000,-	For environmental improvement	Request procedure 12 months
9	Bank 1	Credit	Max 250.000,-	10 years, at 5% per year, 2 year grace.	Procedure 3 months
10	Bank 2	Credit	Max 50.000,-	5 years, 6.5%/year, 50 of total investment from own resources	Procedure 1 month
11	Neighbourhood 1	Human Resources Machinery	? 5 Cement mixers		Immediate, but best in July/August
12	Neighbourhood 2	Land Bodegas, storage	3 hectares 500 m2	Approval by Neighbourhood committee	Immediate

**Tool 4.**

Small Scale Survey to identify interest and capacity to contribute to urban capital investments  
Questionnaire (example)

**Who do you represent? ( names are optional in this section)**

A company: (name/type)\_\_\_\_\_

An Organisation: (name/type)\_\_\_\_\_

A Neighbourhood (location)\_\_\_\_\_

Yourself (name)\_\_\_\_\_

**Do you or your organisation/company/neighbourhood have an interest in participating in future capital investments in the city?**

Yes

No

**Have you or your organisation/company/neighbourhood contributed before to urban capital investments**

No

Yes (if yes can you explain with what type of resources?)

Money (how much?) \_\_\_\_\_

Machinery (what) \_\_\_\_\_

Land (how much) \_\_\_\_\_

Human Resources \_\_\_\_\_

Other \_\_\_\_\_

**If it is necessary, do you believe that you or your organisation/company/ neighbourhood may be interested in and in conditions to contribute towards improvement of the city?**

No

Yes (if yes, can you explain with what type of resources?)

Money (how much?) \_\_\_\_\_

Machinery (what) \_\_\_\_\_

Land (how much) \_\_\_\_\_

Human Resources \_\_\_\_\_

Other \_\_\_\_\_

**f you have answered “yes” to question 4, can you then suggest which area you may be interested in contributing to:**

Shelter,  
Social development and Eradication of Poverty,  
Environmental Development,  
Economic Development,  
Governance and  
International Cooperation.  
Other: \_\_\_\_\_

**If you have answered, “yes” to question 4, can you then explain under which conditions you would be interested and willing to contribute towards improvement of the city? (provide as many answers as relevant)**

I have no preconditions  
Only if Municipality covers the largest part of the costs  
Only if the investment is in my neighbourhood  
Only if my/our contribution gets public recognition  
Only if other organisation/company/neighbourhood(s) also contribute(s)  
Only if I get some direct short term economic benefit  
Only if I can foresee some direct long term economic benefit  
Only if (explain):

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### Tool 5

Human Resources or other in-kind support from Neighbourhood groups

a) Record of Human Resource Contribution				
#	Date	Name	Duration (In hours)	Activity*
1	22/3	Mr C	2	M
2	22/3	Ms P	2	M
3	25/3	Mr J	6	TA
4	25/3	University Students	4	L
5	25/3	Company K	3	O
6				
7				
Total Hours			17	
Value of contribution (total hours x 2 €)			€ 34,-	

\* Activity can include: Meeting (M), Technical Assistance (TA), Labor (L), Other (O)

B) Record of In-Kind Contribution					
#	Date	Name	Description	Estimated value in €	Type*
1	25/3	Mr X	Food for 12 workers	20	F
2	25/3	Ms Z	Lemonade for 12 workers	6	F
3	30/3	Mr G	Computer time (2 h) for project drawings	10	M
4	30/3	Ms Y	Concrete mixer (6 h)	30	M
5	3/4	Mr K	100m2 for new building at €50/m2	5000	L
6					
7					
Value of contribution (total hours x 2 €)				€ 5066,-	

\* Type can include: Food (F), Machinery (Ma), Materials (Mt), Land (L), Other (O)

## Tool 6: Urban Indicators Disaggregated by Gender

### Chapter 1: Shelter

Indicators	Case*	Totals		Sector 1		Sector 2		Sector 3	
		Male	Female	Male	Female	Male	Female	Male	Female
<b>1. Tenure Types</b>									
Formal Ownership									
Rental									
Squatters									
Other									
<b>2. Evictions</b>									
Number of households evicted 2000-2002									
<b>3. House price and rent to income ratio</b>									
House price to income ratio									
Rent to income ratio									
<b>4. Land price to income ratio</b>									
Median price/m2 of highly developed land									
Median price/m2 of developed land									
Median price/m2 of raw land									
Median household income per month									
Land price to income ratio - highly developed land									
Land price to income ratio - developed land									
Land price to income ratio - raw land									
<b>5. Mortgage and non-mortgage</b>									
% of dwellings purchased during the last year covered by mortgage loans									
% of dwellings purchased during the last year covered by non-mortgage loans									
<b>6. Access to water</b>									
Households with access to water within 200 meters									
<b>7. Household connections</b>									
Water connections									
Sewerage connection									
Electricity connection									
Telephone connection									

Water (informal)									
Qualitative Data	Case*	Totals		Sector 1		Sector 2		Sector 3	
		Male	Female	Male	Female	Male	Female	Male	Female
<b>1. Housing Rights</b>									
Constitution or national law promotes right to housing									
Constitution protects against eviction									
Impediments to women owning land									
Impediments to women owning land									
Impediments to women taking mortgages in their own home									

## Chapter 2: Social Development and Eradication of Poverty

Indicators	Case*	Totals		Sector 1		Sector 2		Sector 3	
		Male	Female	Male	Female	Male	Female	Male	Female
<b>8. Under five mortality</b>									
Under five mortality (female)									
Under five mortality (male)									
Under five mortality (total)									
<b>9. Reported crime rates</b>									
Victims of homicide per 1,000 inhabitants									
Victims of rape per 1,000 inhabitants									
Victims of thefts per 1,000 inhabitants									
<b>10. Poor households</b>									
% of households below poverty line									
% of women-headed households below poverty line									
<b>11. Female-Male Differences</b>									
Primary school enrolment ratio (girls)									
Primary school enrolment ratio (boys)									
Secondary school enrolment ratio (girls)									
Secondary school enrolment ratio (boys)									

Higher education enrolment ratio (girls)									
Higher education enrolment ratio (boys)									
Adult literacy rate (female)									
Adult literacy rate (male)									
Adult literacy rate (total)									
Under 5 mortality (girls)									
Under 5 mortality (boys)									
Under 5 mortality (total)									
Number of Municipal Assembly members (female)									
Number of Assembly members (male)									

Qualitative Data	Case*	Totals		Sector 1		Sector 2		Sector 3	
		Male	Female	Male	Female	Male	Female	Male	Female
<b>2. Urban Violence</b>									
Areas considered dangerous or inaccessible to the police									
Violence in schools									
Official policy against domestic violence									
Crime prevention policy									
Weapon control policy									

### Chapter 3: Environmental Management

Indicators	Case*	Totals		Sector 1		Sector 2		Sector 3	
		Male	Female	Male	Female	Male	Female	Male	Female
<b>12. Urban Population growth 1999 – 2002</b>									
Population growth (male)									
Population growth (female)									
Population growth (total)									
<b>13. Water Consumption</b>									
Litres per day per person in formal neighbourhoods									
Litres per person per day in informal neighbourhoods									
<b>14. Price of Water</b>									
Median price per m3									
<b>15. Air Pollution *</b>									
* See below									
<b>16. Wastewater Treated</b>									
Proportion of wastewater treated									
<b>17. Solid Waste Disposal</b>									
Sanitary landfill									
Incinerated									
Open dump									
Recycled									
Burned directly									
Other									
Total									
<b>18. Travel Time</b>									
Average travel time per work trip									
<b>19. Transport Modes</b>									
Private vehicle									
Train									
Bus or minibus									
Bicycle, walking, other									

Qualitative Data	Case*	Totals		Sector 1		Sector 2		Sector 3	
		Male	Female	Male	Female	Male	Female	Male	Female
<b>3. Disaster Prevention and Mitigation Instruments</b>									
Building code based on hazard and vulnerability assessments									
Hazard or vulnerability mapping									
Disaster insurance for public and private buildings									
<b>4. Local Environmental Plans</b>									
Existence of local environmental plans									
Local environmental plans institutionalised									
Local environmental plans implemented									

#### Chapter 4: Economic Development

Indicators	Case*	Totals		Sector 1		Sector 2		Sector 3	
		Male	Female	Male	Female	Male	Female	Male	Female
<b>20. Informal Employment</b>									
% of female population employed in the informal sector									
% of male population employed in the informal sector									
% of total population employed in the informal sector									
<b>21. City Product</b>									
City product per capita									
Gross National Product per capita									
<b>22. Unemployment</b>									
Unemployment (male)									
Unemployment (female)									
Unemployment (total)									

Qualitative Data	Case*	Totals		Sector 1		Sector 2		Sector 3	
		Male	Female	Male	Female	Male	Female	Male	Female
<b>5. Public-Private Partnerships</b>									
Public-private partnerships established during the last two years									
If yes, how many enterprises are involved									

## Chapter 5: Governance

Indicators	Case*	Totals		Sector 1		Sector 2		Sector 3	
		Male	Female	Male	Female	Male	Female	Male	Female
<b>23. Local Government Revenue</b>									
Local Government revenue per capita									
Local Government expenditures per capita									
Revenue less expenditures									

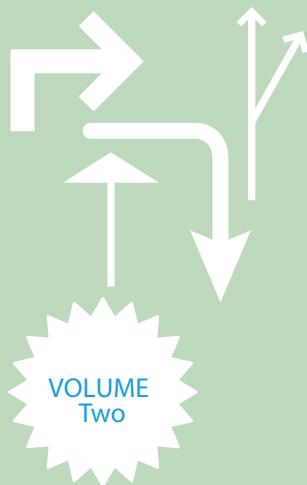
Qualitative Data	Case*	Totals		Sector 1		Sector 2		Sector 3	
		Male	Female	Male	Female	Male	Female	Male	Female
<b>6. Level of Decentralisation</b>									
Central Government can close down local government									
Central Government can remove municipal assembly members									
Local government can set local tax rates									
Local government can set local user charges for services									
Local government can borrow funds									
Local governments can choose contractors for projects									
Fund transfers from central level known in advance									

7. Citizen Involvement in Major Planning Decisions									
Civil society is involved in major road and highway proposals									
Civil society involved in changes in zoning									
Civil society involved in major public projects									
8. Transparency and Accountability									
Regular independent audit of municipal accounts									
Contracts and tenders made public									
Sanctions against civil servant misconduct									
Laws on disclosure of potential conflicts of interest									

Indicator 15: Air pollution

Pollutant	Average Time	WHO Guidelines	City under review
Sulphur Dioxide (SO <sub>2</sub> )	24 hours	125 µg/m <sup>3</sup>	
Nitrogen Dioxide (NO <sub>2</sub> )	1 year 1 hour	40 µg/m <sup>3</sup> 200 µg/m <sup>3</sup>	
Ozone (O <sub>3</sub> )	8 hours	120 µg/m <sup>3</sup>	
Carbon Monoxide (CO)	8 hours	120 µg/m <sup>3</sup>	
Lead (Pb)	1 year	0,5µg/m <sup>3</sup>	





**INCLUSIVE AND SUSTAINABLE  
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