Sustainable Cities Programme (SCP)

Measuring progress in improving urban management decision-making processes

Participatory Decision-Making Indicators

The SCP Source Book Series, Volume 9

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Participatory Decision-Making Indicators

This document is the result of the work of a UN-HABITAT interdivisional team. It brings together operational experience from almost all UN-HABITAT programmes.

About The SCP Source Book Series

The SCP Source Book Series provides detailed operational guidance for the benefit of people implementing city-level projects within the Sustainable Cities Programme. Each volume in the Series covers either an important part of the SCP process or an important topic which is central to urban environmental planning and management. The volumes currently being produced (2002) include the following:

Volume 1: Preparing the SCP Environmental Profile
Volume 2: Organizing, Conducting and Reporting an SCP City Consultation
Volume 3: Establishing and Supporting the Working Group Process
Volume 4: Formulating Issue-Specific Strategies and Action Plans
Volume 5: Institutionalizing the EPM Process
Volume 6: Urban Air Quality Management Handbook
Volume 7: Building Environmental Management Information Systems
Volume 8: Integrating Gender Responsiveness in EPM
Volume 9: Measuring Progress in EPM

The emphasis in this Series is on **relevance** and **realism -** These volumes are the *product of experience* – field-level experience gained over the past eight years in SCP city projects around the world. Precisely because it is drawn from the lessons of experience in so many different cities, the information contained in these volumes is not city-specific but can readily be adapted and applied to the tasks of urban environmental planning and management (EPM) in virtually any city context.

The Sustainable Cities Programme (SCP) is a global programme of the United Nations Human Settlements Programme (UN-HABITAT) and the United Nations Environment Programme (UNEP). It is one of the leading technical cooperation programmes in the field of urban environmental planning and management and is the principal activity of the United Nations system for operationalizing sustainable urban development and thus contributing to the implementation of *the* globally-agreed *Agenda 21* and *Habitat Agenda*. The SCP is currently actively involved in the following places:

Africa: Accra (Ghana), Dakar and Louga (Senegal), Dar es Salaam and secondary cities (Tanzania), Ibadan (Nigeria), Lusaka (Zambia), Maputo (Mozambique), Moshi (Tanzania), Nampula (Mozambique), Zanzibar (Tanzania).
Asia: Colombo (Sri Lanka), Chennai (India), Cagayan de Oro, Tagbilaran, and Lipa (Philippines), Shenyang (China), Wuhan (China).
Arab States: Ismailia (Egypt), Tunis (Tunisia), Essaouira (Morocco).
Latin America: Concepcion (Chile), Bayamo (Cuba).
Central & Eastern Europe: Katowice (Poland), Moscow (Russia), Vyborg, Kirishi and Pskov(Russia).

User's Guide

This document is divided into three parts, each of which has a different purpose and a different content.

Part A
Introduction and Overview

This describes briefly the SCP Measuring Progress Tool, explaining its role and purpose in the SCP process, and how it is prepared and used. This is a general overview which should be read by *everyone* concerned with the SCP project, including policy-makers and political leaders.

Part B
The Guide

It gives a step-by-step explanation of how to monitor progress in the SCP. The explanation is detailed and systematic, aimed at the professionals and practitioners who will actually be monitoring progress. Illustration is also given, in summary form, to show how things were done in an imaginary city, Z-City. Part B is thus intended as a reference guidebook which the SCP project staff and partners can consult over and over again as they monitor progress for their own city.

Part C
The Tool

Provides the framework for organizing your monitoring data. Each indicator and sub-indicator is defined. Criteria for rating are proposed. Charts are also provided to visualise progress between reporting years. Excel tables reflected in the tool are provided separately on diskette so that the indicators can be readily applied in your city.

To get the best out of this Source Book, however, users need to have a good understanding of the overall SCP approach. It is therefore strongly advised that users familiarise themselves with the appropriate SCP documents and information.

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The SCP Source Book Series, Volume 9
Measuring Progress on Improving Urban Management Decision-Making Processes

Part A

Introduction and Overview

A1 The SCP Process

The Sustainable Cities Programme (SCP) is a worldwide technical cooperation activity of the United Nations. It works at city level in collaboration with local partners to strengthen their capabilities for environmental planning and management (EPM). Each city-level SCP project is adapted to the particular needs, priorities, and circumstances of that city; nonetheless, all SCP city projects follow the same general approach and all are implemented through the same series of activities known as the SCP Process.

The SCP recognizes that cities play a vital role in social and economic development in all countries. Efficient and productive cities are essential for national economic growth and, equally, strong urban economies are essential for generating the resources needed for public and private investments in infrastructure, education and health, improved living conditions, and poverty alleviation.

Unfortunately, the development potential of cities is all too often crippled by environmental deterioration. Aside from its obvious effects on human health and well-being (especially of the poor), environmental degradation directly holds back economic development. For development achievements to be truly "sustainable", cities must find better ways of balancing the needs and pressures of urban growth and development with the opportunities and constraints of the urban environment.

Environmental deterioration, however, is not inevitable. Although many, perhaps even most, cities are still suffering severe environmental and economic damage, there are encouraging signs. Some cities are learning how to better plan and more effectively manage the process of urban development, avoiding or alleviating environmental problems while realizing the positive potentials of city growth and change. The SCP aims to support cities in finding – and managing – development paths which are more effectively fitted to their environmental opportunities and constraints.

Reflecting this background, and reflecting the special characteristics of the Sustainable Cities Programme, there is a *common approach* which is shared by all SCP cities and which holds true across the full, wide range of partner cities:
- central focus on development-environment interactions
- broad-based participation by public, private and community sector groups
- concern for inter-sectoral and inter-organizational aspects
- reliance on bottom-up and demand-led responses
- focus on process: problem-solving and getting things done
- emphasis on local capacity-building.

Similarly, there is a shared *SCP Process* which provides a general framework for city-level project implementation – a framework, moreover, which has been tested, revised, improved and evolved through experience in more than 20 different cities since 1991. The process consists of a sequence of activities which are logically and practically connected, together with a number of specific outputs which are important for the progress of the project. The key point is that by following the SCP Process, the work of implementing an SCP city project will build an effective process of environmental planning and management which is integrated into local society and government.

Naturally, the way in which the SCP process works out *in detail* will be different from one city to another. But the *general* pattern has proved to be useful and effective in cities all across the world. Broadly speaking, there are three general "phases" in the process of SCP project implementation.

The **First Phase** (*Assessment and Start-Up*) is a 6 to 9 month initial period which normally includes the following main activities:
- identification and mobilisation of project participants and partners
- familiarisation of project partners with the core EPM concepts and SCP approaches
- preparation of the Environmental Profile and initial identification of priority environmental issues. (Volume 1 of this SCP Source Book Series – *Preparing the SCP Environmental Profile* – provides detailed guidance.)
- review of available resources, tools, and information and initial design of geographic information systems (GIS) and environmental management information systems (EMIS) specifically adapted to the city's needs. (Volume 7 of this SCP Source Book Series – *Building Environmental Management Information Systems* – provides detailed guidance.)
- working out the organizational structure, work plan, and operational procedures for the project
- organizing and holding the City Consultation
- establishing the Issue-Specific Working Groups.

The City Consultation is a major event which brings together the work of Phase One, consolidates social and political participation and support, and launches the SCP project into Phase Two. (Volume 2 of this SCP Source Book Series – *Organising and Running the City Consultation* – provides detailed guidance.)

The project's **Second Phase** (*Strategy & Action Planning*) is a 15 to 24-month period of intensive analysis, discussion, and negotiation within the Issue-Specific Working Groups. The number, focus, and membership of these Working Groups will change and evolve as the project proceeds, but they will remain the principal feature of the SCP Project. (See Volume 3 – *Establishing and Supporting the Working Group Process*.) During this period, each of the agreed priority issues will be further elaborated and developed, to reach a consensus on

appropriate strategies for that issue. The strategies will then be developed into action plans which can be agreed by the organizations and groups involved in implementation. (See Volume 4 – *Formulating Issue-Specific Strategies and Action Plans.*)

It is likely that small-scale "demonstration" projects will be undertaken to test the approaches developed and to show what can be done through the SCP process. In addition, some of the first action plans will produce investment and/or technical assistance proposals which will be developed into properly-formulated and "bankable" proposals. All of these Phase Two activities of the Working Groups will be gradual, pragmatic and cooperative, reflecting the real-world conditions for strategy formulation and implementation. Finally, also during this Second Phase, the main project activities aimed at institutional capacity-building and human resource development will be carried out.

The **Third Phase** of work (*Follow-up & Consolidation*) is an open-ended follow-up and implementation period, which begins towards the end of Phase Two and carries on for an extended time afterwards. The strategies and action plans coming out of the Working Groups will be further elaborated, especially in order to build toward an over-all city-wide environmental management and urban development strategy. Investment proposals will be worked out in details, subjected to rigorous analysis, and pursued vigorously with funding sources. The task of institutionalising the environmental planning and management (EPM) process, initiated during Phase Two, will be undertaken in earnest (see Volume 5 – *Institutionalising the EPM Process*). One of the institutionalisation measures is the setting-up of a monitoring system (this tool provides detailed guidance on this activity). In addition, the remaining training and institutional development activities will be implemented. Finally, there will be regional and/or national workshops and meetings, to explore ways of extending SCP activities into other cities, building upon the experience gained in the project.

A2 An Innovative Approach to Monitoring City Performance

Measuring progress on improving urban management decision-making processes

Decision-making is usually based on a series of qualitative and quantitative data related to physical conditions and trends. Cities invest a great deal of time and resources in the collection of information to produce such assessments. However, very little is known about how decisions are made and the processes that lead to them.

The aim of this document is to introduce a simple methodology for the assessment and monitoring over time of improvements in decision-making processes.

Basic assumptions on good decision-making processes

Lessons learnt from successful decision-making in cities imply that, in order to stand a good chance of success, decision-making processes have to be participatory. This has been recognized by the international community in conferences such as the Earth Summit in Rio de Janeiro and the Habitat II Conference in Istanbul.

City experiences show that participation enhances:
- **Transparency** because information, priorities, strategies, actions are open to all stakeholders in the city;
- **Accountability** because by sharing in decisions, partners are accountable to each other *vis-à-vis* the tasks they have committed themselves to;
- **Equity** because the groups which are usually excluded from the decision-making process have the opportunity to present their concerns and defend their interests;
- **Efficiency,** because information is shared and decisions are taken in common, thus avoiding overlap and duplication of efforts. Actions are complementary and mutually supportive.

Ultimately, participation in decision-making guarantees **sustainable implementation**. It allows the mobilisation of local resources, divergent interests are reconciled and consensus among all stakeholders is secured on how to tackle priority issues. Taking all these reasons into account, it is clear that participation is a key element of **good governance**.

The benefits of measuring progress in participatory decision-making

Knowing how decision-making processes are working:
- Ensures that the **right people** are involved, by assessing who is participating, in which activities and what their concerns and contributions are. It also allows the assessment of their level of participation and its evolution over time.

- Identifies and **addresses weaknesses** in the decision-making process. It allows urban managers to assess which activities are being poorly conducted. Thus they can take corrective action.
- Provides **early warning** on the outcome of the process. Most urban managers cannot wait 10 years to see if the outcome of the process is successful. Monitoring the process allows them to estimate the likelihood that it will be successful.
- Allows the documentation of progress in participatory processes, which support the **mobilisation of resources and attracts investments**. It makes the process more credible by showing those who have the means to do something that their interests and concerns will be taken into account and that their resources will be applied in a highly efficient environment.

The SCP Source Book Series, Volume 9
Measuring Progress on Improving Urban Decision-Making Processes

Part B

The Guide
Part B of this Source Book describes the procedures to be followed in measuring progress on improving urban management decision-making in an SCP city.
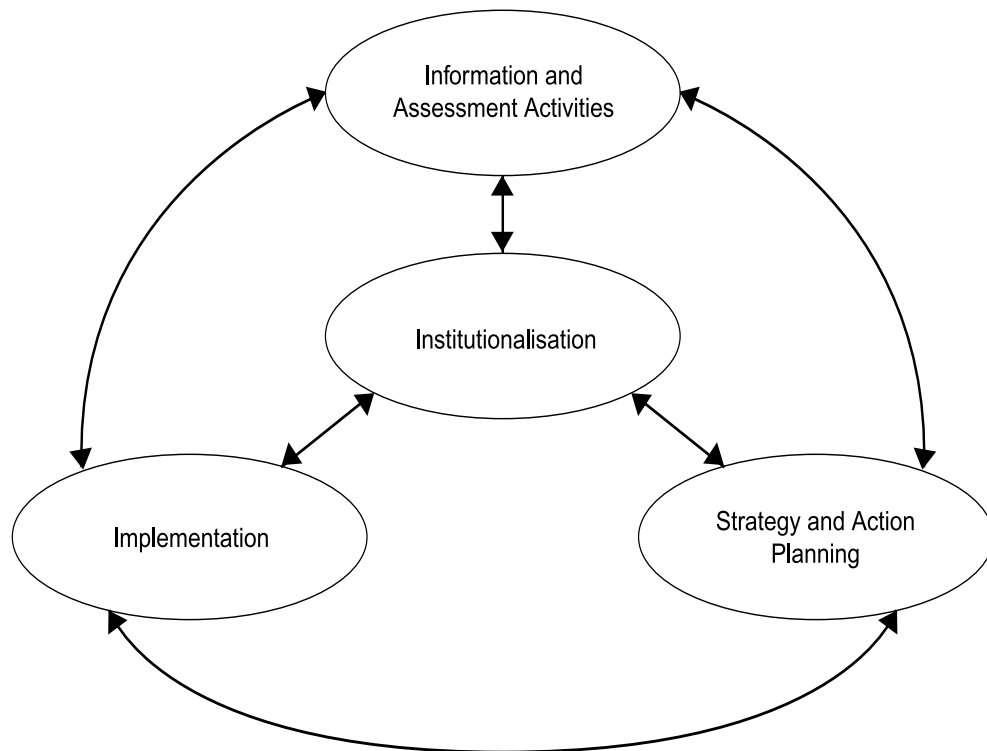
B1   The Decision-Making Process

B1-1 A Simple Process

The decision-making process can be summarised as "three-plus-one" activities:

- **Assessment and information activities:** the situation is assessed continuously and relevant information gathered on an ongoing basis.
- **Strategy and action planning:** strategies and action plans are drawn up jointly and agreed upon by all stakeholders.
- **Implementation:** strategies and action plans are implemented.
- **Institutionalisation:** throughout the process, participatory capacities are built and arrangements for a sustainable decision-making process institutionalised.

The participatory decision-making process could be described through the following graph of activities:

B1-2 The Ingredients for Successful Decision-making

We have introduced the "three-plus-one" decision-making process, but which are the most relevant sub-activities to be assessed for good decision-making?

- Good information and assessment means gathering and analysing the most relevant information from every source on a continuous basis. This information allows clear and coherent priority issues to be identified whenever they pop up, in consultation with all the information providers and stakeholders concerned.

- Priority issues should be addressed though strategy and action planning. Resources available among stakeholders have to be identified and mobilised. All stakeholders concerned should agree upon realistic strategies and action plans based on available resources.
- Strategy and action planning should lead naturally to implementation. However, this can happen only if the implementation capacities of the stakeholders involved are fully committed and the tasks ahead of them clearly defined.

If such a decision-making process is to be improved and consolidated on a continuing basis, it is crucial that good practices are institutionalised:

- Institutionalisation requires the building of strong participation capacities among stakeholders. Cooperation among stakeholder groups should be strengthened through improved linkages between the groups.

B2 Defining Participatory Decision-making Indicators

The indicators have been designed to assess participation in the decision-making process. To measure the level of participation, the best approach is to examine the roles of the various stakeholders in each of the process activities. The roles of stakeholders can be:

- direct and substantive (contributing information, ideas and financial resources and deploying implementation instruments and capacities)
- supportive and technical (research, information analysis and technical advice), and promotional (lobbying, advocating and campaigning)

Contrary to many other indicator approaches, these decision-making indicators are not meant to be used for the international comparison of city performance. Decision-making indicators are only meant to be a tool for monitoring progress over time. Evolution is more important than absolute results. Comparison between cities or projects can only be made on the progress, not on the ratings given by the community of stakeholders.

B3 Applying Participatory Decision-making Indicators

B3-1 Reporting level and reference years

The decision-making indicators can be applied:

- at city level – looking at progress regarding the overall management of the city;
- at neighbourhood level – looking at progress in a given neighbourhood;
- on a specific urban issue – which may be addressed by a specific project.

Indicators can be applied on a yearly basis. In the example and the tables provided in this tool, progress is measured over a five-year period.

B3-2 How should data be collected?

Participatory decision-making indicators are not based on statistics or raw data. They are based on a rating, given *by* the stakeholder groups themselves. Rating scales are provided for each indicator. The ratings range from 0 (totally negative appraisal) to 3 (totally positive appraisal).

Each stakeholder group should rate its own performance according to the proposed scale. It is important to rate performance for both reference years so that progress can be assessed. The rating process should be **participatory**, and the final rating must be a consensus. Consistency and consensus are as important as objectivity. However, in order to be as accurate as possible, it is desirable that as many stakeholders as possible in the same group decide collectively on the scores to be given. The more sub-indicators the city monitors, the better. However, if one indicator is locally problematic, it can be decided through consensus not to deal with it.

At the city level a local committee should be set up and composed of local stakeholder group representatives. Typically, the following **groups of actors** should be represented:
- National Government (Representatives of Ministries, government agencies, etc.)
- Local authorities (Municipal departments, Municipal WaterBoard, etc.)
- NGO's (Environmental movements, poverty alleviation associations, etc.)
- CBO's (Women's groups, residents associations, etc.)
- Private sector (Private companies, Chamber of Commerce, etc.)
- Academic and scientific community (Universities, training institutions, etc.)
- Others

This local committee will gather the data, settle any possible disagreements, reach a consensus and complete the definitive Reporting Forms.

Description of the reporting sheets and index
- There are 4 indicators (one for each activity of the decision-making process). As the different activities are divided into 3 sub-activities, each indicator is composed of 3 sub-indicators.
- For each indicator, a reporting sheet is provided. Each sheet contains 2 reporting tables, one for 1995 and one for 2000, and details of how stakeholders should rate each sub-activity.
- Each indicator has a result representing an average of all stakeholders' ratings. A bar chart presents the progress made between 1995 and 2000. This is shown first according to the stakeholders and second according to the sub-activity.
- Finally, a web-graph summarises the results in an index. Boxes are provided for adding a narrative commenting on the results.

B4   The Example of Z-City

B4-1 The process of applying indicators in Z-City

Z-City is strongly committed to improving urban management decision-making process. The city not only wants to report on physical urban conditions and trends, but also on how the urban management and decision-making processes have improved over the last five years. Local partners and especially the municipality are interested in checking if the participatory approaches to decision-making have improved.

The city is committed to a long-term project for the improvement of partnerships. Its partners are in a variety of sectors in the metropolitan area (private sector, community sector, other levels of the public sector). Over the last 8 years, the management approach has changed dramatically to become more broad-based and participatory. However, as tangible effects are not yet perceptible, the city is willing to assess these "management reforms", and their potential results. Decision-makers from all sectors involved in the reforms are asking themselves questions such as:
- Did we follow the right process for decision-making? Did we enhance participation throughout the process? What is the progress so far?
- Were the various activities of the process conducted adequately? Which activities are weak?
- Did we involve the relevant stakeholders, and do they provide expertise, information, and resources as much as they can? Did we secure strong commitment for implementation from a wide range of stakeholders?
- Did we manage to build strong consensus on priorities to be addressed and on strategies to be implemented?

A committee made up of representatives from all the stakeholder groups involved in Z-City urban management is created. During an introductory meeting, the purpose of the exercise is explained. Assessment criteria are refined to fit local circumstances.

Sub-meetings are organized for each stakeholder group. During these sub-meetings, stakeholder participation in the various stages of the decision-making process and its institutionalisation is discussed. Ratings are decided through consensus. The ratings are reported to the committee, which fills the 4 reporting sheets accordingly and agrees on explanatory text to be presented with the results.

The results of the exercise are made public by being posted in the City Hall. Furthermore, they are presented in the municipal bulletin and the Z-City brochure. Local media use the results to make analyses of the improvement of participation in municipal management and decision-making. Lessons learned are used to correct and improve the decision-making process where necessary.

B4-2 Analysis of the results in Z-City

Analysis of a specific group of actors (example of academic and scientific community)

During the assessment activities in 1995, the university, which maintains an extremely relevant Geographic Information System (GIS), was not involved. The university, which became involved only in 1998, decides to give the 1995 indicator 1(a) "*Variety of Sources of Information*" a rating of 0. However, from 1998, the GIS has contributed fully to assessment and information collection and the university decides to rate the indicator 1(a) for the year 2000 as (3). The involvement of the university was of great influence, because up until 1998 the city was unable to spatially organize the information collected or to produce substantive maps to support decisions.

### Analysis of a specific group of actors (example of National Government)

Due to general elections in the country in 1999, national government has changed. This has also brought changes in representation of ministries at the regional level. Representatives of the ministries have not yet been briefed on the initiatives undertaken by Z-City and are not fully involved in Z-City planning and management activities. An effort will be required to brief and re-mobilise this group of actors.

Analysis of a sub indicator (example of Consensus on priorities)

Some stakeholders gave a poor rating to indicator 1.b "*Consensus on priorities*" for 1995, because they did not feel concerned by the priorities chosen. However, for 2000 the same stakeholders generally give this sub-indicator quite a high rating. This is due to the shift in priorities on the part of the municipality and reflects the tremendous widening of the information base since 1995 which has meant that the priority concerns of stakeholders are now identified much more effectively.

Analysis of the Index

Looking at the web graph a number of points are very clear. For example, information activities were already quite well performed in 1995. These activities have improved slightly, due to the fact that the priorities being tackled correspond better to stakeholders' concerns. It appears that important progress has been made regarding the institutionalisation of the process. The organization of capacity building activities has been of benefit to the whole process. Specifically, stakeholders' capacity to participate in consensus building around strategies has improved tremendously. This is reflected in very good progress in Strategy and Action Planning. Despite this, implementation activities are still weak. This is due to the fact that stakeholders' mentality has not yet fully changed and some of them are still reluctant to commit their resources for implementation.

Participatory decision-making Index
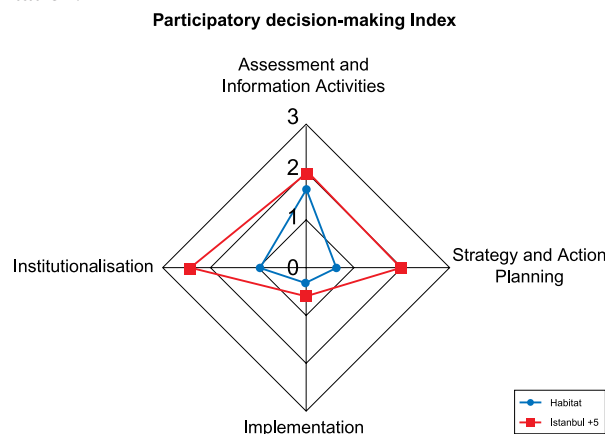
REPORTING SHEET: Please fill coloured cells   **Z-CITY EXAMPLE**

Indicator 1: Information and assessment activities

1995

Information and assessment activities				
Actors	a) variety of sources of information	b) consensus on priorities		**Total by actor**
1 National Government	2	3		2.50
2 Local authorities	3	3		3.00
3 NGO s	1	1		1.00
4 CBO s	2	0		1.00
5 Private sector	1	2		1.50
6 Academics and scientists	0	1		0.50
7 Other	1	1		1.00
Total	1.43	1.57		**1.50**

Information and assessment activities
Within the stakeholder group:
(0)   no information is provided
(1)   few actors provide little information
(2)   some actors provide relevant information
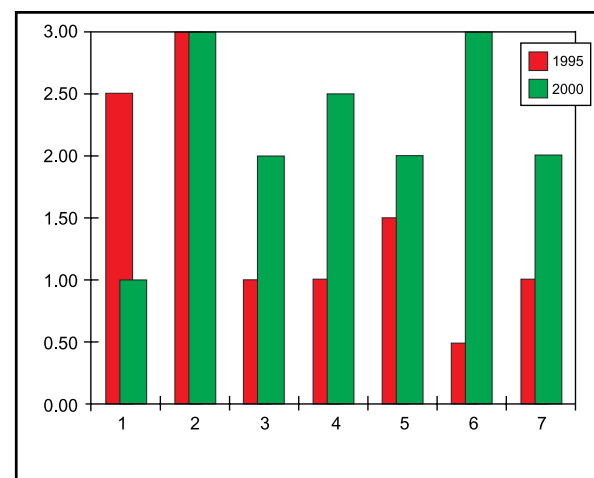(3)   a lot of relevant information is provided by many actors

2000

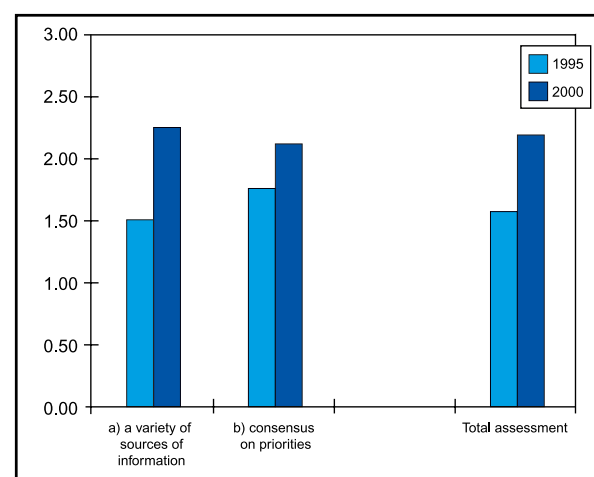| Information and assessment activities				
Actors	a) variety of sources of information	b) consensus on priorities		**Total by actor**
1 National Government	1	1		1.00
2 Local authorities	3	3		3.00
3 NGO's	2	2		2.00
4 CBO's	3	2		2.50
5 Private sector	2	2		2.00
6 Academics and scientists	3	3		3.00
7 Other	2	2		2.00
Total	2.29	2.14		**2.21**

Consensus on priorities
Within the stakeholder group:
(0)   for all the actors the priorities are not important
(1)   for a few actors the priorities are quite important
(2)   for some actors the priorities are very important
(3)   for all actors the priorities are very important

Results: Based on your inputs above

Progress by stakeholders			
Actors	1995	2000	Progress
1 National Government	2.50	1.00	-1.50
2 Local authorities	3.00	3.00	0.00
3 NGO s	1.00	2.00	1.00
4 CBO s	1.00	2.50	1.50
5 Private sector	1.50	2.00	0.50
6 Academics and scientists	0.50	3.00	2.50
7 Other	1.00	2.00	1.00
Total assessment	1.50	2.21	**0.71**

Progress by activities				
Actors	a) variety of sources of information	b) consensus on priorities		**Total assessment**
1995	1.43	1.57	0.00	1.50
2000	2.29	2.14	0.00	2.21
PROGRESS	0.86	0.43	0.00	**0.71**

The SCP Source Book Series, Volume 9
**Measuring Progress on Improving Urban
Environmental Planning Management
(EPM) Decision-Making Processes**

Part C

The Tool

Subsidiary Table of Contents for Part C

C1 Information and Assessmeng Activities
DEFINITION
Indicator 1: Monitoring information and assessment activities

Definition: the quality of information and assessment activities is measured through the variety of sources of information used and the level of consensus on priorities. The level of gender sensitivity is also assessed.

Indicator 1.a: Variety of sources of information

In order for information regarding development issues in a city to be useful for strategic planning and decision making, the information must be relevant. Cities find, however, that the more diverse the kind of stakeholders providing the information, the more relevant and useful the information base becomes. Diversity of stakeholder allows the inclusion of types of information and perspectives that are not usually taken into consideration. This provided a balanced and comprehensive view of the issues affecting the city. Monitoring the variety of sources of information means you can assess the quality of the information base on which decision-making is grounded.

How to rate?

You should evaluate the variety of sources of information by considering the extent of the contribution of the various stakeholders to your information base.

- They provide you with documents, reports, or maps.
- They prepare specific studies
- They are interviewed or participate in discussions and records of their inputs are incorporated into your information base.

Stakeholders' contributions can be incorporated in the information overview in different formats:

- Geographic Information Systems (GIS)
- Environmental Profile
- City Diagnosis or Audit
- City Profile.

Indicator 1.b: Identification of priorities

The indicator measures progress in achieving agreement on which priorities are to be addressed. It allows cities to measure the extent to which there is a consensus among stakeholders on the selected priority issues. It makes the assumption that any strategy or implementation of policy relating to the selected priorities can only be successful if it has been reached through a consensus. This consensus can be described as a situation in which selected priorities are recognized by a large number of stakeholders as important issues which should be addressed first. By measuring stakeholder agreement on selected priorities, cities can infer the degree of likelihood that stakeholders will become involved in formulating strategies and translating them into action.

How to rate?

Stakeholders may feel that some problems are more relevant to them than others. Cities can estimate this by using the criteria below:

- The stakeholder feels directly concerned by the problem.
- The stakeholder feels a responsibility to participate in the solution of problems faced by the community.
- The stakeholder recognizes the importance of the problem for the community, although not directly affected by it.

A way of estimating the consensus surrounding the selected priorities would be to ask each stakeholder separately to rank the list of priorities, according to their own particular concerns. If their own ranking agrees closely with the selected list, a strong consensus has been achieved. A lack of consensus may indicate, for example, that the selection of criteria for prioritising issues did not involve all the stakeholders, or that the criteria were not relevant to their situation.

REPORTING SHEET: Please fill coloured cells

Indicator 1: Information and assessment activities

1995

Information and assessment activities				
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Total	1.43	1.71		**1.57**

Information and assessment activities.
Within the stakeholder group:
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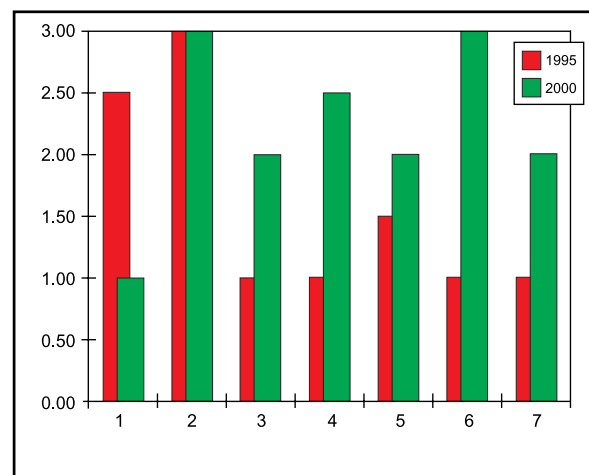(3)   a lot of relevant information is provided by many actors

2000

| Information and assessment activities				
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Consensus on priorities.
Within the stakeholder group:
(0)   for all the actors the priorities are not important
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(2)   for some actors the priorities are very important
(3)   for all the actors the priorities are very important

Results: Based on your inputs above

Progress by stakeholders			
Actors	1995	2000	Progress
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5 Private sector	1.50	2.00	0.50
6 Academics and scientists	1.00	3.00	2.00
7 Other	1.00	2.00	1.00
Total assessment	1.57	2.21	**0.64**

Progress by activities				
Actors	a) variety of sources of information	b) consensus on priorities		Total assessment
1995	1.43	1.71	0.00	1.57
2000	2.29	2.14	0.00	2.21
PROGRESS	0.86	0.43	0.00	**0.64**
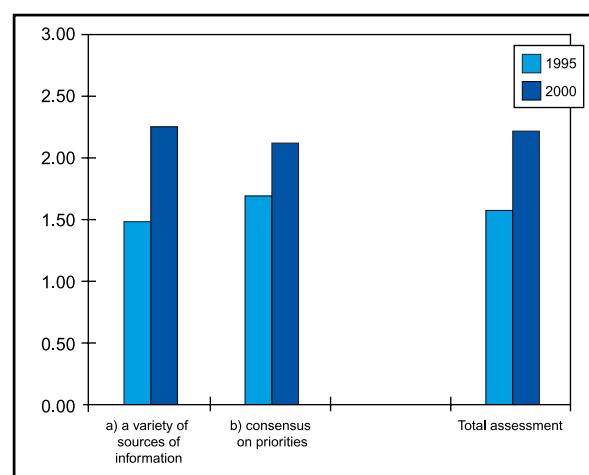
C2 Strategy and Action Planning

DEFINITION

Indicator 2: Monitoring strategy and action planning

Definition: the quality of strategies will be measured through the consideration of resources available and consensus on strategy. The equal involvement of men and women is important.

Indicator 2.a: Consideration of available resources

This indicator will help cities monitor the extent to which available resources from stakeholders have been taken into account when drawing up strategies. It is assumed that resources exist locally, in the hands of the various stakeholders. As it is recognized that resources are scarce, it is important to make the most out of whatever is available. This indicator allows cities to monitor whether the full range of resources has been considered. It is also assumed that successful and implementable strategies are backed up by firm commitments of resources from stakeholders. Unless they are aware of their resources, stakeholders are unable to make realistic commitments. This indicator will help cities to understand the adequacy of the resource assessment that has taken place. It therefore also provides a means of gauging the suitability of prioritised strategies according to their feasibility.

How to rate?

Evaluate to which extent resources have been considered by asking yourself how implementation capacities have been taken into account:

List the implementation capacities available to each stakeholder: financial, economic, technical, administrative, physical, political, etc. Now evaluate to what extent these were considered in relation to each stakeholder group:

- Did you consider all available implementation means?
- Did you consider the constraints or difficulties that may be faced by a stakeholder when implementing a particular strategy?
- Did you consider how resource needs are likely to evolve and be met throughout the life of the project, including for operation and maintenance?
- Have you considered contingency options and resources in the strategy?
- Have you considered alternative implementation options and resources available to each stakeholder where conventional means are not available?
- Have you used any techniques, such as social cost-benefit analysis, to help stakeholders to analyse the resource needs of a strategy and understand their own implementation capacities?

Indicator 2.b: Consensus on strategies

Stakeholders possess most of the capacities for implementation of projects, so if they feel that strategies do not meet their needs or that they are unhappy with the approach being taken, it is unlikely that they will contribute to moving the project forward. This will jeopardise the chances of the strategy being implemented successfully. Measuring the level of support for objectives and strategies is the most direct way to monitor the extent of the consensus surrounding them. In addition, meaningful involvement of stakeholders in the decision-making process, and good group dynamics, showing that stakeholders understand each other, also indicate movement towards consensus. These elements of a strong consensus will manifest themselves as support for the chosen objectives and strategies.

How to rate?

To measure the extent of the consensus among stakeholders, answer some of the questions below. Each particular stakeholder may agree with different elements of the strategy:

- Do stakeholders agree with the objectives to be reached?
- Do they agree with the method of achieving the objectives as set out in the strategy?
  Where strategies are still being negotiated, cities can measure support for the strategy negotiations and indicate that stakeholders are moving towards a consensus by asking:
- Do stakeholders exhibit good group dynamics and show understanding of each other's positions?
- Are stakeholders familiar with the issues?

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Indicator 2: Strategy and action planning

1995

Strategy and action planning				
Actors	a) available resources	b) consensus on strategy		Total by actor
1 National Government	1	0		0.50
2 Local authorities	1	1		1.00
3 NGO's	1	2		1.50
4 CBO's	0	0		0.00
5 Private sector	1	0		0.50
6 Academics and scientists	0	1		0.50
7 Other	0	0		0.00
Total	0.57	0.57		**0.57**

Available resources.
Within the stakeholder group:
(0) no resources are considered
(1) a narrow range of resources is considered
(2) a reasonable range of resources is considered
(3) a very large range of resources is considered

2000

| Information and assessment activities				
Actors	a) available resources	b) consensus on strategy		Total by actor
1 National Government	2	2		2.00
2 Local authorities	2	3		2.50
3 NGO's	2	3		2.50
4 CBO's	1	2		1.50
5 Private sector	1	3		2.00
6 Academics and scientists	1	3		2.00
7 Other	1	3		2.00
Total	1.43	2.71		**2.07**

Consensus on priorities.
Within the stakeholder group:
(0) there is no agreement among actors about strategies
(1) only few actors support the strategies to some extent
(2) some of the actors support the strategies strongly
(3) all actors fully support the strategies

Results: Based on your inputs above

Progress by stakeholders			
Actors	1995	2000	Progress
1 National Government	0.50	2.00	1.50
2 Local authorities	1.00	2.50	1.50
3 NGO s	1.50	2.50	1.00
4 CBO s	0.00	1.50	1.50
5 Private sector	0.50	2.00	1.50
6 Academics and scientists	0.50	2.00	1.50
7 Other	0.00	2.00	2.00
Total	0.57	2.07	**1.50**
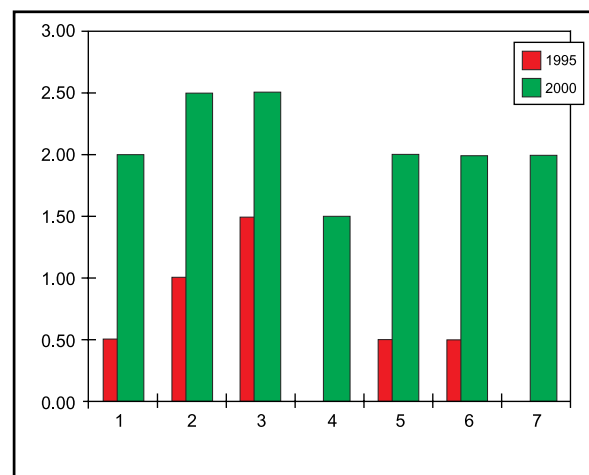
Progress by activities				
Actors	a) available resources	b) consensus on strategies		Total assessment
1995	0.57	0.57	0.00	0.57
2000	1.43	2.71	0.00	2.07
PROGRESS	0.86	2.14	0.00	**1.50**
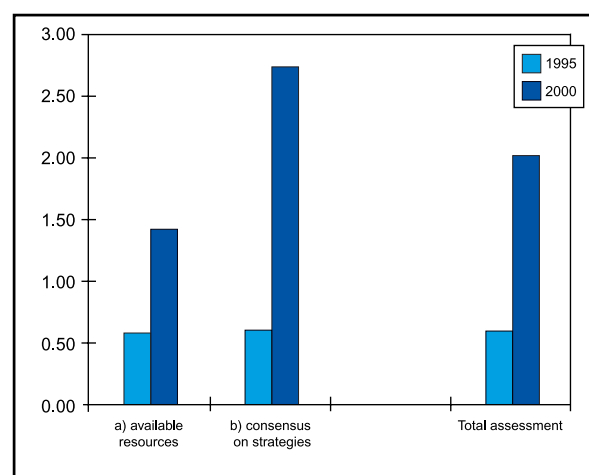
C3 Implementation
DEFINITION
Indicator 3: Monitoring implementation

Definition: the quality of implementation is measured through the strength of action plans, the stakeholders' commitment, and the extent to which they are gender specific.

Indicator 3.a: Capacity to implement

Implementation of an action plan requires a strong, detailed stakeholder- or agency-specific agreement. Formulation of such an agreement requires stakeholders to understand their implementation capacities and resources and to be fully aware of their responsibilities when entering into the agreement. A strong action plan is therefore a contract which virtually guarantees effective implementation. It may be argued that to define an action plan does not necessarily mean to implement it, and therefore it would be better to compare the actual implementation outputs with the commitments laid out in the action plan. However, we are interested in monitoring the processes that lead to successful implementation, rather than the outputs themselves, because if the process moves forward successfully, the outputs should follow naturally. Monitoring implementation itself tells us nothing about why implementation failed or succeeded, while monitoring the strength of the agreement within the action plan does provide this information. A weak agreement can explain the failure of implementation of planned actions.

How to rate?

A strong action plan should describe each stakeholder's commitment to the priority action. Does the stakeholder-specific action plan describe:

- Allocation of staff time and resources
- Amount and deployment of financial resources for investment/operation/maintenance
- Detailed geographic focus
- Application of other relevant instruments for implementation
- A common system for monitoring achievement of objectives and observance of commitments
- A well-defined timetable
- Contingency plans
- Have stakeholders thoroughly reviewed their own abilities to meet these commitments?
- Is the stakeholder-specific agreement supported by the action plan of another stakeholder?
- Have other relevant actors approved the agreement?
- Does the action plan meet the city's needs? Is it technologically appropriate and financially feasible?
- Has the action plan been coordinated with the action plans of other stakeholders?

Indicator 3.b: Commitment to implementation

The level of commitment from stakeholders provides a direct indicator to monitor reconfirmation of political support and mobilisation of resources. The indicator assumes that stakeholders can provide two kinds of support to implement strategies or action plans — political support, and resources (financial, human, technical, etc.). However, stakeholders will not mobilise their resources unless they support the strategy politically in some way. This indicator will enable you to monitor the evolution of stakeholders' commitment to action plans and strategies.

How to rate?

The criteria below allow you to assess the level of stakeholders commitment to implementation:

- Do stakeholders in key institutions lobby for the strategy to be approved and followed?
- Do they regularly attend workshops and meetings during which decisions are made?
- Do they persuade other key figures to adopt the approach being taken?
- Do they provide funding from existing budgets?
- Do they make public statements expressing their support?
- Do they provide administrative or technical resources?

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Indicator 3: Implementation

1995

Implementation				
Actors	a) strength of action plans	b) commitment to implementation		Total by actor
1 National Government	1	1		0.67
2 Local authorities	0	1		0.33
3 NGO's	1	1		0.67
4 CBO's	0	0		0.00
5 Private sector	0	0		0.00
6 Academics and scientists	1	1		0.67
7 Other	0	0		0.00
Total	0.43	0.57		**0.33**

Strength of action plans.
Within the stakeholder group:
(0) no actors have a proper action plan
(1) some actors have weak action plans
(2) some actors have good action plans
(3) most actors have very strong action plans

2000

| Implementation				
Actors	a) strength of action plans	b) commitment to implementation		Total by actor
1 National Government	2	0		0.67
2 Local authorities	1	1		0.67
3 NGO s	1	1		0.67
4 CBO s	1	0		0.33
5 Private sector	0	0		0.00
6 Academics and scientists	2	1		1.00
7 Other	0	0		0.00
Total	1.00	0.43		**0.48**

Commitments to implementation.
Within the stakeholder group:
(0) actors are not committing resources
(1) some actors are committing few resources
(2) some actors are committing some resources
(3) most actors are committing a lot of resources

Results: Based on your inputs above

Progress by stakeholders			
Actors	1995	2000	Progress
1 National Government	0.67	0.67	0.00
2 Local authorities	0.33	0.67	0.33
3 NGO s	0.67	0.67	0.00
4 CBO s	0.00	0.33	0.33
5 Private sector	0.00	0.00	0.00
6 Academics and scientists	0.67	1.00	0.33
7 Other	0.00	0.00	0.00
Total assessment	0.33	0.48	**1.14**
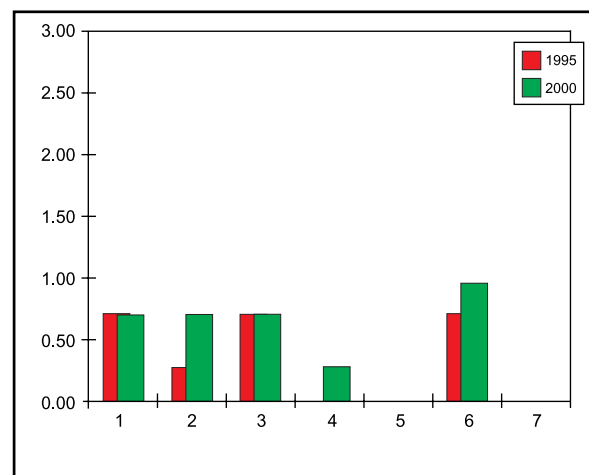
Progress by activities				
Actors	a) strength of action plans	b) commitment to implementation		Total assessment
1995	0.43	0.57	0.00	0.33
2000	1.00	0.43	0.00	0.48
PROGRESS	0.57	-0.14	0.00	**0.14**
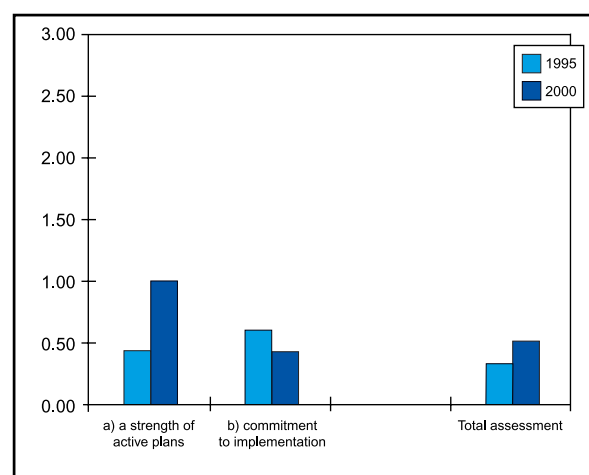
C4 Institutionalisation
DEFINITION
Indicator 4: Monitoring institutionalisation

Definition: the level of institutionalisation depends on the linkages existing among the stakeholders and their capacity to participate. Once again, the gender issue is important.

Indicator 4.a: Capacity of stakeholders to participate

This indicator will allow you to monitor the strengthening of stakeholders' capacities throughout the decision-making process. We assume that the capacity of stakeholders to participate in the decision-making process needs to be built on an ongoing basis (in terms of training, equipment, etc.) if the process is to be sustainable in the long term. We also assume that successful capacity-building activities have a measurable impact on stakeholders.

How to rate?

Use the examples to develop criteria to assess the ability of each stakeholder group to participate. List the measures carried out by, or for, each stakeholder group to build capacities to participate, of which the following are examples:

- Structural and budget reforms within organization
- Legislation to strengthen decision-making or enforcement powers

- Public information and awareness-building
- Provision of essential technological equipment and know-how
- Community partnerships/direct technical assistance to informal sector groups
- Capacity-building programmes specifically designed for NGOs and CBOs
- Lower-level skills training focused on small-scale organisations/training of trainers
- Promoting alternative techniques
- "Sensitivity" training for public sector institutions to better understand non-public sectors' points

Evaluate how far stakeholders' capacities have been strengthened by the activities:

- To what extent has the ability to communicate and understand improved?
- To what extent has the structural reform improved stakeholders' capacity to act and participate?
- What level of expertise have capacity building activities imparted to the stakeholder group?

Indicator 4.b: Linkages among actors

This indicator allows you to measure the extent to which stakeholders' participation in decision-making has become the norm. Institutionalisation of participatory approaches, by which we mean routine use of participatory approaches to decision-making, requires one main condition: formal arrangements for participation are incorporated into stakeholders' organizational structures. The strength of linkages among stakeholders indicates the extent to which procedures for coordination between sectors and institutions have become the norm. It is assumed that if coordination is to be effectively institutionalised, it must become embedded in the mandates, activities and structures of stakeholders' organizations. Simply measuring how far stakeholder groups coordinate their operations is not enough. If inter-organizational coordination is to be sustainable, it needs to be fully integrated into working procedures so that participation becomes routine.

How to rate?

Use the questions below to develop criteria to evaluate each stakeholder's performance in integrating inter-organizational linkages into their activities:

- Has each stakeholder nominated a representative to act as a clear contact with each working group, task force or inter-sectoral committee?
- How regular are inter-organizational meetings and consultations, and to what extent have stakeholders incorporated them in their programme?
- Are there mechanisms enabling the sharing and dissemination of information?
- Have the stakeholders developed partnerships or have their institutional structures modified to permit coordination of their activities?
- Has the stakeholder group set up coordinating committees or mechanisms to update other stakeholders on their progress and develop cross-sectoral linkages?
- Have any projects been implemented jointly, or are organizations replicating each other's activities?
- Is coordination with other organizations written into each stakeholder's TOR or work programme?

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Indicator 4: Institutionalisation

1995

Institutionalisation				
Actors	a) capacity to participate	b) linkages among stakeholders		Total by actor
1 National Government	1	2		1.00
2 Local authorities	1	1		0.67
3 NGO's	1	2		1.00
4 CBO's	1	0		0.33
5 Private sector	0	2		0.67
6 Academics and scientists	1	2		1.00
7 Other	0	0		1.00
Total	0.71	1.29		**0.81**

Capacity to participate.
Within the stakeholder group:
(0) actors have no capacity to participate
(1) few actors can participate
(2) many actors participate to some extent
(3) most actors have strong capacities to participate

2000

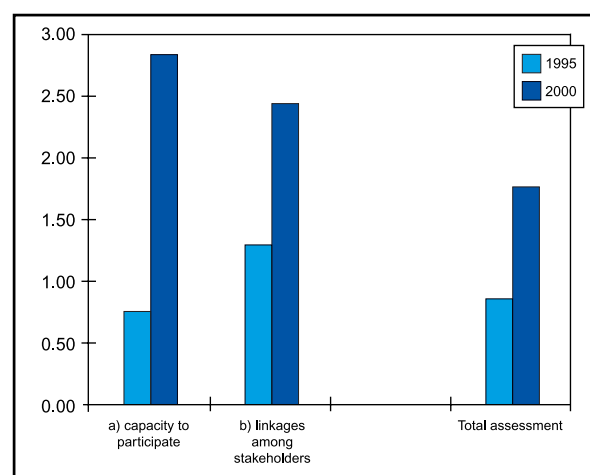| Institutionalisation				
Actors	a) capacity to participate	b) linkages among stakeholders		Total by actor
1 National Government	3	3		2.00
2 Local authorities	3	3		2.00
3 NGO's	3	3		2.00
4 CBO's	3	2		1.67
5 Private sector	3	2		1.67
6 Academics and scientists	3	2		1.67
7 Other	2	2		1.33
Total	2.86	2.43		**1.76**

Linkages among stakeholders.
Within the stakeholder group:
(0) actors are not linked to other groups
(1) some actors are linked to other groups
(2) most actors are linked to other groups
(3) all actors have strong links with other groups

Results: Based on your inputs above

Progress by stakeholders			
Actors	1995	2000	Progress
1 National Government	1.00	2.00	1.00
2 Local authorities	0.67	2.00	1.33
3 NGO s	1.00	2.00	1.00
4 CBO s	0.33	1.67	1.33
5 Private sector	0.67	1.67	1.00
6 Academics and scientists	1.00	1.67	0.67
7 Other	1.00	1.33	0.33
Total assessment	0.81	1.76	**0.95**
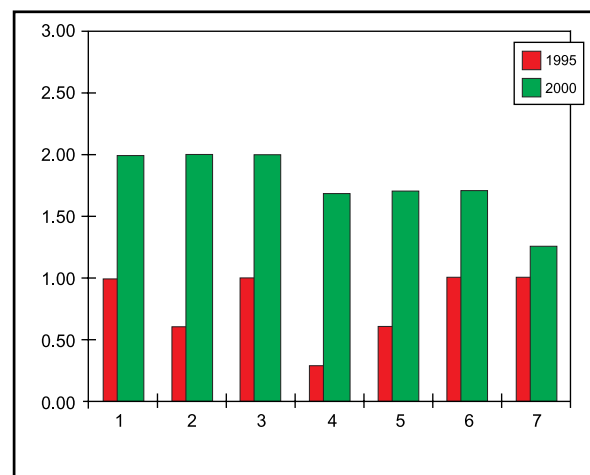
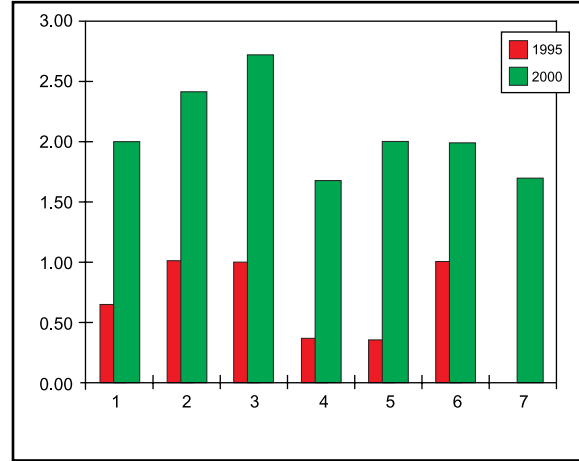| Progress by activities				
Actors	a) capacity to participate	b) linkages among stakeholders		Total assessment
1995	0.71	1.29	0.00	0.81
2000	2.86	2.43	0.00	1.76
PROGRESS	2.14	1.14	0.00	**0.95**

C5 Index of Participatory Urban Decision-Making
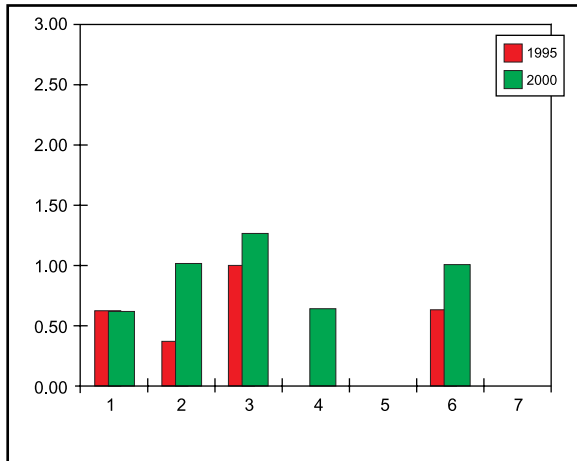
INDEX: overall results

Information and assessment activities
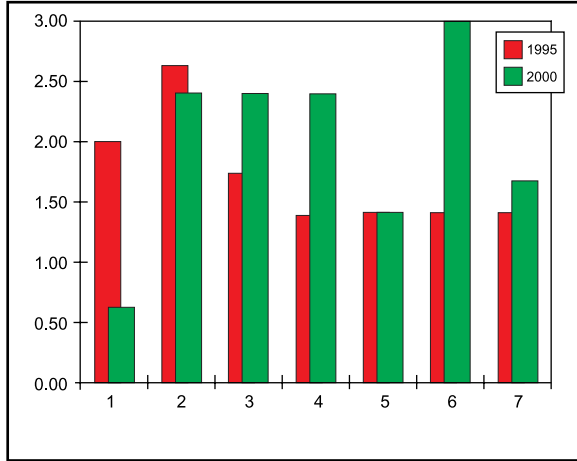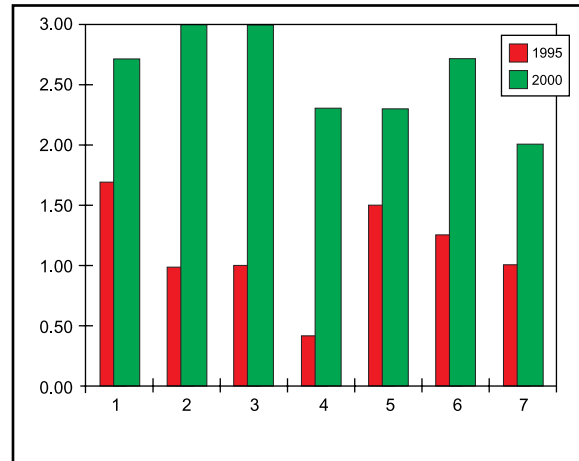

Strategy and action planning
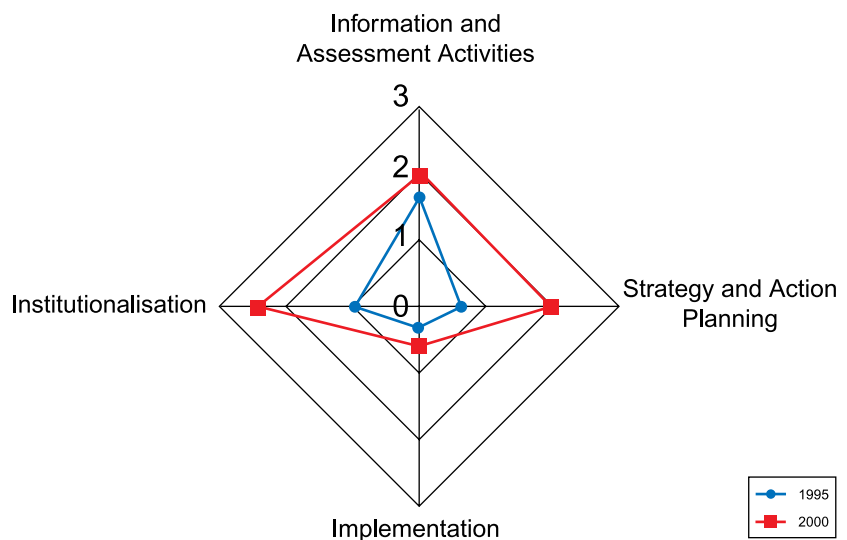

Implementation

Institutionalisation

1: National Government
2: Local authorities
3: NGO's
4: CBO's
5: Private sector
6: Academics and scientists
7: Other

Indicators for decision-making

Explanatory Comments on the Results

COMMENTS: please provide comments on your results

Information and assessment activities

Strategy and action planning

Implementation

Institutionalisation

General Comments