

# CITY RESILIENCE PROFILING PROGRAMME

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With the support of

## **Upgrading from Informality Enhancer**

Informality and Development

Informality and Resilience

Informality and the City Resilience Profiling Tool



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RESILIENCE  
PROFILING  
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**UN HABITAT**  
FOR A BETTER URBAN FUTURE



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The Resilience Enhancers developed under the City Resilience Profiling Tool (CRPT) isolate the cross-cutting themes that underpin UN-Habitat's resilience building methodology into an advocacy and training tool.

The Enhancers provide both an understanding of the relationship between the topic in focus (i.e. Gender, Climate Action, Humanitarian Action among others) and development, global agendas, resilience and the CRPT. In the case of the latter, the indicators related to the topic have been extracted from the global CRPT and are included in the Enhancers. They can provide a first approach to the resilience related matter, taking into consideration the systemic, holistic and comprehensive understanding of urban resilience that moves away from assessment in silos.

The objective of the Enhancer is to help governmental actors or other partners to assess the resilience of their urban settlements but while putting a special focus on certain topics that need to be addressed such as gender or climate Action. They can be used as a starting point to assess resilience and the matter related to urban settings, and to discuss how to take it further.

The Upgrading from Informality Enhancer firstly explores the links between informality, urban development and resilience before detailing the specific indicators from the CRPT that can be applied to obtain a snapshot of the city from this same perspective.

As for the CRPT, the Upgrading from Informality Enhancer indicators are mapped in parallel with the targets of global agendas such as the Sustainable Development Goals and New Urban Agenda.

## **Using the Enhancers**

The Enhancers can be used as training or advocacy tools within a city by local governments actors or partners. The Enhancers also serve to existing tools, approaches and methodologies that are being implemented in the city. The objective can therefore be 1. initiate discussion and thinking around the issue in focus and/or resilience building, 2. generate a snapshot of the city on the issue in focus and/or resilience, 3. counter-check that existing tools are fully capturing the issue in focus.

### **1. Initiate Discussion**

The indicators extracted from the CRPT (Indicators in the CRPT) can be used to start the discussion around resilience and the issue in focus within the city. An initiating body, such as a specific department within the municipality, can initiate the collection of data for the indicators and call for a half-day workshop to validate or complete the responses. Other departments within the municipality should be invited as well as NGOs working in the city, utilities, civil society groups, among others. The Enhancer can as such become a shared project to initiate discussion on resilience. Once the exercise has been completed, contact us to find out how to take it further.

### **2. Snapshot**

The outcome of the workshop is a partial snapshot of the city focused on the issue in question. This can be shared among all stakeholders and used to inform initial decision-making and priority setting. Knowing which are the strengths and the weaknesses in relation to a certain topic within the city is going to allow local governments to think about the appropriate measures to make the city more resilient. All of the cities that have completed this exercise are invited to share their findings on the City Map on UN-Habitat's Urban Resilience Hub. Sharing these findings will be useful to locate other cities facing similar challenges and to start a discussion on how to tackle them.

### **3. Counter-check**

Many cities are already implementing tools and methodologies to build resilience. The Questionnaire within the Enhancers serves as an approach to evaluate how well the tool is capturing the issue in question. Applying the Questionnaire to existing tools will provide a similar snapshot on the city. Therefore, it will allow cities to assess if their tools need some adjustments or if they are already capturing well the issues in questions. Having a preliminary idea on the resilience of the city is going to be helpful to take the appropriate measures and to counter-check the efficiency of the ones that have been taken.

## **Disclaimer**

The Enhancers are under continual development and should not be taken as complete or comprehensive resilience tools. They serve to increase engagement, validate approaches and lead to further engagement of resilience building through the CRPT.



## **Disclaimer**

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City Resilience Profiling Programme  
UN-Habitat

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# 1. Introduction

## Background

Informality is an increasingly global urban phenomenon with more than one quarter of the world's urban population living in informal settlements. While urban informality is usually associated with developing contexts, inadequate living conditions and informal employment are now also manifesting in the Global North and emerging in diverse systems and typologies.

## Causes | Rationale | Impact on people's lives

Urban informality can be analysed through a cross-sectoral understanding of urban dynamics, such as population growth, lack of affordable housing programs and incentives, economic vulnerability, weak governance policies and regulations pertaining to land values and rights, as well as forced displacement. In this rapidly urbanising world, existing urban structures are often unprepared and lack the time or resources to accommodate this human flow, leading to the decentralization of urban areas and the development of informal settlements on the urban fringe or the occupation of empty or dilapidated buildings.<sup>1</sup> Often these contexts expose informal dwellers to spatial, social and economic inequalities, resulting in marginalization and segregation. Populations exposed to varying forms of informality regularly face vulnerable living conditions due to a myriad of factors including the constant threat of eviction, higher exposure to health risks and natural disasters, unsteady wages, hazardous working environments (exploitation, discrimination), as well as lack of access to basic infrastructure, services and social security (no rights to insurance, pension, etc.).<sup>2</sup>

## Why is it important to continue tackling urban informality?

Recent figures estimate that by 2050, 70% of the world's population will be living in urban areas. This exponential growth will dramatically affect the physical nature of urban contexts and poses a significant challenge for urban planners and policy-makers. Furthermore, cities are facing the urgent need to rethink and adapt to a new type of urban system emerging as a consequence of globalization. While responding to new challenges regarding evolving economic structures, sustainable urban infrastructure, quality of life, social integration and governance, it is crucial that cities ensure a decent level of well-being to populations. In developing countries urban informality plays an integral role in the economic system – not only contributing to economies of scale both directly and indirectly, but often serving as the primary driver for growth. Some sectors of the informal economy, however, rely on precarious, low- or even unpaid employment opportunities for unskilled workers – often female and migrant workers – which may hinder their self-reliance or inhibit them to benefit from urban efficiency.<sup>3</sup> Moreover, those living in informal settlements are often deprived of adequate provision of utilities, education and health facilities, or transportation services. These circumstances needlessly prolong or interrupt daily routines as well as increase vulnerability to environmental risks and socioeconomic disruptions, even more so in the case of women and children, and can lead to families living in perpetuating poverty for generations. Due to these dynamics, urban areas with numerous slums pay an economic, environmental and social 'cost' that affects their prosperity and sustainable development.<sup>4</sup>

## Commitment by UN-Habitat

Since the Habitat II conference in 1996, UN-Habitat has recognised how urban expansion across the Global South increasingly occurs informally, often stripping people of their rights to property and adequate housing, and has acknowledged the links between urban poverty, employment and the informal economy.<sup>5</sup> While the density of cities creates ideal places for active knowledge exchange and turns them into bustling production and innovation centres, fast-paced, unplanned urbanization often generates an unregistered work force and a population in poor or informal living conditions.

Committed to ensuring urban growth is inclusive, sustainable and resilient, UN-Habitat has, over the past decades, initiated programmes that encourage the provision of adequate utilities or support the formalisation of land tenure. The agency's City Resilience Profiling Tool (CRPT) goes beyond sectoral strategies to adopt a holistic and people-centred approach that studies urban development and supports local governments with evidence-based recommendations for resilience-building actions. The CRPT pays particular attention to integrating cross-cutting issues such as informality into its methodology, in an effort to ensure that no one is left behind.

The CRPT mindfully incorporates ways to identify and analyse the presence, attributes and impacts of urban informality as well as its potential root causes and relevant stakeholders. The Enhancer provides an overview of how the CRPT approaches the study of informal activity in a city and includes a list of indicators that may help local governments recognise the scale of informality in their city. Additionally, to fully grasp the reach and impact of the issue, officials should consider complementing their reading of this Enhancer with information from the Gender Equality, Infrastructure, Human Rights and Climate Action Enhancers, as well as with the Social Resilience Guide produced by the CRPT.

# 2. Informality and Urban Development

Seen as a prominent global topic, current studies on urban informality dimensions have shed light on the challenge of dealing with the "exceptions to the order of formal urbanization".<sup>6</sup> Despite policy-makers, urban planners and scholars increasingly acknowledging the urgency for a more inclusive and sustainable approach towards informality, a profound understanding of this omnipresent mode of urbanisation and its complex dimensions – spatial, social and economic – is still needed.

## Defining concept: Interpretation of informality from the development field

The 'formal' and 'informal' dichotomy has been used among both academia and development agents as central concepts in the discussion on, and analysis of, ongoing urban development. Generally, 'formal' urban development is understood to comply with the legal and regulatory frameworks established by the state in terms of spatial, social and economic features. Conversely, informality relates to processes unfolding outside of regulations and laws, in particular when applied to the built environment (e.g. tenure, land regulation and housing), the urban economy (e.g. employment, extraction of fiscal revenues and economic production), and the provision of services (basic infrastructure and public services).<sup>7</sup> While this distinction into legal versus illegal activity is commonly used to understand informality, it must be noted that informality often takes place in the intermediate or 'grey' areas of regulation.

## Action regarding informality since the 1990s

Over the past few decades much effort has been devoted to extending land-use planning and development regulation to incorporate all forms of urban development. However, informally developed areas were, and often are to this day, neglected or demolished, and inhabitants marginalised or periodically evicted. Initial approaches to deal with urban informality in a more inclusive manner originated in the 1990s when governments started regularising land inhabited by informal settlers through formally recognizing land rights and providing settlers with secure tenure. Upgrading programmes also grew more frequent and are now widely adopted throughout the developing world. These programmes focus on the provision or improvement of basic services and the retrofitting of infrastructure to ensure compliance with planning and building regulations, as well as on the strengthening of institutional responses.

Considering the predominantly structural interventions of these programmes, scholars have highlighted the need to also take informal communities' agency and capacity for self-organization into account.<sup>8</sup> While the negative impacts of living and/or working in informal settings are well-documented, working outside (though interlinked with) the formal framework is at the same time increasingly understood to provide the context in which gaps left by governments – in terms of labour markets, utilities, transportation services or social protection – can be overcome. Recent movements in the urban development field reflect this insight to take advantage of – rather than work against – the state of exception embodied by informal settlements and activities, all the while valuing the duties held by public actors in fulfilling inhabitants' rights to employment, housing, etc.<sup>9</sup> With this in mind, planning processes and other local governmental strategies can become more effective when encouraging participatory processes that include informal communities within discussions, seeing as a democratized and resilient approach is often better equipped to mitigate and overcome vulnerabilities.

Several documents building upon the 2030 Agenda for Sustainable Development (set when the Sustainable Development Goals were announced in New York in September 2015, see *infra*) have tentatively started to incorporate some of these takeaways. While over the past decades a lot of progress has been made in thinking about informality, a lot of work is still ahead in order to better understand people's living and working conditions and develop strategies to prevent future urban informality.









## **Informality in the run-up to the 2030 Agenda for Sustainable Development**

Ever since the Habitat II conference in Istanbul in 1996, UN-Habitat has articulated the urgent need to address living conditions in informal settlements. Acting on this insight, it instituted the Cities Alliance in 1999, in collaboration with the World Bank. The Alliance adopted the structural upgrading approach and developed the Slum Upgrading Action Plan which brings together UN agencies, development banks, NGOs and private sector actors around the shared goal of providing 100 million people with basic services<sup>10</sup> over the next 20 years.<sup>11</sup> In 2008, UN-Habitat launched a complimentary project, the Participatory Slum Upgrading Programme, as a joint effort between UN-Habitat, the European Commission, and the African, Caribbean and Pacific Group of States. Adopting an 'at scale', integrated approach, this programme looks beyond the spatial and physical to include economic and social dimensions of informality, and aims to empower slum dwellers and encourage positive mindsets among state actors.<sup>12</sup>

This strong commitment by the international community to better conditions for people in some of the most vulnerable conditions was framed within the Millennium Development Goals, with target 7.D requiring the achievement of "by 2020, a significant improvement in the lives of at least 100 million slum dwellers". By 2014, up to 320 million people were lifted out of informal conditions, yet absolute figures on slum dwellers continue to rise and may increase threefold by 2050.<sup>13</sup> Therefore, local community stakeholders, NGOs, private sector entities, development banks, international organisations and member states jointly reiterated the challenge and importance of eradicating poverty and upgrading standards of living through the 2030 Agenda for Sustainable Development.

## Sustainable Development Goals

Building upon the MDGs' achievements, the 17 Sustainable Development Goals (SDGs) that outline the 2030 Agenda for Sustainable Development aim to collectively achieve economic, social and environmental sustainable development that integrates all people, including those in informal settings, and produces long-lasting gains.<sup>14</sup>

Linking to a number of issues related to informality and in particular those related to slums, **SDG 1** targets the eradication of extreme poverty and the halving of the population living in poverty. It encourages the instalment of social protection systems, improvements to access to basic services and the provision of secure tenure rights to land. The Goal also addresses the reduction of exposure and vulnerability of the poor as well as those in vulnerable situations, and calls for policy frameworks at different scales to be based on pro-poor development strategies.

**SDG 11** recognises that cities increasingly host the bulk of the global population and urges for sound and inclusive urban policy and planning that reduce vulnerability in the lives of urban residents everywhere, starting with those in the most precarious, often informal, situations. It aims to improve access to housing, basic services, transport systems, green and public spaces, as well as to upgrade slums, scale down cities' impacts on the environment, reduce vulnerability to disaster risks and empower urban populations to participate in the planning and management of their communities.

The elevation of living conditions and easier access to utility networks are accompanied by an emphasis on advancing the inclusiveness of economic growth, as embodied in **SDG 8**. Goal 8 addresses some of the causes of informal activities, such as unemployment and discrimination, as well as its negative impacts by targeting per capita income growth, supporting job creation and entrepreneurship, formalising enterprises, reducing youth unemployment and protecting labour rights. It aims to increase people's opportunities to engage in the formal economy and empower them to exercise their human right to work, and the provision of decent working conditions, protection against unemployment, and equitable pay.<sup>15</sup>

### Sustainable Development Goal 1

End poverty in all its forms everywhere



### Sustainable Development Goal 11

Make cities and human settlements inclusive, safe, resilient and sustainable



### Sustainable Development Goal 8

Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all



## New Urban Agenda

Resulting from the Habitat III conference in Quito in 2016, this vision document will guide local and national governments in the planning, management and financing of urban development over the next 20 years. The New Urban Agenda (NUA) stresses the need to consider the relationship between cities, urban peripheries and rural areas and highlights the 'right to the city' perspective. The NUA acknowledges the challenges that informal settlements and informal economic activities present to the attainment of inclusive, safe, resilient and sustainable cities. It is clear that future urban governance will need to recognise informality as a part of the urban reality, in order to take effective action and upgrade conditions to ensure dignified lives for all.

While designing specific actions addressing the lack of tenure security, access to services, formal employment and social protection does not lie within the scope of the document, the NUA presents pathways for using national urban policies to integrate informal activity within local and national action, as emerges from some of its articles.<sup>16</sup>

### Article 59

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*We commit ourselves to recognizing the contribution of the working poor in the informal economy, particularly women, including unpaid, domestic and migrant workers, to the urban economies, taking into account national circumstances. Their livelihoods, working conditions and income security, legal and social protection, access to skills, assets and other support services, and voice and representation should be enhanced.*

### Article 109

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*We will consider increased allocations of financial and human resources, as appropriate, for the upgrading and, to the extent possible, prevention of slums and informal settlements, with strategies that go beyond physical and environmental improvements to ensure that slums and informal settlements are integrated into the social, economic, cultural and political dimensions of cities. These strategies should include, as applicable, access to sustainable, adequate, safe and affordable housing, basic and social services, and safe, inclusive, accessible, green and quality public spaces, and they should promote security of tenure and its regularization, as well as measures for conflict prevention and mediation.<sup>17</sup>*

### 3. Informality and Resilience

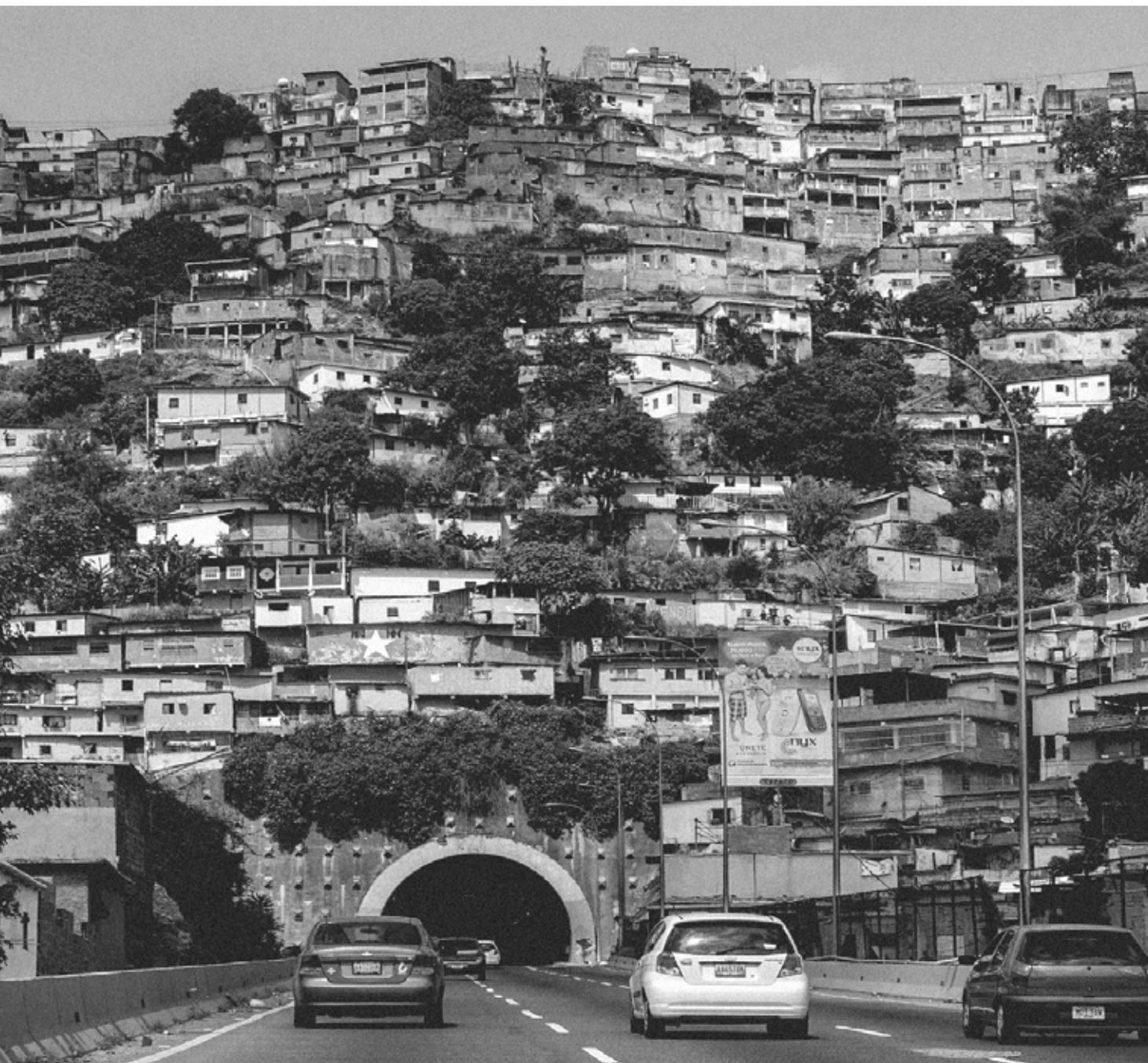
Several linkages exist between the occurrence of informality in a city and a number of levels of resilience, ranging from the individual to the urban scale. First, when the urban poor do not possess the financial capacity to access land zoned for housing, it may force them to settle on sites that are not destined or suited for residential use. Often these sites are located in areas that are more prone to natural hazards, such as slopes and riverbanks, near industries and dump sites, or flood-prone zones. In addition, housing materials used in informal settlements are often less likely to withstand extreme events. Aside from this socio-spatial exposure to hazards, informal dwellers usually find themselves on the periphery of urban areas, disconnected from utilities, social services, and transport networks. Any resilience analysis or action to improve a city's resilience should acknowledge how coupling these vulnerable, marginalising or even excluding conditions with a shock can turn hazards into disasters, and further exacerbate underlying socio-economic inequalities. To leave no one behind, policy-makers will need to develop inclusive resilience building efforts that put the needs and resilience of those in the most vulnerable of situations first.

At the same time, informal activities result from degrees of resilience demonstrated by individuals, as inhabitants fill gaps left by governments in terms of economic development and service provision (e.g. transportation, job creation, social care, affordable housing). In some cities, for instance, informal living consists of the illegal occupation of derelict or empty buildings, often located in city centres. As these solutions occur outside of regulative and legal frameworks, they do, however, leave citizens vulnerable to a number of insecurities and risks, e.g. by non-compliance with building codes or safety regulations. Informal activities may therefore answer citizens' needs in a concrete moment, but they can prove to hinder the development of long-term, sustainable forms of resilience.

Nonetheless, considering urban development happens increasingly informally, the human agency at play in these processes provides duty-bearers with opportunities to learn from the resourcefulness of people in generating livelihoods and providing services. When designing strategies to improve overall urban resilience, local governments should guarantee that these are not implemented at the cost of existing levels of individual resilience. For instance, when far-reaching measures are required to bring about medium- and long-term continuity and sustainability, the rights and interests of inhabitants in some of the most vulnerable situations of all should at all times be a priority. Decision-makers should therefore seek to prevent forced evictions or displacement – for instance by adopting the continuum of land rights approach that considers a variety of land rights between the extremes of formal and informal that exist on the ground – and provide dignified and adequate reallocation. By engaging people in informal living and/or working conditions and giving them a voice in policy and planning, we can build upon the social capital displayed in informality to contribute to a collective, sustainable and inclusive resilience.

Informal activities also demonstrate a profound entanglement between sectors, where the operation of an informal transport service constitutes the livelihood of an entire family and arranges transportation to job sites for others, or where the front steps of informal homes provide the working space for artisans to create and sell their products, and for which they depend in turn on the availability of water and energy.<sup>18</sup> An integrated, transdisciplinary approach in decision-making will be needed to better understand, map and assess the connections between formal and informal systems, and guarantee informal communities benefit from the advantages of urban development. Adopting a holistic multi-stakeholder, multi-scalar and multi-sectoral framework, the CRPT is well-positioned to analyse a city's capacities and provide local governments with data-informed advice on actions that strengthen urban resilience, addressing informality and eradicating poverty in the process.





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# 4. Informality and the CRPT

To fully understand and recognise the dynamics of urban informality and its impacts on populations, as well as to devise effective action, reliable, localized and standardized data and research is required. Only through such an evidence-based approach can cities seek to develop inclusive and lasting strategies, plans and projects addressing informality in its various incarnations. Viewing informality through a set of thematic lenses can support governments in studying and understanding the shapes and impacts of informality in their cities and on their population, and help identify course for action.

Furthermore, through its holistic and people-centred methodology, the CRPT highlights the importance of considering the concept of vulnerability as a key characteristic of the various dimensions of informality. Many of the urban dwellers exposed to varied forms of informality often already face conditions that create vulnerability, such as limited physical or financial capacity. The CRPT identifies personal, social and environmental circumstances that may lead to additional vulnerabilities, and recognises a range of categories of people living in vulnerable situations which should be given particular consideration when found in informal contexts, in order to achieve social equality, participation and inclusion: (a) children without parental care as well as, children living in the streets; (b) homeless people; (c) poor people; (d) lone and dependent elderly; (e) ethnic minorities; (f) people with disabilities; (g) people living in marginalized communities; (h) people suffering from drugs and alcohol addictions, people deprived of liberty or on probation, homeless people, LGBTI, victims of domestic violence, victims of human trafficking, refugees and immigrants, etc.

With this in mind, efforts to address urban informality, poverty reduction and social inclusion in development practice as well as in academic debate highlight five main areas in which informal activity manifests, namely **1) land and housing, 2) economy, 3) basic infrastructure, 4) mobility, and 5) social inclusion and protection**. Integrating these into a cross-sectoral diagnosis of informality, the CRPT aims to tackle the physical, economic and social dimensions of this global urban phenomenon.

## Land and housing

Regulatory regimes established between people – individuals or groups – and land intend to define the ways in which land rights and rules are allocated, transferred and conducted within societies. Rapid urbanization processes can generate an insatiable need for land that may result in illegal occupation and the consequent lack of security of land tenure in urban contexts, a frequent dynamic which may lead to the emergence of informal settlements. Land tenure regulations should be well-defined in order to provide security of tenure for all inhabitants and fulfil the human rights to property as well as housing<sup>19</sup>, and should thus prevent informal rents, squats and exploitation.<sup>20</sup>

In addition to being under constant threat of eviction, informal residents often settle in remote and/or environmentally hazardous areas, or abandoned buildings in run-down city centres, characterized by a lack of access to basic infrastructure and services, poor structural housing quality and frequent overcrowding.<sup>21</sup> To this end, the continuum of land rights framework is gaining traction around the globe, as it adopts an inclusive, pro-poor and gender-responsive approach which reflects and recognizes a range of formal and non-formal tenure categories that are already in place, incorporating rights that are documented as well as undocumented, and formal as well as informal, to ease provision of tenure security to groups in vulnerable situations.<sup>22</sup>

## Economy

Economic informality in urban areas relates to all unregulated activities, enterprises, services or individual workers that are not under a nation's labour regulation, registration, income taxation or licensing. Economic informality therefore comprehends a huge diversity of situations and could be present in a range of sectors, a designation often representing an integral part of a cities' economic life. Informal economic activity contributes to employment and income generation both in formal and informal markets. Governments encounter challenges, however, in quantifying the exact contribution of the informal economy to a nation's GDP or a city's GCP, owing to the fact that revenues obtained from informal markets evade taxation.

According to ILO (2002), informal employment should be understood as encompassing a continuum of relationships that includes, but is not limited to: own-account workers and employers employed in their own informal sector enterprises; family workers; employees holding informal jobs (i.e. jobs not covered by legal protection or social security); members of informal producers' cooperatives; and own-account workers

producing goods exclusively for own final use by their household.<sup>23</sup> People in these contexts often face challenges such as unhealthy working conditions, long working hours, irregular and/or low pay, lack of social security regulations, threat of eviction, forced labour and discrimination. Women are often found in the most vulnerable situations, because of a lack in social security coverage and insufficient access to better job opportunities. This urges for more gender-disaggregated statistics, particularly in the case of domestic and home-based workers.<sup>24</sup> The lack of protection, rights and representation leaves informal workers exposed to high levels of dependency and vulnerability, and is oftentimes further coupled with high poverty rates and low social mobility.<sup>25</sup>

## Basic infrastructure

When planning city extensions to accommodate an increase in urban population, local governments integrate the provision of adequate utilities and social services for their inhabitants in development projects. The unplanned and unregulated nature of informal land development, on the contrary, entails that for those living in informal settlements, coverage and access to basic infrastructure and services, such as water, electricity, lighting, sanitation, waste management and healthcare, are not considered. Moreover, even if available, due to poverty and low-income levels, the majority of informal dwellers may not be able to afford access to basic infrastructure systems, therefore remaining excluded from existing regulated networks.<sup>26</sup> To fill this gap, alternatives may be adopted by creating illegal and inadequate connections to utility networks which in turn increase exposure to risk. Women and girls are likely to be negatively affected by these practices considering they are often responsible for indoor household tasks such as cooking and cleaning that require regular use of these potentially hazardous water, electricity and gas supplies.

## Mobility

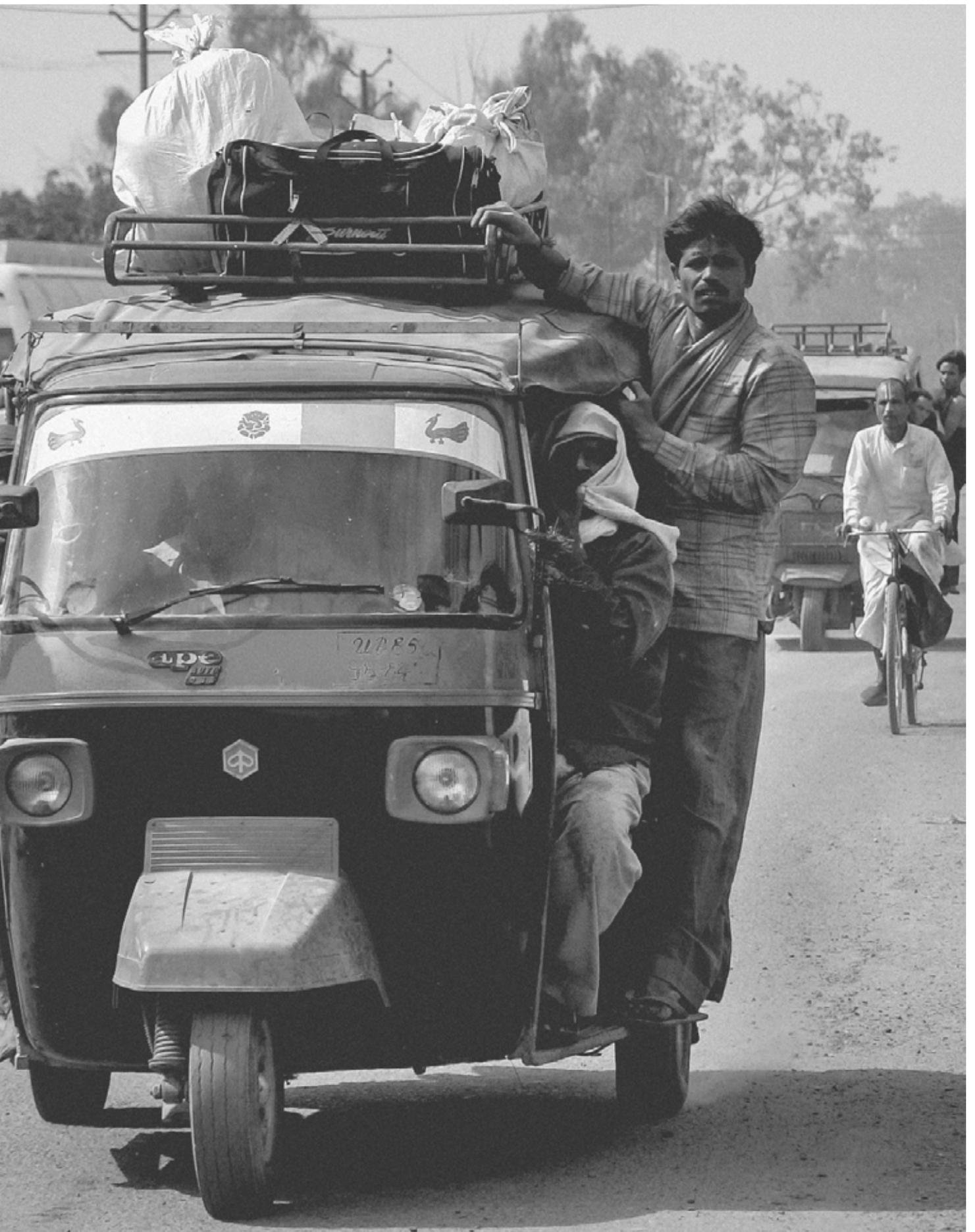
Urban mobility systems are considered key features in the urbanization process as they shape all urban forms and dynamics. Growing demand for urban mobility around the globe has been challenging cities' responses in developing efficient, effective, and accessible public transport networks for all. The corresponding gaps in urban mobility are commonly filled by new, unregulated ways of transportation as informal carriers emerge and become a recurrent alternative to the lack in public transport coverage and/or access. Informal transport, in general, incorporates all kinds of transport services that operate outside official regulatory frameworks of both the public and private transport sectors. These networks are usually managed by informal entrepreneurs operating minibuses, midi buses, shared taxis and motorcycle taxis. Services are generally unscheduled and on demand-responsive routes. They are often structured in 'non-corporate' models and provided by single-person enterprises that operate outside the tax system.<sup>27</sup> Considering the oftentimes complementary character of informal to formal provisions of transport, any form of transportation service that is not regulated or even deregulated is commonly referred to as "paratransit", of which the defining parameters may depend on the context.

While these informal transport systems help meet the needs of many urban residents, they may in some cases pose threats to road safety and the environment, adding to traffic congestion and air pollution. Additionally, considering the users of informal services primarily stem from poor families living on the fringes, they often need to make multiple transfers to reach job locations. Their transport expenses can mount up to a quarter of their daily salaries, perpetuating the inequalities associated with socio-geographic marginalisation and un(der)-coverage by public transportation.<sup>28</sup>

## Social inclusion and protection

In many cities informal living and working unmistakably fill or even shape the streetscape, and the people in these conditions depend on local governments to provide them with basic support programmes, such as social protection floors that include basic health care and income security for those in need (children, elderly, etc.). Informal contexts, however, often cause people in vulnerable situations to fall outside of the protection of the state or municipal governments. Some groups, more than others, are subject to social exclusion and the provision of basic social services, or furthermore the acquisition of land or housing, private vehicles etc., due to a lack of the required identification. Oftentimes refugees or









temporarily displaced migrants, homeless people or children living in the streets are unable to obtain the necessary documents that would allow them to benefit from formally provided services. This leads them to access informal labour markets and transportation services or set up informal connections to utility networks etc.

Additionally, informal settlements located on urban peripheries are likely to be spatially excluded from urban networks. The settlements may fall outside of municipal boundaries or the local government's purview and can therefore remain un(der)-served. Exposed to circumstances that may cause vulnerability, such as poverty, overcrowding, lack of formal access to basic infrastructure and services, health risks, and natural hazards, these geographically, and consequently socially, marginalised communities struggle to be included in the scope as well as in the making of public policies and planning.

The voices and demands of all these women and men, girls and boys often remain unheard due to insufficient or ineffective representation in decision-making processes at different scales, and results in their needs (e.g. access to sanitary facilities, health insurance or social care, secure work spaces) rarely being considered in labour, infrastructure, housing or social policies and plans.

## Conclusion

The five lenses discussed above demonstrate the complexity and dynamic interplay between different urban contexts and the needs of women and girls, men and boys in informal settings. They urge for an approach that recognises the city as a system of systems in which actions in one sector affect operations in another. State actors should understand, study and tackle urban informality from an integrated approach that considers impacts in all relevant sectors and at all scales, and enables the engagement of a wide range of stakeholders when developing strategies, policies, plans and actions.

However, oftentimes the character of un-registration that typifies informality makes activities escape the scope of official statistics. Vendors, carriers and street children may be visible in the street scape, but their exact numbers remain unrecognized or are at best difficult to measure. In many contexts, local governments do not dispose of the significant amounts of time, as well as financial and human resources needed to develop more precise estimates – the prerequisite to devising effective action. This may hinder the completion of data collection or could potentially distort findings on which recommendations for action are based. Using the lenses as entry points, the CRPT can help local governments identify gaps in data availability as well as center the scope of their data gathering efforts.

At the same time, the CRPT supports officials to acknowledge the transversal and complex nature of informal living and working, while reflecting on the increased vulnerabilities of in particular women, children, youths, elderly, migrants and the urban poor. A holistic, people-centred mindset will be indispensable when upgrading standards of living in informal settlements or improving conditions for informal workers, and will require strong political will to overcome the many challenges – be they human, financial or institutional – involved. Taking informed action, however, has proven to open pathways to economic growth, shared prosperity as well as social inclusion, and therefore promises to generate considerable returns on investments.

## 5. Informality Indicators

The following chapter demonstrates the alignment between the principles and methodology of the Upgrading from Informality Enhancer and the City Resilience Profiling Tool (CRPT). The CRPT aims to first and foremost **identify the various forms of informality** in a city, before moving to an in-depth understanding of the causes and impacts of this cross-cutting issue when devising Actions for Resilience. Looking through the five lenses – land and housing, economy, basic infrastructure, mobility, and social inclusion and protection – the CRPT filter of informality indicators incorporates the indicators from all elements and components of the tool's two data collection sets (SET 1 and 4), that measure the types of informality in a city. This will provide local governments with a well-rounded view on the physical, economic and social dimensions of informality in their cities.

The study of informality in the economy, mobility, land and housing, and infrastructure sectors focuses on present, **measurable** – and therefore often visible – **proof of informality**, whereas the social dimension is analysed by identifying 1) services from which **groups in marginalized communities** are excluded, and 2) existing **barriers** to service provision or access to services that may indicate informal contexts (e.g. geospatial settings, normative frameworks, socioeconomic capacity).

The filter classifies indicators into '**direct**' and '**indirect**' relations, respectively referring to whether an indicator in itself shows the occurrence of informality, or whether a conclusive answer on the existence of informality depends on looking at the flipside of the coin in combination with data from other indicators or further contextual research. In addition, the CRPT aims to determine the spatial dimension of informal activities in a city as much as possible. It gathers relevant GIS data, whenever available on the ground, in order to geolocate and further inform on the varying physical manifestations of urban informality.

Indicators in data collection SET 4 carry references with their alignment to global frameworks, tools and indexes.

	SET 1 - CityID	SET 4 - Urban Elements
Questions <b>directly indicating informality</b>	6	61
Questions <b>indirectly identifying informality</b>	7	82
Questions with spatial data	N / A	28
<b>Total</b>	<b>13</b>	<b>143</b>
	<b>156</b>	

**SET 1**

**City ID**

		2 Spatial Context	Relation
TOPIC		<b>2.3 Urban Area</b>	
		2.3.2 Land use. Please identify and specify the area of the different land uses in the city, in percentage of urban footprint.	Indirect
		2.3.3 Land tenure types. Please select all recognised types of land rights (ownership) as enshrined in land policy and legislation	Indirect
		2.3.5 Housing tenure types. Please select all applicable types of household accommodation types present in the city and their respective population share, disaggregate by sex, if possible.	Indirect
		2.3.7 Construction types and materials. Please specify prevalent types of construction, including respective materials used for each, in the city. Please include their percentage, if possible.	Indirect
		2.3.8 Main public transport modes (incl. types of paratransit)	Direct
		<b>3 Local Government and Public Administration</b>	Relation
TOPIC		<b>3.3 Strategies, Policies and Plans</b>	
		3.3.1 National to supra-local strategies, policies and plans. Please identify relevant national to supra-local scale strategies, policies and plans that are used in the urban development process, including the time frame for implementation.	Direct
		3.3.2 Local strategies, policies and plans	Direct
		3.3.3 Sub-local strategies, policies and plans	Direct
		3.3.4 Existing maps	Direct
		<b>4 Population and Demographics</b>	Relation
TOPIC		<b>4.2 Population Dynamics</b>	
		4.2.9 Migration streams. Please indicate the percentage of migrant population of the applicable migration streams, disaggregated by sex, if possible.	Indirect
		<b>6 Hazards and Challenges</b>	Relation
TOPIC		<b>6.2 Challenges</b>	
		6.2.2 Stresses. Please identify and describe stresses the city is currently facing or expected to face.	Indirect
		6.2.5 Main risk-prone areas. Please describe risk-prone areas with settlements in the city, and include hazards or risk map, if available.	Direct
		6.2.7 Humanitarian challenges. Please identify and describe any humanitarian challenges the city is currently facing or expected to face.	Indirect

# SET 4

## 1. Built Environment

		1.1 Urban Form	Alignment	Relation	Spatial Data
COMPONENT		<b>1.1.1 Urban Growth Model</b>			
		1.1.1.2 Percentage of urban footprint located in hazardous areas.		Indirect	Essential
		<b>1.1.2 Open Areas and Street Layout</b>			
		1.1.2.3 Street intersection density.	CPI-ID 5.1 <sup>A</sup> ESCI 46 <sup>B</sup>	Indirect	Optional
		1.1.2.4 Public open space per 100 000 residents.	ISO-37120 13.2 <sup>A</sup> SDG 11.7.1 <sup>A</sup>	Indirect	Essential
		1.1.2.5 Percentage of population living within 400 meters to public open space (Please disaggregate by sex, age and groups in vulnerable situations, if possible)	CPI-OOL 4.1 <sup>C</sup>	Indirect	Essential
Indicators	1.1.2.5.2 Please identify barriers to access public open space (with particular attention to gender and groups in vulnerable situations).			Indirect	
		1.2 Land Tenure	Alignment	Relation	Spatial Data
COMPONENT		<b>1.2.1 Legal Status of Land</b>			
		1.2.1.1.1 Do municipal legal frameworks recognise the continuum of land rights?		Indirect	
		1.2.1.2 Percentage of city area considered informal.	SDG 11.1.1 <sup>A</sup> ESCI 50 <sup>A</sup> CPI-ESI 2.1 <sup>A</sup>	Direct	Essential
		1.2.1.3 Percentage of informal land under tenure formalisation.		Direct	Optional
		1.2.1.3.1 If percentage is less than 10%, please identify reasons.		Direct	
		<b>1.2.2 Access to Secure Land</b>			
		1.2.2.1 Percentage of adult population with statutory land rights (Please disaggregate by sex and groups in vulnerable situation, if possible).	SDG 14.2.1, 5.a.2 <sup>B</sup> ISO-37120 15.2 <sup>B</sup> GLI 1.1, 2.1, 4 <sup>A</sup>	Direct	
		1.2.2.1.1 If percentage is less than 30%, please indicate barriers related to right-holders		Direct	
		1.2.2.2 Percentage of population considered landless and/or displaced (Please disaggregate by sex, age and groups in vulnerable situation, if possible).	SDG 1.4 <sup>A</sup> ISO-37120 15.2 <sup>B</sup>	Indirect	
		1.2.2.3 Percentage of households experiencing land conflict (Please disaggregate by sex of householder and groups in vulnerable situation, if possible)	GLI 6 <sup>A</sup> , 8 <sup>A</sup>	Indirect	
		1.2.2.3.1 Please specify types of land conflict.		Direct	
		<b>1.2.3 Land Administration</b>			
		1.2.3.1 Percentage of city area with complete land administration data.	GLI 13 <sup>B</sup>	Indirect	
		1.2.3.2 Does the city authority in charge of land recognise and practice continuum of land rights?		Direct	
		1.2.3.3 Is the city practicing pro-poor land administration?		Direct	
Indicators	1.2.3.4 Is the city conducting awareness-raising campaigns and projects regarding the use and ownership of land?			Indirect	
		1.3 Housing	Alignment	Relation	Spatial Data
COMPONENT		<b>1.3.1 Availability of Adequate Housing</b>			
		1.3.1.1 Percentage of homes in hazardous location.	SDG 11.1.1 <sup>F</sup> ESCI 43 <sup>A</sup> CPI-ID 1.1 <sup>A</sup>	Indirect	Essential
		1.3.1.2 Percentage of homes with inadequate structure.	ESCI 43 <sup>A</sup> CPI-ID 1.1 <sup>A</sup>	Indirect	
		1.3.1.3 Quantitative housing shortage.	ESCI 44	Indirect	
		1.3.1.3.1 If shortage is more than 20% please indicate reasons.		Indirect	
		<b>1.3.2 Affordability of Housing</b>			
	Indicators	1.3.2.1 Ratio of low cost housing within the housing stock.			Indirect

## SET 4

### 2. Supply Chain & Logistics

		2.1 Water Resources	Alignment	Relation	Spatial Data
COMPONENT		<b>2.1.1 Water Resources Diversity</b>			
		2.1.1.3 Does the city have strategies in place for alternative resources in times of unavailability of primary water resources?		Indirect	
		<b>2.1.3 Water Resource Management</b>			
	Indicators	2.1.3.11 Are advocacy groups representing women and groups in vulnerable situations involved in the IWRM process?	SDG 6.5.2 <sup>f</sup>	Indirect	
		2.1.3.3 Does the city have established and operational policies and procedures for participation of local communities in water management?		Indirect	
		<b>2.2 Energy Resources</b>	Alignment	Relation	Spatial Data
COMPONENT		<b>2.2.3 Energy Resource Management</b>			
	Indicators	2.2.3.11 Are advocacy groups representing women and groups in vulnerable situations involved in the energy efficiency process?	ILA <sup>a</sup> EST ECO12 <sup>c</sup>	Indirect	
		<b>2.3 Food Supply</b>	Alignment	Relation	Spatial Data
COMPONENT		<b>2.3.1 Availability of Food Supply</b>			SDG 2.1 <sup>a</sup>
		2.3.1.3 Percentage of functional area with arable land (disaggregated by tenure type, if possible)		Direct	
		<b>2.3.2 Food Supply Chain Efficiency</b>			
	Indicators	2.3.2.3 Proportion of households obtaining food through different avenues (please disaggregate by sex of the householder and groups in vulnerable situations, if possible)	FAO FS 1.3.2 <sup>c</sup>	Direct	
		2.3.2.4.1 Are advocacy groups representing women and groups in vulnerable situations involved in setting sustainable food systems policies and programmes?		Indirect	
		<b>2.4 Urban Logistics</b>	Alignment	Relation	Spatial Data
COMPONENT		<b>2.4.3 Logistics Network Efficiency</b>			
		2.4.3.2 Percentage of retailers in city considered independent	CityStrength 13 <sup>a</sup> SDG 3.6.1 <sup>a</sup>	Indirect	Optional
	Indicators	2.4.3.11 Are advocacy groups representing women and groups in vulnerable situations involved in setting logistics-related public policies?		Indirect	

3. Basic infrastructure

		3.1.1 Energy - Energy Supply for Buildings	Alignment	Relation	Spatial Data	
COMPONENT		<b>3.1.1.1 Access to Energy Supply</b>				
		3.1.1.1.1 Proportion of population with access to any means of electricity supply (Please disaggregate by sex and groups in vulnerable situation, if possible)	SDG 7.1 <sup>f</sup> ISO_37120 7.2 <sup>f</sup> CPI-ID 14 <sup>a</sup>	Direct		
		3.1.1.1.1.1 If access is less than 100%, please indicate reasons.		Direct		
		3.1.1.1.2 Proportion of population with alternative sources of electricity other than the public network (Please disaggregate by sex and groups in vulnerable situation, if possible)	EISD SOC1 <sup>a</sup>	Direct		
		3.1.1.1.2 Proportion of population with primary reliance on clean fuels and technology for heating/cooling, lighting and cooking (Please disaggregate by sex and groups in vulnerable situation, if possible)	SDG 7.12 <sup>f</sup>	Direct		
		3.1.1.1.3 Proportion of household income spent on energy for domestic purposes (electricity, heating, cooking)	EISD SOC2 <sup>a</sup>	Indirect		
		<b>3.1.1.2 Coverage of Energy Network</b>				
		3.1.1.2.1 Percentage of households with an authorized connection to public network, per energy supply type [-]	ESCI 17 <sup>e</sup> & 18 <sup>f</sup>	Direct	Essential	
		3.1.1.2.1.1 If coverage is considered inadequate, please indicate reasons		Direct		
		3.1.1.2.1.2 Do all areas of the city have 24-hour service?	CityStrenght 8 <sup>a</sup>	Direct	Optional	
		<b>3.1.1.3 Efficiency in Energy Consumption</b>				
		3.1.1.3.2 Percentage of non-revenue consumption in public network, per energy supply type [-]	CityStrenght 8 <sup>a</sup>	Indirect		
		<b>3.1.1.5 Maintenance and Monitoring of Energy Supply Networks for Buildings</b>				
	Indicators	3.1.1.5.1 What maintenance and monitoring measures are applied in the public network, per energy supply type? [-]			Direct	
		<b>3.1.2 Energy - Energy Supply for Mobility</b>	Alignment	Relation	Spatial Data	
	<b>3.1.2.1 Vehicle Supply Network Coverage</b>					
	3.1.2.1.1 Percentage of vehicle fuel demand covered by supply network.	CityStrenght 8 <sup>a</sup>	Indirect			
	3.1.2.1.1.1 If it is less than 100%, please indicate reasons.		Indirect			
	<b>3.1.2.3 Continuity of Energy Supply Operations for Mobility</b>					
	3.1.2.3.1 What level of disruptions does the service face, per source? [+]		Indirect			
	3.1.2.3.1.1 Are majority of the disruptions internal or external?		Indirect			
	3.1.2.3.2 Does the city have its own network of gas station and mobile fuelling trucks to bypass the retail liquid fuels market in case of supply chain breakdown?	CityStrenght 8 <sup>a</sup>	Indirect	Optional		
	<b>3.1.2.4 Maintenance and Monitoring of Energy Supply Networks for Mobility</b>					
Indicators	3.1.2.4.1 What maintenance and monitoring measures are applied, per network [-]			Indirect		
	<b>3.2.1 Water - Water Supply</b>	Alignment	Relation	Spatial Data		
	<b>3.2.1.1 Access to Drinking Water</b>					
	3.2.1.1.1 Percentage of population with access to water services (Please disaggregate by sex and groups in vulnerable situation, if possible)	SDG 6.11 <sup>c</sup> SDG 14.1 <sup>p</sup> ISO 37120 21.2 <sup>a</sup> CPI-ID 12 <sup>p</sup>	Direct			
	3.2.1.1.1.1 Please indicate barriers to accessing improved water services.		Direct			
	3.2.1.1.1.2 Please select and specify prohibitive costs associated with water supply.		Indirect			
	<b>3.2.1.2 Water Supply Network Coverage</b>					
	3.2.1.2.1 Percentage of households covered by piped water supply network.	ESCI 1 <sup>c</sup> ISO 211 <sup>c</sup> SDG 6.11 <sup>a</sup>	Direct	Essential		
	3.2.1.2.1.1 If percentage is considered inadequate (or less than 75%), please indicate reason(s).		Direct			
	<b>3.2.1.3 Efficiency of Water Supply Operations</b>					
	3.2.1.3.1 Percentage of unaccounted for water (water loss).	ESCI 5 <sup>c</sup> ISO 21.7 <sup>c</sup> ESCI 3 <sup>c</sup>	Indirect			
	3.2.1.3.2 Annual daily average of hours of continuous water supply service	ISO 21.6 <sup>c</sup> SDG 6.11 <sup>a</sup>	Indirect			
	3.2.1.3.4 What level of unplanned disruptions does the service face?		Indirect			
	3.2.1.3.4.1 Are majority of the disruption internal or external?		Indirect			
	3.2.1.3.4.2 Please describe strategies used to address disruptions.		Indirect	Optional		
	<b>3.2.1.4 Monitoring and Maintenance of Water Supply</b>					
Indicators	3.2.1.4.2 What maintenance and monitoring measures are applied?			Direct		

# SET 4

## 3. Basic infrastructure

3.2.2 Water - Wastewater and Sanitation		Alignment	Relation	Spatial Data
COMPONENT	3.2.2.1 Access to Sanitation	SDG 6.2.1 <sup>C</sup>		
	3.2.2.1.1 Percentage of population with access to sanitation facilities (Please disaggregate by sex and groups in vulnerable situation, if possible)	SDG 14.1 <sup>P</sup> ISO 37120 21.2 <sup>A</sup> CPI-ID 1.3 <sup>P</sup>	Direct	
	3.2.2.1.1.1 Please indicate barriers to access.		Direct	
	3.2.2.1.1.2 Please select and specify prohibitive costs associated with sanitation.		Indirect	
	3.2.2.1.2 Percentage of population with access to handwashing facilities (Please disaggregate by sex and groups in vulnerable situation, if possible)		Direct	
	3.2.2.1.2.1 Please indicate barriers to access.		Direct	
	3.2.2.1.2.2 Please select and specify prohibitive costs associated with hygiene.		Indirect	
	3.2.2.2 Wastewater Network Coverage			
	3.2.2.2.1 Percentage of households connected to a wastewater network.	ESCI 10 <sup>C</sup> ISO 201 <sup>C</sup>	Direct	Essential
	3.2.2.2.1.1 If percentage is considered inadequate (or less than 60%), please indicate reason(s).		Direct	
	3.2.2.5 Maintenance and Monitoring of Wastewater System			
	Indicators	3.2.2.5.1 What monitoring and maintenance measures are applied?		Direct
3.2.3 Water - Stormwater		Alignment	Relation	Spatial Data
COMPONENT	3.2.3.1 Stormwater Collection			
	3.2.3.1.1 Percentage of urban area covered by stormwater collection system.		Direct	Optional
	3.2.3.1.1.1 If percentage is considered inadequate, please indicate reason(s).		Direct	Optional
	3.2.3.3 Effectiveness of Stormwater Solution			
	3.2.3.3.1 Percentage of dwellings damaged by intense flooding (10 years).	ESCI d <sup>F</sup>	Indirect	Optional
	3.2.3.4 Monitoring and Maintenance of Stormwater System			
Indicators	3.2.3.4.1 What monitoring and maintenance measures are applied?	UNISDR Scorecard D8.1.2 <sup>A</sup>	Direct	
3.3 Solid Waste		Alignment	Relation	Spatial Data
COMPONENT	3.3.1 Solid Waste Collection Coverage	CityStrength 15 <sup>A</sup>		
	3.3.1.1 Proportion of solid waste collected out of total solid waste generated by the city, per category of waste (municipal/non-municipal; hazardous/non-hazardous, including through waste drop-off facilities for non-municipal).	SDG 11.6.1 <sup>F</sup> & 12.4.2 <sup>F</sup> ISO 37120 16.2 <sup>F</sup> & 16.6 <sup>F</sup> CPI-ES 2.1 <sup>A</sup>	Direct	
	3.3.1.1.1 If the proportion of solid waste collected is considered inadequate, please indicate reason(s), per category of waste [-]		Direct	
	3.3.1.1.2 If informal solid waste collection exists, please characterise the amount collected and, if available, specify quantity (tonnes), per category of waste [-]		Direct	
	3.3.1.2 Number of waste pickers per 100 000 residents		Direct	
	3.3.2 Access to Collection Service	CityStrength 15 <sup>A</sup>		
	3.3.2.1 Percentage of population with regular municipal solid waste collection service (at least once a week) (Please disaggregate by sex and groups in vulnerable situation, if possible)	ESCI 10 <sup>C</sup> ISO 37120 16.1 <sup>C</sup>	Direct	Essential
	3.3.2.1.1 If percentage of population with regular municipal solid waste collection service is less than 100%, please indicate reason(s).		Direct	
	3.3.4 Treatment: Recovery of Solid Waste			
	3.3.4.1 Proportion of solid waste treated out of total generated, by type of treatment.	SDG 12.5.1 <sup>F</sup> & 12.4.2 <sup>F</sup> ESCI 14 <sup>C</sup> , 15 <sup>C</sup> & 16 <sup>C</sup> ISO 37120 16.3 <sup>F</sup> & 16.10 <sup>F</sup> CPI-ES 2.3 <sup>C</sup>	Indirect	
	3.3.5 Treatment: Disposal of Solid Waste			
	3.3.5.2 Are controlled disposal sites accessible to businesses, private individuals or informal collectors for the delivery of wastes normally accepted at the site? (if yes, please select site(s) and specify who has access)		Direct	Optional
3.3.7 Maintenance and Monitoring of Solid Waste System				
Indicators	3.3.7.1 For collection and for treatment, what maintenance and monitoring measures are applied? [-]		Direct	

## SET 4

### 3. Basic infrastructure

		Alignment	Relation	Spatial Data	
COMPONENT	<b>3.4.1 Telecommunications - Phone and Internet</b>				
	<b>3.4.1.1 Access to Telephone and Internet Technologies</b>		SDG 5b <sup>A</sup> & 17.8.1 <sup>A</sup>		
	Indicators	3.4.1.1.1 Percentage of population with access to at least one telecommunication network (Please disaggregate by sex and groups in vulnerable situation, if possible)	CPI-ID 3.1 <sup>A</sup>	Indirect	
		3.4.1.1.1.1 If access is less than 100%, please indicate reason(s).		Indirect	
		3.4.1.1.2 Does the government provide any means of access to at least one telecommunication network at a public or community level in order to guarantee universal access?		Indirect	Optional
	<b>3.4.1.2 Coverage of Telephone and Internet Networks</b>				
		3.4.1.2.1 Percentage of households covered by communication network, per network type [•]	ITU_DOI A-7 <sup>A</sup>	Indirect	Essential
		3.4.1.2.1.1 If coverage is less than 100%, please indicate reason(s).		Indirect	
	<b>3.4.1.4 Maintenance and Monitoring of the Network</b>				
	Indicators	3.4.1.4.1 What maintenance and monitoring measures are applied, per network type? [•]		Direct	
	<b>3.4.2 Telecommunications - Television and Radio</b>				
	<b>3.4.2.1 Access to Television and Radio</b>		SDG 5b <sup>A</sup> & 17.8 <sup>A</sup>		
		3.4.2.1.1 Diversity of Access Mode, by mode and device options (Please disaggregate by sex and groups in vulnerable situation, if possible)		Indirect	
		3.4.2.1.1.1 If access is less than 100%, please indicate reason(s), per access mode [•]		Indirect	
<b>3.4.2.2 Coverage of Television and Radio Network</b>					
	3.4.2.2.1 Percentage of households covered by broadcast system		Indirect	Essential	
	3.4.2.2.1.1 If coverage is less than 100%, please indicate reason(s).		Indirect		
<b>3.4.2.4 Maintenance and Monitoring of the Network</b>					
Indicators	3.4.2.4.1 What are the maintenance and monitoring measures applied, per broadcasting system: TV, Radio [•]		Direct		

## SET 4

### 4. Mobility

		Alignment	Relation	Spatial Data	
COMPONENT	<b>4.1 Urban Mobility</b>				
	<b>4.1.1 Diversity of Transport Modes and Modal Share</b>				
		4.1.1.1 Percentage of commuting trips per mode of transport (Please disaggregate by sex, if possible).	SDG 9.1.2 <sup>P</sup> ESCI 56 <sup>P</sup> CPI-ID 4.1 <sup>P</sup>	Indirect	
		4.1.1.2 Percentage of population using paratransit modes of transportation (Please disaggregate by sex, if possible).	ISO-37120 18.3 <sup>A</sup> , 18.5 <sup>A</sup> SUTP <sup>A</sup>	Direct	
	<b>4.1.3 Access to Urban Mobility Systems</b>		SDG 11.2.1 <sup>P</sup> UN-Habitat <sup>P</sup>		
		4.1.3.1 Percentage of city population within 500 m distance to nearest public transport stop. Please disaggregate by modes of transport.	SDG 11.2.1 <sup>P</sup> IND03 UN-Habitat <sup>P</sup>	Indirect	Essential
		4.1.3.2 Is public transport affordable?	SDG 11.2.1 <sup>P</sup> IND01 UN-Habitat <sup>P</sup> ESCI 6.2 <sup>A</sup> CPI-ID 4.5 <sup>A</sup>	Indirect	
		4.1.3.2.1 If no, are there any subsidies/ financial support programmes for those who cannot afford it?		Indirect	
		4.1.3.3 Percentage of households with at least one car (Please disaggregate by sex of the head of the households, if possible).	OECD <sup>A</sup> ISO 37120 18.4 <sup>C</sup>	Indirect	
	Indicators	4.1.3.3.1 Please select barriers to car ownership if there is any.		Indirect	
	<b>4.2 Inter-Regional Mobility</b>				
	<b>4.2.3 Access to Inter-Regional Mobility Systems</b>				
	Indicators	4.2.3.5 Identify barriers to access inter-regional/ international transport modes (with particular attention to gender and groups in vulnerable situations).	ESCI 57 <sup>A</sup>	Indirect	

## SET 4

### 5. Municipal Public Services

5.2 Civil Registration		Alignment	Relation	Spatial Data
COMPONENT	<b>5.2.2 Coverage of Civil Registration</b>			
	5.2.2.2	Is the office(s) able to cover the entire population with civil registration services?	Direct	
	5.2.2.2.1	If no, please indicate the main reasons contributing to this limitation	Direct	
	<b>5.2.3 Access to Civil Registration</b>			
	5.2.3.2.1	If birth registration completeness of the most recent year is less than 100% and/or death registration is less than 80%, please indicate barriers.	Direct	
	5.2.3.5	Do people from areas outside the city (including rural areas) register in the city?	Indirect	
Indicators	5.2.3.5.1	If yes, please indicate main barriers affecting the people from areas outside the city in accessing civil registration.	Indirect	

## SET 4

### 6. Social Inclusion and Protection

6.2 Access to Social Protection Floor for A		Alignment	Relation	Spatial Data
COMPONENT	<b>6.2.1 Status of Poverty and Economic Deprivation</b>	SDG 1.3.1 <sup>P</sup> SDG 1.4.1 <sup>P</sup> ESCI 49 <sup>A</sup>		
	6.2.1.2	Estimated number and proportion of in work poor people, sex disaggregated.	SDG 1.2.2 <sup>P</sup>	Indirect
	6.2.1.3	Estimated number and proportion of youths not in education, employment or training (NEETs), sex disaggregated.	SDG 8.6.1	Indirect
	6.2.1.4	Estimated number and proportion of people aged 50 to 64 years out of work and excluded from benefits schemes, sex disaggregated.	SDG 8.5.2 <sup>P</sup>	Indirect
	6.2.1.5	Estimated number and proportion of unemployed people not benefiting of unemployment benefit.	SDG 8.5.2 <sup>P</sup> ESCI 67 <sup>A</sup>	Indirect
	6.2.1.6	Estimated number and proportion of poor elderly, especially those living with dependent household members or alone, sex disaggregated.	SDG 1.2.2 <sup>P</sup>	Indirect
	6.2.1.7	Estimated number and proportion of poor people (adults), other categories, sex disaggregated.	SDG 1.2.2 <sup>P</sup>	Indirect
	Indicators			
<b>6.3.3. Access to Basic Social Services - Social Care and Protection</b>		Alignment	Relation	Spatial Data
COMPONENT	<b>6.3.3.1 Coverage of Social Care Services</b>	SDG 1.3.1 <sup>A</sup> ESCI 50 <sup>A</sup>		
	6.3.3.1.1	Existence of preventive measures per each of the following category and subcategory of people in vulnerable situations, sex disaggregated.		Direct
	6.3.3.1.1.6	People living in marginalised communities.		Direct
	6.3.3.1.2	Existence of protective measures per each of the following category and subcategory of people in vulnerable situations, sex disaggregated.		Direct
	6.3.3.1.2.6	People living in marginalised communities.		Direct
	<b>6.3.3.2 Access to Social Care Services</b>	SDG 1.3.1 <sup>A</sup>		
	6.3.3.2.1	Access to preventive measures per each category and subcategory of people in vulnerable situations, sex disaggregated.		Direct
	6.3.3.2.1.6	People living in marginalised communities.		Direct
	6.3.3.2.2	Access to protective measures per each category and subcategory of people in vulnerable situations, sex disaggregated.		Direct
	Indicators	6.3.3.2.2.6	People living in marginalised communities.	

# SET 4

## 7. Economy

		7.1 Local Economic Structure	Alignment	Relation	Spatial Data
COMPONENT		<b>7.1.2 Business Composition</b>			
		7.1.2.2 Proportion of total businesses that can be classified as informal (by sector if possible)	SDG 8.3.1 <sup>A</sup> CPI-P 3.3 <sup>A</sup>	Direct	
		<b>7.1.3 Employment Composition</b>			
		7.1.3.3 Informal employment rate (please disaggregate by sex and groups in vulnerable situations, if possible)	SDG 8.3.1 <sup>C</sup> CPI-P 3.3 <sup>P</sup> ESCI 68 <sup>C</sup> NUA 59 <sup>A</sup> KILM 8 <sup>A</sup>	Direct	
		7.1.3.4 Youth unemployment rate (please disaggregate by sex and groups in vulnerable situations, if possible)	SDG 8.5.2 <sup>A</sup> CPI-ESI 2.2 <sup>C</sup> NUA 61 <sup>A</sup>	Indirect	
		7.1.3.5 NEET Rate (inactive) (please disaggregate by sex and groups in vulnerable situations, if possible)	SDG 8.6.1 <sup>C</sup>	Indirect	
		<b>7.1.4 Income and Inequality</b>			
		7.1.4.2 Proportion of households below the poverty line (disaggregate by sex of householder, if possible)	SDG 10.1.2 <sup>P</sup> ESCI 49 <sup>C</sup> CPI-ESI 1.2 <sup>C</sup>	Indirect	
		<b>7.1.5 Real Estate to Income Ratio</b>			
	Indicators	7.1.5.2 Housing stock composition (public, private, informal)	ESCI 51 <sup>A</sup>	Direct	
	7.1.5.3 Average proportion of a household's budget spent on rental housing	OECD A1.3 <sup>A</sup>	Indirect		
COMPONENT		<b>7.2 Fiscal Stability and Municipal Finance</b>	Alignment	Relation	Spatial Data
		<b>7.2.1 Revenue Composition</b>			
		7.2.1.1 Composition of revenue by department/government entity	ESCI 105.106 <sup>P</sup> ARUP 6.2 <sup>A</sup>	Indirect	
		<b>7.2.2 Own-Source Revenue</b>	SDG 17.1 <sup>A</sup> CPI-UGL 2.1 <sup>C</sup>		
	Indicators	7.2.2.3 Percentage of inhabitants paying land/property tax	ESCI 109 <sup>A</sup>	Indirect	
COMPONENT		<b>7.3 Market Connectivity</b>	Alignment	Relation	Spatial Data
		<b>7.3.1 Access to Financial Products</b>	SDG 8.10 <sup>A</sup>		
		7.3.1.1 Proportion of population with a bank account (disaggregate by sex and groups in vulnerable situations, if possible)	SDG 8.10.2 <sup>C</sup>	Direct	
		7.3.1.2 Proportion of businesses with a bank account	SDG 8.10.2 <sup>A</sup> , 9.3 <sup>A</sup>	Direct	
		7.3.1.4 Proportion of population utilising mobile vending applications (disaggregate by sex and groups in vulnerable situations, if possible)		Indirect	
		<b>7.3.2 Investment Context</b>			
	Indicators	7.3.2.1 National Business Freedom measure according to the Index of Economic Freedom	SDG 8.3 <sup>A</sup> ESCI 64 <sup>A</sup> WBICSO Economic Opportunity <sup>A</sup> ARUP 2.2-2.3 <sup>A</sup> , 6.4 <sup>A</sup>	Direct	

# SET 4

## 8. Ecology

		8.1 Ecosystem Services	Alignment	Relation	Spatial Data
		<b>8.1.2 Ecosystem Services Maintenance</b>	SDG 15.1 <sup>A</sup> , 14.2 <sup>A</sup>		
Indicators	8.1.2.2	Please identify the policies or the plans that the local government developed to preserve the ecosystem services selected in 8.1.2.1.	SDG 15.9 <sup>P</sup> , 2.3 <sup>A</sup> , 2.4 <sup>A</sup> , 2.C <sup>A</sup> , 6.6 <sup>A</sup> , 12.2 <sup>A</sup> , 14.4 <sup>A</sup>	Indirect	
		<b>8.3 Biodiversity and Green Infrastructure</b>	Alignment	Relation	Spatial Data
		<b>8.3.1 Native Biodiversity in the City</b>			
		8.3.1.2.1 Please, provide a full list of invasive alien species and, if available, information regarding areas in the city where these species concentrate.		Indirect	Optional
		8.3.1.2.2 Does the local government take measures (regulation, monitoring, enforcement) to prevent or control invasive alien species?	SDG 15.8.1 <sup>P</sup>	Indirect	
		8.3.1.4 Specify the urban green space per capita and disaggregate, if possible, by sex, age and groups in vulnerable situation.	ISO-37120 19.1 <sup>C</sup> ESCI 45 <sup>C</sup> CPI-OOL 4.2 <sup>C</sup>	Indirect	Optional
		8.3.1.4.1 Select barriers that may reduce access to the urban green spaces.		Indirect	
		<b>8.3.2 Protected Natural Areas in the Region and Connectivity</b>			
		8.3.2.3 Please specify the total size of the number of areas (in ha) that connect protected natural areas and urban green spaces in the city, using the Green Infrastructure Index as measure.		Indirect	Essential
Indicators	8.3.2.3.1	Please provide a map on which the connections are indicated, if available informed with GIS data.		Indirect	Essential
		<b>8.4 Environmental Quality</b>	Alignment	Relation	Spatial Data
		<b>8.4.3 Water Quality</b>	SDG 6.3.2 <sup>A</sup>		
		<i>Surface freshwater quality</i>			
		8.4.3.2 Select the pollutants present in inland surface water that have transgressed the established limit.		Indirect	Optional
		<b>8.4.5 Monitoring of Environmental Quality</b>			
		8.4.5.2 Existence, monitoring and enforcement of air quality regulations.	ESCI 25 <sup>C</sup>	Indirect	
		8.4.5.3 Existence, monitoring and enforcement of water quality regulations.	SDG 6.3 <sup>A</sup> SDG 14.1 <sup>A</sup>	Indirect	
Indicators	8.4.5.4	Existence, monitoring and enforcement of regulations regarding the additional types of pollution identified in indicator 8.4.4. I-]	ESCI 3 <sup>P</sup>	Indirect	

# 6. Informality Questionnaire

In order to make the Upgrading from Informality Enhancer (UIE) effective and easily applicable, a semi-structured questionnaire format was adopted to internally evaluate the CRPT. This questionnaire is expected to support the CRPT in contributing to UN-Habitat's work to support local governments in better understanding informality in cities as well as the impacts on people, and in developing strategies to improve informal living and working conditions. The questionnaire includes the following five sections:

1. Basic information for contextualisation
2. Informality Targeting
3. Informality Identification
4. Informality-informed Actions for Resilience (A4Rs)
5. M&E aspects for further applicability of recommendations

While the team in charge of the elaboration of the CRPT benefited from the support of various UN-Habitat specialists, the UIE questionnaire was designed as a complementary tool to support each team member in applying critical thinking when addressing informality.

The process of studying informality in a city should remain an iterative one, and it is expected that CRPT piloting in cities will bring new insights and enrich the current approach. At a later stage, the UIE is envisioned to lead to further research on the root causes and impacts of informality, and to contribute to broader policy-making and strategy development in cities, thus fulfilling a new role, and shifting from tool strengthening to capacity building in cities to address challenges.

1. Basic Information about CRPT	
Analytical set	Select: SET 1 to 4, or A4Rs
Urban Element	Select: Element 1 to 8
(Supra) Component	Full name
Expert in charge of the component	Name and role in the project
Informality expert (countercheck)	Name and role in the project
Date of assessment	

## 2. Informality Targeting [component level]

Questions	Answers
2.1 Is the component relevant for identifying informality?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span> Not determined yet <span style="float: right;">[ ]</span>
2.2 Select the lenses for which the component, or a part of its indicators, may be relevant	1. Land and Housing <span style="float: right;">[ ]</span> 2. Economy <span style="float: right;">[ ]</span> 3. Basic Infrastructure <span style="float: right;">[ ]</span> 4. Mobility <span style="float: right;">[ ]</span> 5. Social Inclusion and Protection <span style="float: right;">[ ]</span> 6. Other <span style="float: right;">[ ]</span>
2.3 Is the component relevant for informality upgrading policies?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span> Not determined yet <span style="float: right;">[ ]</span>

## 3. Informality Identification [name the indicator or the supporting indicator]

Questions	Answers
3.1 Does the indicator refer to the informal use of land?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span>
3.2 Does the indicator refer to the informal use of housing?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span>
3.3 If the indicator refers to barriers in accessing utilities or social services, does it consider geospatial settings or socio-economic capacity as a barrier?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span> If not, explain why:
3.4 Does the indicator refer to informal provision of utilities or social services?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span>
3.5 Does the indicator refer to paratransit or informal transportation services?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span>
3.6 Does the indicator refer to informal production or consumption?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span>
3.7 Does the indicator collect data disaggregated for groups in marginalized communities?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span>
3.8 Does the indicator collect spatial data that can locate informal activity?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span>

#### 4. Actions for Resilience (name the A4R relevant or the analysed component)

<p>Level of analysis</p> <p>The articulation with the New Urban Agenda implies work at the following five levels. Specify whether the recommendation for action for resilience is informed by informality at each of these levels.</p>	<p>UN-Habitat thematic area of interest</p> <p>Areas of interest for the identification of informality, according to UN-Habitat's branch structure. Select every relevant one.</p>
<p>4.1 Local implementable actions</p> <p>Yes <span style="float: right;">[ ]</span></p> <p>No <span style="float: right;">[ ]</span></p> <p>If not, explain why:</p>	<p>1. Urban legislation, land, governance <span style="float: right;">[ ]</span></p> <p>2. Urban planning and design branch <span style="float: right;">[ ]</span></p> <p>3. Urban economy <span style="float: right;">[ ]</span></p> <p>4. Urban basic services <span style="float: right;">[ ]</span></p> <p>5. Housing and slum upgrading <span style="float: right;">[ ]</span></p> <p>6. Research &amp; capacity development <span style="float: right;">[ ]</span></p> <p>7. Risk reduction and rehabilitation <span style="float: right;">[ ]</span></p>
<p>4.2 Financing the urbanisation</p> <p>Yes <span style="float: right;">[ ]</span></p> <p>No <span style="float: right;">[ ]</span></p> <p>If not, explain why:</p>	<p>1. Urban legislation, land, governance <span style="float: right;">[ ]</span></p> <p>2. Urban planning and design branch <span style="float: right;">[ ]</span></p> <p>3. Urban economy <span style="float: right;">[ ]</span></p> <p>4. Urban basic services <span style="float: right;">[ ]</span></p> <p>5. Housing and slum upgrading <span style="float: right;">[ ]</span></p> <p>6. Research &amp; capacity development <span style="float: right;">[ ]</span></p> <p>7. Risk reduction and rehabilitation <span style="float: right;">[ ]</span></p>
<p>4.3 Strategies, planning, design</p> <p>Yes <span style="float: right;">[ ]</span></p> <p>No <span style="float: right;">[ ]</span></p> <p>If not, explain why:</p>	<p>1. Urban legislation, land, governance <span style="float: right;">[ ]</span></p> <p>2. Urban planning and design branch <span style="float: right;">[ ]</span></p> <p>3. Urban economy <span style="float: right;">[ ]</span></p> <p>4. Urban basic services <span style="float: right;">[ ]</span></p> <p>5. Housing and slum upgrading <span style="float: right;">[ ]</span></p> <p>6. Research &amp; capacity development <span style="float: right;">[ ]</span></p> <p>7. Risk reduction and rehabilitation <span style="float: right;">[ ]</span></p>
<p>4.4 Existing rules and regulations</p> <p>Yes <span style="float: right;">[ ]</span></p> <p>No <span style="float: right;">[ ]</span></p> <p>If not, explain why:</p>	<p>1. Urban legislation, land, governance <span style="float: right;">[ ]</span></p> <p>2. Urban planning and design branch <span style="float: right;">[ ]</span></p> <p>3. Urban economy <span style="float: right;">[ ]</span></p> <p>4. Urban basic services <span style="float: right;">[ ]</span></p> <p>5. Housing and slum upgrading <span style="float: right;">[ ]</span></p> <p>6. Research &amp; capacity development <span style="float: right;">[ ]</span></p> <p>7. Risk reduction and rehabilitation <span style="float: right;">[ ]</span></p>
<p>4.5 Harmonisation with national urban planning</p> <p>Yes <span style="float: right;">[ ]</span></p> <p>No <span style="float: right;">[ ]</span></p> <p>If not, explain why:</p>	<p>1. Urban legislation, land, governance <span style="float: right;">[ ]</span></p> <p>2. Urban planning and design branch <span style="float: right;">[ ]</span></p> <p>3. Urban economy <span style="float: right;">[ ]</span></p> <p>4. Urban basic services <span style="float: right;">[ ]</span></p> <p>5. Housing and slum upgrading <span style="float: right;">[ ]</span></p> <p>6. Research &amp; capacity development <span style="float: right;">[ ]</span></p> <p>7. Risk reduction and rehabilitation <span style="float: right;">[ ]</span></p>

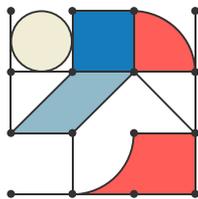
## 5. M&E

Questions	Answers
5.1 Are any informality-related baselines used in the analysis?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span> If not, explain why:
5.2 Are any informality-related aspects monitored when implementing the recommendations for actions for resilience?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span> If not, explain why:
5.3 Is any evaluation carried out in order to assess whether the recommendations were implemented?	Yes <span style="float: right;">[ ]</span> No <span style="float: right;">[ ]</span> If not, explain why:

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