

The Cities Alliance

Guidance Framework: Integrating Monitoring & Evaluation into City Development Strategies

August 2005

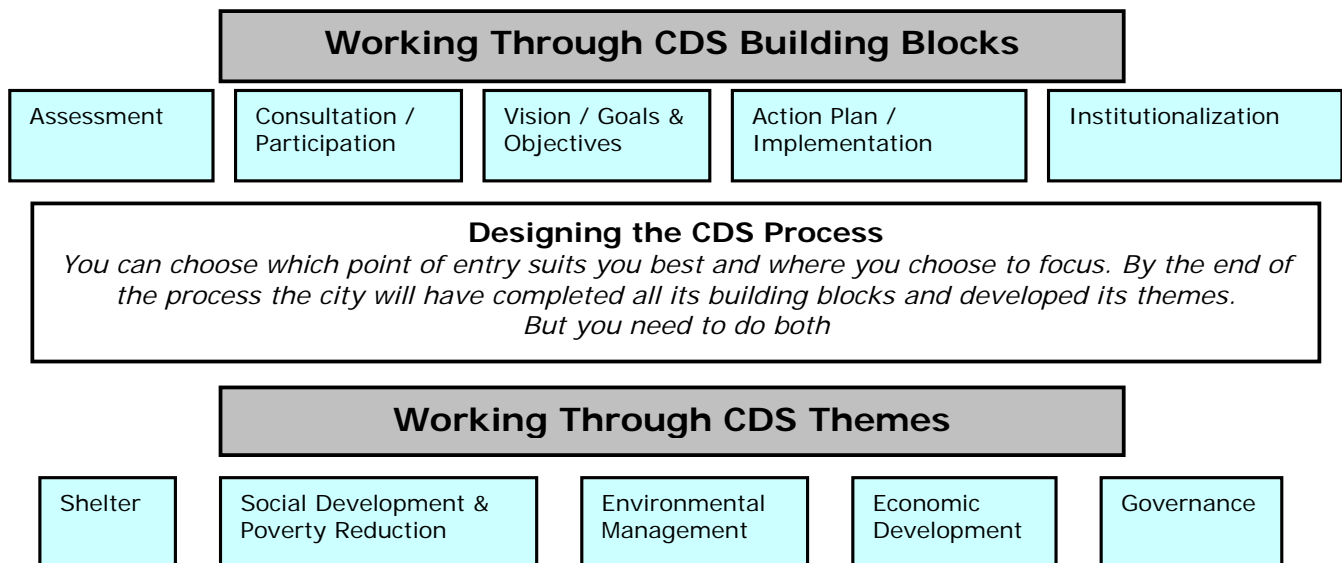
This framework has been designed to help cities integrate Monitoring and Evaluation (M&E) into their City Development Strategies (CDS). M&E is important because it enables cities to determine whether their CDS is achieving its objectives and realising its intended outcomes. The information generated by M&E can be used to inform and support CDS implementation, strengthen downstream project, programme and investment activities, and inform future strategic planning initiatives.

A basic principle of the CDS approach is that the way in which the strategy is developed, and the development issues that it addresses, are determined by each city and community to meet its own needs. There is no "one size fits all" approach to designing and implementing a CDS.

However, all CDSs use a common set of 'building blocks' to produce an agreed set of objectives. In addition, there are some common themes or issues that most CDS try to address. Furthermore, international experience indicates that M&E is most effective when M&E issues are considered throughout the CDS process, that is, in all the phases (or building blocks) of the process, and where it speaks to achievement of the most important issues (or themes) covered by the CDS.

Accordingly, this guidance framework therefore offers two general paths to developing an M&E system within a CDS. (See Figure 1, below) The first focuses on the "building blocks", that is: what M&E questions need to be asked at each phase of preparing a CDS? The second path focuses on CDS themes: what M&E questions need to be asked for each of the key issues?

Figure 1– Overview of the Guidance Framework for integrating M&E into a CDS



Cities can choose which entry point (working through the CDS building blocks, or through the CDS themes) is most useful given their CDS approach. However, experience shows that effective CDS M&E requires working systematically through both the CDS process and the CDS outcomes. This guidance framework has been designed in a way that weaves these two approaches together.

Designing the CDS

Each City should start its CDS with an initial process design to which will set out the basic map of how it will proceed with developing and implementing its strategy. This is where it will determine:

- Who will provide political leadership;
- Key stakeholders and how to elicit their support and cooperation;
- Respective roles and responsibilities, as well as a sense of joint ownership of the process;
- How the CDS is expected to proceed.

It is also the initial stage at which Cities should plan their approach to Monitoring and Evaluation (M&E). Cities should read through all the early modules provided and select an entry point to developing their M&E consistent with how they intend to proceed. Here priorities for ongoing work can be identified, necessary baseline data collected, and appropriate mechanisms put in place.

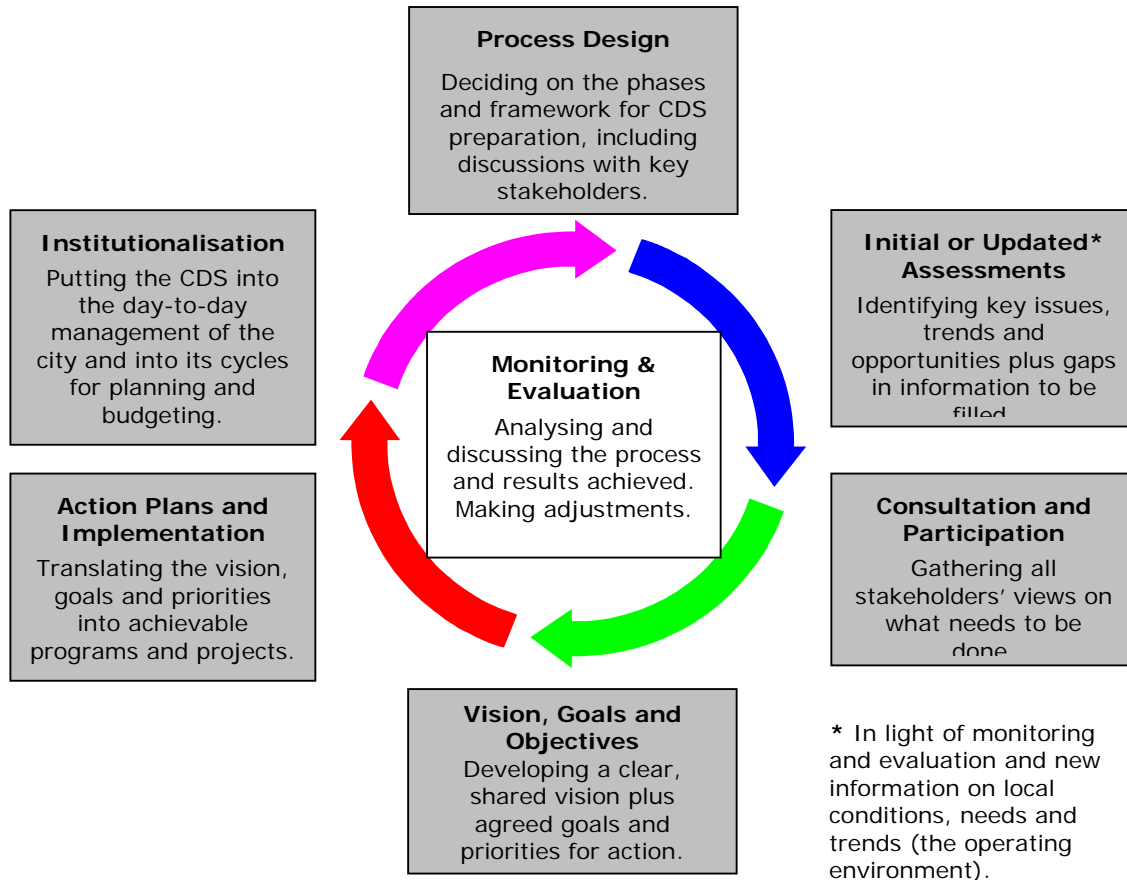
When devising its approach to M&E using these modules, cities should refer to the nine 'principles for good CDS M&E', which will help to ensure that the systems they develop are useful, robust and realistic:

- **Audience** – it is necessary to be clear about who the users of the M&E system will be and to ensure that the information collected meets their needs.
- **Practicality** - The system should be practical and realistic in terms of the availability and reliability of information.
- **Flexibility** – The overall framework for M&E should be capable of being modified as the city gains more information and /or as the challenges facing the city change.
- **Building Capacity**- M&E should build on the existing information available to the city.
- **Relevant & Focussed** –M&E should be relevant to and focused on the key objectives of the CDS.
- **Simple & To The Right Scale** – M&E should be to the right scale beginning with a core set of indicators that can be refined and expanded over time.
- **Appropriate & Meaningful** –it should include both quantitative and qualitative measures that make sense and are relevant.
- **Balanced** – M&E should cover both what the CDS is hoping to achieve (its outcomes) and how it is to be done (the process).
- **Benchmarking** – the M&E should make it possible to make comparisons with other Cities where these are helpful and informative.

Working Through The CDS Building Blocks

The building blocks in putting together a CDS can be viewed as forming a cycle (see figure 2).

Figure 2 – The building blocks in the CDS process



In designing the CDS, Cities need to be aware there is no single starting place that has been used for CDSs. Some cities have commenced with comprehensive assessments; others with extensive consultation and participation; some cities have started a CDS with a consultative process to agree upon city visions. Whatever their preferred starting point, Cities will need to complete all of the building blocks at some stage in preparing their CDS. Following the guidance on the "building blocks" will ensure that M&E is incorporated into the **process** of preparing the CDS

This guidance framework provides modules covering each of the five CDS building blocks:

- Assessment;
- Consultation and Participation;
- Visions, goals and objectives;
- Action plan and implementation; and
- Institutionalization).

It also outlines a final 'evaluation and review' stage to ensure that the M&E system which is developed is consistent with the 'principles of good M&E'.

Working Through The CDS Themes

CDSs generally explore a number of issues/themes. While all CDSs will have a focus on reducing poverty, Cities may present this commitment quite differently in their strategies. The emphasis on different themes will vary from city to city, and may change over time. The 'thematic' approach to developing CDS M&E encourages cities to focus on the most important outcomes they expect from the CDS. Following the guidance on the themes will ensure that cities have prepared the basis for M&E for the proposed **outcomes** of the CDS.

While the objectives of individual CDSs differ there are some common "groups" of themes in CDSs internationally. To illustrate how M&E can be integrated into the themes of a CDS we have used a thematic grouping developed by UN-Habitat for developing urban indicators. The five themes are:

- Shelter
- Social development & poverty reduction
- Environmental management
- Economic development
- Governance

The guidance note includes a module for each of these five themes. Not all may be relevant to the CDS a particular City, so it may choose to use, alter or rename them as appropriate.

The Millennium Development Goals (MDGs) provide a shared vision of a much-improved world by 2015. They provide an internationally agreed basis for measuring poverty reduction and other development objectives and thus provide opportunities for benchmarking on a national and international basis. Furthermore, donor agencies are increasingly aligning country assistance strategies in accordance with the MDGs. There are a number of initiatives underway to translate the MDGs into objectives and indicators relevant and appropriate to the city level. Cities preparing CDSs will therefore find it increasing useful to use the MDGs as points of reference for their strategies and the city level indicators which are being developed as measures of their success (see Annex 2).

Using the Modules in this Guidance Framework

The modules in this guidance framework use a question-based format to explore the key issues associated with integrating monitoring and evaluation into a CDS. An example is provided in each worksheet to illustrate the types of information that might be used. This is intended purely as an illustration and each City should insert its own relevant information.

At the end of each module there are links to more detailed advice and guidance so that city leaders can find out more about the approaches used in other cities and those which have been recommended by international agencies.

Documenting the M&E approach

Having worked through these modules, some cities may choose to translate this information into a formal M&E framework. This could take the form of a 'logframe', or a matrix of performance indicators, baselines and targets for each of the CDS objectives. This summary could be included as an annex of the CDS, or as a stand alone document.

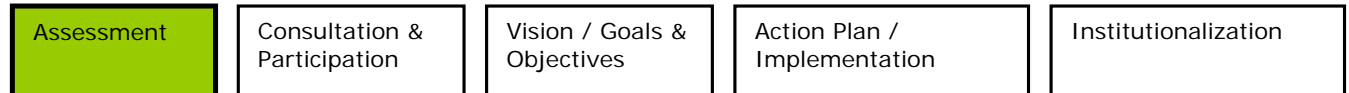
Utilizing information from CDS Monitoring and Evaluation

CDS monitoring and evaluation systems should be designed to give key actors (especially mayors and city managers) and citizens a tool for setting targets and for measuring city development. Accordingly, it is important to identify who will use the M&E framework and how the information will be collected, analysed and disseminated. Experience in CDS cities around the world has shown that the involvement of stakeholders and independent actors in monitoring and evaluation activities can greatly enhance CDS implementation. In particular, it is important to engage with the beneficiaries of particular initiatives to verify that the expected outcomes are being realised.

CDS monitoring and evaluation can also play an important role in the communication strategies associated with CDSs. For example, various public education and awareness raising measures can be enhanced by providing citizens with up-to-date data on progress and achievements.

A key point is that is emphasized throughout this guidance framework is that to be successful, a CDS needs to be integrated with other strategic planning and management activities. The same principle applies for CDS monitoring and evaluation. The modules provided below have been designed to help cities work through these issues and institutionalise CDS monitoring and evaluation.

Working Through CDS Building Blocks



Introduction

The Assessment Phase of preparing a CDS is essentially about asking the question “where are we now”? It is the stage at which a City assesses its current situation, and where its leaders, managers and citizens explore important problems or issues where the city has limited or unreliable baseline information. In some case the initial assessment is broad ranging, covering a series of city development challenges. In other instances, CDS initial assessments focus on quite specific challenges or opportunities where the city lacks accurate baseline data (e.g., the drivers of demographic change, the creation of employment, the state of the environment).

Monitoring and Evaluation in the Initial Assessment Phase

At the completion of the Assessment Phase for a CDS, a City should be able to answer the following questions:

- What are the most important issues and problems that the CDS will be addressing?
- How do we know these are problems?
- How extensive is the problem for the City?
- What information do we have about the extent and nature of the problem?
- What other information do we need to have access to decide how important or extensive it is, or how we might address it?

The answers to these questions:

- Help to define the scope and focus of the CDS;
- Establish the baseline situation;
- Contributes to identifying realistic targets and benchmarks for improvement through the implementation of a development strategy; and
- Provide the basic information sources for evaluating the success of the CDS.

The worksheets (next page) list some key questions that cities can use to work through these issues.

WORKSHEET – M&E in the Initial Assessment Phase

Questions		Examples from shelter issues
What are the key issues of concern in the community?	--> -->	--> Housing availability and affordability --> Informal settlements
What are the available and potential resources to address these issues?	--> -->	--> Reliable data on revenues from Land Tax over the last decade and data on Property Sales Tax --> Estimates available of avoided land tax and sales tax
What information is currently available about these concerns?	--> -->	--> Data on the number of existing dwellings --> Data on construction activity
How reliable is this information?	--> -->	--> Reasonably reliable (based on recent surveys).
Do we need any additional information in order to decide how to proceed?	--> -->	--> Yes. More detailed information on migration and availability of affordable housing.
Can this information be obtained from other organisations?	--> -->	--> The construction industry made have additional data. --> Local NGOs also have qualitative information.
What additional information collection is required?	--> -->	--> Information on: homelessness / slum dwellers / informal settlements. --> Data on housing availability and costs.

A good way to sum-up the initial assessment phase is to answer the following key questions:

Questions	
In what areas does the city have sufficient information?	--> -->
What are the priorities for collecting new information?	--> -->

Further Reading and References:

Theme:	Urban Indicators - Millennium Development Goals
Title:	<i>Urban Indicators Guidelines: Monitoring the Habitat Agenda and the Millennium Development Goals</i>
Resource type:	Guide
Agency:	UN-HABITAT, United Nations Human Settlements Programme (UNHSP)
Year of Publication:	August 2004
Details:	PDF (1.18 MB); 68pp.
Link:	< http://www.unchs.org/programmes/guo/urban_indicators.asp > Active May 2005
Programme outline:	The Global Urban Observatory (GUO) addresses the urgent need to improve the world-wide base of urban knowledge by helping Governments, local authorities and organizations of the civil society develop and apply policy-oriented urban indicators, statistics and other urban information. The GUO was established by UN-HABITAT in response to a decision of the United Nations Commission on Human Settlements, which called for a mechanism to monitor global progress in implementing the Habitat Agenda and to monitor and evaluate global urban conditions and trends.

Working Through CDS Building Blocks



Introduction

Community (or “stakeholder”) Consultation and Participation is a feature of every CDS process. Consultation and Participation activities are about getting people involved in the strategic planning process - finding out what they know about the city, what different groups contribute to city development, what suggestions/ideas they have for the future development of the city, and what their priorities are for reform. In many cities, the CDS process provides a unique opportunity to engage with key stakeholders to develop a shared vision and set of priorities for city development. Effective consultation and participation can also ensure that the CDS has strong “buy-in”, which help to facilitate implementation activities.

Monitoring & Evaluation in the Consultation & Participation Phase

In many cases, there is no single or discrete consultation and participation element in the CDS process. Instead, community or stakeholder consultation and participation are woven throughout the CDS process. Nevertheless, when developing a CDS M&E system, it is useful to consider a core set of questions regarding the information needed to inform current and future stakeholder dialogue.

When consulting with stakeholders and other CDS participants, it is also important to recognise that stakeholders often have different views as to what are the most important issues. Completing the following table may help to identify information needs and information gaps.

The direct involvement of stakeholders and independent actors in monitoring and evaluation activities, making judgements or comments on how successful particular activities or strategies have been, can greatly enhance CDS implementation. In particular, it is important to engage with those who are intended to benefit from particular initiatives to verify that the expected outcomes are being realised.

WORKSHEET – M&E in the Consultation & Participation Phase

Who are the key stakeholders? ^	How will these stakeholders be consulted?	What are the key issues & concerns for these stakeholders	What information on these issues is already available?	What additional information do these stakeholders think is needed for the CDS?
Example: Environmental NGOs	Participation in workshops and representation of CDS community advisory committee	The three key issues are water quality, erosion and deforestation.	Sporadic water quality testing by local authorities. Maps of deforestation from national GIS database. No systematic assessments of erosion.	Improved water quality testing by local government authorities and environmental protection agencies. A study of erosion and mitigation measures.

^ The list of stakeholders should be as extensive as possible. It can include various groups of citizens, representatives from different sectors of the local economy, and representatives from institutions active on these issues. This may also include different groups and sections with local government itself.

The following table will help to sum some of the key M&E issues:

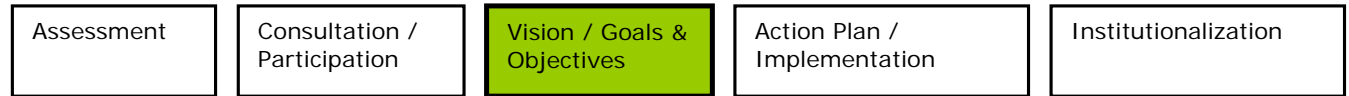
Questions	
What are the issues and concerns where there is agreement among stakeholders?	--> -->
What additional information would be most useful to inform ongoing discussions?	--> -->
How will stakeholders and independent actors be involved in Monitoring and Evaluating the outcomes of the CDS?	--> -->
How will the city monitor the quality & effectiveness of stakeholder participation in the future?	--> -->
How will the city keep the stakeholders informed about progress with the CDS and how effectively it is meeting its objectives?	--> -->

Further Reading and References:

Theme:	Urban Governance Toolkits
Title:	<i>Tools to Support Participatory Urban Decision Making</i>
Resource type:	Toolkits
Agency:	UNCHS (Habitat), Urban Governance Campaign
Year of Publication:	2001
Details:	Multi-Format (2.59MB); 156pp.
Link:	< www.unhabitat.org/campaigns/governance/docs_pubs.asp > Active May 2005 Note: Go to Theme Heading 'Urban Governance Toolkits'.
Theme:	Partnerships
Title:	<i>The Toolkit Partnership</i>
Resource type:	Case studies
Agency:	Toolkit Citizen Partnership
Year of Publication:	N/A
Details:	A network of various case studies of citizen participation in local initiatives.
Link:	< http://www.toolkitparticipation.nl/index.php > Active May 2005
Programme outline:	We are a growing group of civil society (NGO) and local government organisations from all over the world, working together to promote participatory local governance. Our site offers information on tools which promote citizen participation, a forum for discussions and it holds articles for further reference. The toolkit offers various types of information on citizen participation in local governance. The major part of the website is filled with a database of cases from all over the world. Each case describes a real-life practice on participatory governance, including tools used and lessons learnt.
Theme:	Partnerships
Title:	<i>Participation and Social Assessment: Tools and Techniques</i>
Resource type:	Guide; Techniques
Author / Agency:	Rietbergen-McCracken / Narayan (compiled); World Bank
Year of Publication:	2000
Details:	PDF (818 KB); 358pp
Link:	< http://www.worldbank.org/participation/pme/webfiles/Toolkit.pdf > Active May 2005.

See also: CIVICUS: CIVICUS is an international alliance established in 1993 to nurture the foundation, growth and protection of citizen action throughout the world, especially in areas where participatory democracy and citizens' freedom of association are threatened. CIVICUS currently has more than 650 members in 110 countries. Our membership is diverse, encompassing networks and organisational sectors, including policy and research, grant-making, youth, women, and the environment. < <http://www.civicus.org/new/default.asp> > Active May 2005.

Working Through CDS Building Blocks



Introduction

At the core of the CDS process is the task of determining a vision for the development of the city and a clear set of goals and objectives. Establishing a vision, goals and objectives means asking: “where are we trying to get to?” in the short, medium and long term.

This module focuses on the monitoring and evaluation issues associated with defining the vision, goals and objectives of the CDS. The following modules focus on the M&E issues relevant to the development of more detailed action plans and implementation schedules.

Monitoring & Evaluation in the “Vision, Goals & Objectives” Phase

Developing a clear, shared vision and agreed set of realistic goals and objectives is invariably a very challenging task. M&E plays a key role here by setting out how success in achieving the CDS objectives and outcomes will be measured and monitored on an ongoing basis. A good M&E system is tailored to the core objectives of the CDS and enables city managers and stakeholders to determine whether the CDS is on track.

A useful way to achieve this is to establish a core set of performance indicators directly linked to the CDS’s objectives. These indicators can be both qualitative and quantitative, depending on data availability, M&E capacity and resource constraints.

Having established the objectives and performance indicators, it is also useful to establish targets for the short, medium and long term. When developing targets, it may be possible to benchmark the city’s performance with other cities and regions.

WORKSHEET – M&E in the “Vision / Goals / Objectives” Phase

<p>What were the key concerns identified in the initial assessment and during community consultation (see tables from earlier worksheets)</p>	<p>How can progress towards these goals be measured?</p>	<p>What performance indicators are most useful?</p>	<p>Does the city have good baseline data?</p>	<p>Do we need any additional information in order to decide how to proceed?</p>
<p>Example: Reducing Poverty in the city</p>	<p>Surveying employment and household income on an annual basis</p>	<p>The unemployment rate, average household income in the city.</p>	<p>No. Data from national assessment is available, but this is dated and the regional information does not correspond with the city boundaries.</p>	<p>Yes. Additional guidance and support is required to collect this data on a regular basis.</p>

The next step is to define a core set of performance indicators. Performance indicators are used to measure whether the CDS has achieved its intended results. These measures can be numerical (quantitative) or descriptive (qualitative). Each performance measure requires a description of the baseline situation, and short- medium and long-term targets.

What are the key concerns identified in the initial assessment and during community consultation (see tables above)	Performance Indicator/s	Baseline	Targets [^]
Example: Reducing Poverty in the City	1. Unemployment rate 2. Households below country/city official poverty line 3. % Households with access to potable water and 4. % Households with access to good sanitation facilities	1. Unknown because of scale of the informal economy 2. Estimated to be 30% 3. 2000: 60% of formal dwellings, <20% for informal settlements 4. 2000: 40% of formal dwellings, <5% for informal settlements.	1. NGOs report more people working and in paid employment 2. Number of households below official poverty line reducing and NGOs reporting lower levels of poverty 3. 2007 target 75% and 30%; 2010 target 90% and 50%; 2015 target 95% and 70% 4. 2007 target 80% and 40%; 2010 target 90% and 50%; 2015 target 15% and 60%

[^] When developing indicators and targets, it is useful to identify different time horizons for different types of deliverables, and to distinguish between measuring/monitoring (1) short-term outputs (2) medium-term outcomes, and (3) long term impacts. When developing targets, consider options for benchmarking performance with other cities. The Millennium Development Goals may be a useful reference point in this regard (see below)

Millennium Development Goals (MDGs) - The MDGs provide a shared vision of a much improved world by 2015, where extreme poverty is cut in half, child mortality is greatly reduced, gender disparities in primary and secondary education are eliminated, women are more empowered, and health and environment indicators improve within a global partnership for development. The MDGs provide an internationally agreed basis for measuring poverty reduction and targets for each of the eight Goals. They thus provide opportunities for benchmarking on a national and international basis. Furthermore, donor agencies are increasingly aligning country assistance strategies in accordance with the MDGs. There are a number of initiatives underway to translate the MDGs into objectives and indicators relevant and appropriate to the city level. Cities preparing CDSs will therefore find it increasingly useful to use the MDGs as points of reference for their strategies and the city level indicators which are being developed as measures of their success (see Annex 2).

Further Information:

<p>Theme: Diagnosis, planning and implementation Title: Methodologies and concepts for diagnosis, planning and implementation Resource Type: Toolkit Agency: BMZ-GTZ (Germany) Federal Ministry for Economic Cooperation and Development. Year of Publication: N / A Details: HTML format of links to different concepts for diagnosis, planning and implementation. Link: < http://www.wiram.de/toolkit/methodologies/methodologies.htm > Active May 2005. Programme outline: In this part of the toolkit you can have a look at a number of concepts for local and regional development. See also 'Analytical tools to get a structured view of a local reality' by same agency: < http://www.wiram.de/toolkit/tools/analytical-tools.htm > Active May 2005.</p>
<p>Theme: Diagnosis, planning and implementation Title: Systemic Instruments for Regional Development (English Summary) Resource Type: Background issues paper Author / Agency: R. Hummelbrunner / R. Lukesch; BMZ-GTZ (Germany) Federal Ministry for Economic Cooperation and Development. Year of Publication: 2002 Details: Word (475 KB) Link: < http://www.wiram.de/toolkit/resources/regional-urban.htm > Active May 2005. Programme outline: The aims of this research project commissioned by the Austrian Federal Chancellery are: (1) To give an overview of instruments particularly suitable for working with / in social systems; (2) To assess their relevance and applicability for regional development work; (3) To present and describe the instruments in a concise and well-structured manner (4) To provide useful background information to facilitate their application. This English summary presents the main findings.</p>
<p>Theme: Systems thinking; Formulate Scenarios and Decide Strategies Title: ARD procedure (Agricultural Research for Development) Agency: ICRA - International Centre for development oriented Research in Agriculture Year of Publication: N/A Details: Set of Learning resources for planning joint strategies to address shared challenges to the sustainable development of their rural economy and society. Link: < http://www.icra-edu.org/page.cfm?pageid=anglohome > Active May 2005 Programme outline: The ARD procedure designed by ICRA is a flexible, pragmatic sequence of activities that guide interdisciplinary and inter-institutional teams from an identified rural development problem to concrete proposals to address this problem via the steps of systems analysis and joint planning with the stakeholders involved.</p>
<p>Theme: Creative thinking; Education</p>

Title:	The Creative Age: Knowledge and skills for the new economy
Author / Agency:	Kimberly Seltzer and Tom Bentley; Demos UK
Year of Publication:	1999
Details:	PDF (663 KB); 109pp.
Link:	< http://www.demos.co.uk/catalogue/creativeage > Active May 2005
Programme outline:	As a knowledge-based economy emerges, economic and social value is created not just by what we know but by whether we apply our knowledge creatively. This report argues that creativity can be learned, and presents pioneering examples from education, community and business of how this can be done. The authors offer a radically different vision of education, which would position learners in diverse settings and require them to draw on their skills in practical and innovative ways. It proposes a ten-year programme of reform to ensure that learners can thrive in the knowledge economy.
Theme:	Creative thinking; Cities
Title:	The Creative City
Author / Agency:	Franco Bianchini, Charles Landry; Demos UK
Year of Publication:	1995
Details:	PDF (426 KB); 31pp.
Link:	< http://www.demos.co.uk/catalogue/thecreativecity > Active May 2005
Programme outline:	As a knowledge-based economy emerges, economic and social value is created not just by what we know but by whether we apply our knowledge creatively. This report argues that creativity can be learned, and presents pioneering examples from education, community and business of how this can be done. The authors offer a radically different vision of education, which would position learners in diverse settings and require them to draw on their skills in practical and innovative ways. It proposes a ten-year programme of reform to ensure that learners can thrive in the knowledge economy.

Further links on thought and visioning processes:

Systems Thinking:

< http://www.thinking.net/Systems_Thinking/systems_thinking.html >
 < <http://www.systems-thinking.org> >

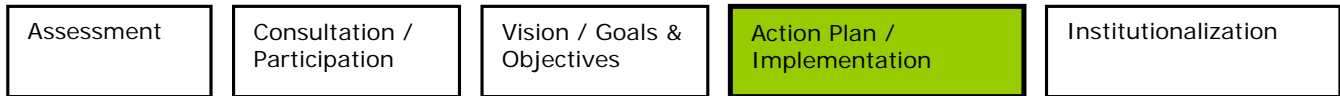
Think-tanks: Demos (UK) < <http://www.demos.co.uk> > Demos is a greenhouse for new ideas which can improve the quality of our lives. As an independent think-tank, our aim is to create an open resource of knowledge and learning that operates beyond traditional parties, identities and disciplines. Includes "Research Gateway" to significant think-tank organizations.

USAID: <

http://www.makingcitieswork.org/urbanThemes/city_governance/Participatory_Mgmt#vision >

Vision Setting: A common vision about where the city wants to be in 10-20 years, which helps align stakeholder efforts and guide the use of local resources for development is an incredibly powerful tool for city authorities.

Working Through CDS Building Blocks



Introduction

The CDS Action Plan typically sets out the range of activities (projects, programmes, investments, etc.) that will be required in order to achieve the CDS objectives. Realising the long-term vision for the city invariably implies a large number of activities, interventions and investments. In many cases it also implies significant institutional reforms. It is therefore important to differentiate between actions in the short, medium and long term. In the short term, action plans should be realistic and take resource and capacity issues into account.

Monitoring and Evaluation in the Participation/Consultation Phase

Monitoring and Evaluation can play a key role here in terms of verifying that the CDS implementation plan is on track (including key 'enabling' and 'intermediate steps'). This involves linking the CDS Goals and Objectives, and the activities, projects and programmes proposed in the CDS with the information needs and the resources needed to undertake these activities.

A CDS Action Plan will also typically set out a system for improving data collection, analysis and utilisation. Again, this involves examining information needs and data collection (data collection methods, responsibility for collecting the data, capacity building, training and resources need to collect this data).

WORKSHEET – M&E in the “Action Plan / Implementation” Phase

List the CDS Goals and Objectives	What activities, projects and programmes and proposed in the CDS to achieve these objectives? (Note: this may include modification and reforms to existing programmes)	What information do we need in order to know whether these activities are ‘on track’?	What resources needed to undertake these activities?	How will we verify that we have the necessary resources?
Example: Reduce homelessness	Promote investments in and construction of low cost housing	Feedback from NGOs, the construction industry and beneficiaries	Minimal additional resources. Refocusing existing work on promoting affordable housing	Feedback from NGOs, the construction industry and beneficiaries

The CDS Action Plan will also typically set out an action plan for improving data collection, analysis and utilisation.

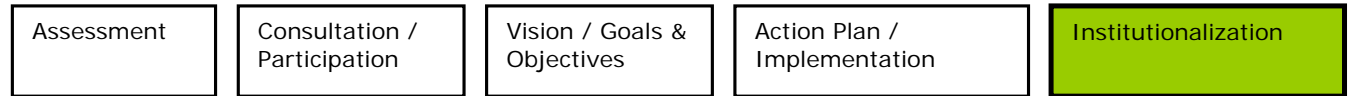
What additional information needs to be collected?	What is the best way to collect this data? ^	Who will be responsible for collecting the data?	What additional skills and resources are required to collect this data?
Examples 1. Feedback from NGOs on the status of homelessness in the community. - - - 2. Official figures on the number of homeless.	1. Ongoing consultation via an advisory committee on shelter. - - - 2. Annual surveys covering demographic trends and housing.	1. Community advisory committees. - - - 2. Planning Department	1. None - - - 2. Technical assistance on the design of the survey and the analysis of data.

^ Annex 1 provides some additional information on different data collection techniques, and the types of information that they generate.

Further Information:

Theme:	Doing CDS
Title:	<i>The CDS Tool Kit</i>
Resource Type:	Toolkit
Author / Agency:	Philippines CDS Network
Year of Publication:	N/A
Details:	HTML and PDF (Parts 1, 2 & 3)
Link:	< http://www.cdsea.org/nw/cdslearning.asp > Active May 2005
Theme:	Action Planning
Title:	Action Planning
Resource Type:	Toolkit
Author / Agency:	CIVICUS
Year of Publication:	Undated
Details:	PDF (290 KB); 51pp.
Link:	< http://www.civicus.org/new/civicus_toolkit_project.asp?c=036FB9 > Active May 2005.
Outline:	CIVICUS is an international alliance established in 1993 to nurture the foundation, growth and protection of citizen action throughout the world, especially in areas where participatory democracy and citizens' freedom of association are threatened.

Working Through CDS Building Blocks



Introduction

A city development strategy is of limited value if it is not 'institutionalised', that is, integrated into the city's routine operating procedures and systems (both existing systems and other new initiatives under development). This includes: other strategic planning initiatives, land use planning, budgets, expenditure and investment plans. These are often mandated under national legislation. If the CDS is to maintain its relevance, these initiatives need to be taken into account when preparing the CDS. Furthermore, the results of the CDS process (priorities, action plans, etc.) need to feed in to the cities routine operating procedures and systems.

An area that requires particular attention is municipal finance, and ensuring that the CDS considers is consistent with the financial capacity of the city. This may include examining the revenue base (e.g., user fees, broadened tax base and the local financial market for investment borrowings) and prioritising investments identified in the CDS in light of the available financial resources.

Monitoring and Evaluation in the Institutionalisation Phase

At this stage of the CDS process, monitoring and evaluation deals with making sure that the CDS is "on track", well-integrated into the day-to-day management of the city and into its cycles for planning and budgeting, and ensuring that good information systems are in place to determine whether the CDS and the city are delivering the outcomes that were expected.

WORKSHEET – M&E in the “Institutionalisation” Phase

Ensuring the CDS is institutionalised.	
What other strategic planning and routine management procedures are relevant to the implementation of the CDS (including donor-supported projects)?	---> ---
What steps have been taken to ensure that the CDS takes these into account, and to ensure that the CDS feeds into future planning and budgeting?	---> ---
How are the CDS objectives and action plan integrated with the city's routine budgeting cycle?	---> ---
How are the CDS objectives and action plan integrated with the city's capital / infrastructure investment plans?	---> ---
How are the CDS objectives and action plan integrated with city's land use plans?	---> ---
How are the CDS objectives and action plan integrated with city's communications strategy?	---> ---
Are there any other relevant plans and management practices with require special attention in implementing the CDS?	---> ---

A further set of questions relate to harmonising data collection and M&E arrangements:

Questions	
Is the CDS monitoring and evaluation consistent with other city-wide monitoring and evaluation being undertaken (e.g., performance indicators)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Has the M&E approach been endorsed by the city leadership (e.g., the mayor, other elected representatives, senior officials)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are the M&E activities (particularly any new data collection activities) fully-funded and integrated with budgeting?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Which unit / department of the city will be responsible for the coordinating CDS M&E? ^	--->

^ Refer to the M&E activities you have outlined in other modules.

Evaluation & Review

At the conclusion of this process, it is useful to conduct an overarching review of both the CDS process and the M&E arrangements to ensure that they are relevant, comprehensive and realistic. This may involve modifying objectives and action plans, particularly in the light of capacity and resource constraints. In most cases this also involves ensuring that the CDS has the endorsement of key officials (e.g., the mayor, the local council, local / regional governors). At this point in the CDS process it is useful to revisit / review the overall M&E arrangements to make sure the system is consistent with the “principles for good M&E”.

WORKSHEET – Reviewing the CDS M&E

Principles for good M&E	Has the CDS M&E taken this principle into account?
Audience – Are we clear who are the users of the M&E system and that the information we will collect meets their needs?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Practicality - Is the system practical and realistic in terms of the availability and reliability of information?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Flexibility – Can it be modified as we gain more information and /or as the challenges facing the city change?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Building Capacity – Does it build on the existing information available to the city?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Relevant & Focussed – Is it relevant to and focused on the key objectives of the CDS?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Simple & To The Right Scale – Is it to the right scale beginning with a core set of indicators that can be refined and expanded over time?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Appropriate & Meaningful – Does it include both quantitative and qualitative measures that make sense and are relevant?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Balanced – Does it cover both what the CDS is hoping to achieve (its outcomes) and how it is to be done (the process)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Benchmarking – Does it make comparisons with other Cities where these are helpful and informative?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Further Information:

Theme:	Capacity building
Title:	Evaluating Capacity Development: Experiences from Research and Development Organizations around the World
Resource Type:	Background report
Author / Agency:	Horton, D. (et al.). International Service for National Agricultural Research (ISNAR), the Netherlands; International Development Research Centre (IDRC), Canada; and ACP-EU Technical Centre for Agricultural and Rural Cooperation (CTA), the Netherlands: The Hague/Wageningen.
Year of Publication:	2003
Details:	PDF (819 KB); 192pp.
Link:	< http://acp-eu.euforic.org/civsoc/by_theme/121.htm > Active May 2005.
Outline:	The perspective that informs this important book is that every evaluation of a capacity development effort should itself contribute to the capacity development effort and ultimately to the organization's performance. This is a revolutionary idea in evaluation. With the idea have come the questions: Can it be done? And, if it is done, what will be the consequences? This book elucidates and deepens the idea, shows it can be done, and examines the consequences, both intended and unintended, of engaging in capacity development evaluation.

See also: CIVICUS 'Civil Society Planning Toolkits' to assist organisations build their capacity and achieve their goals. Based on requests from members, CIVICUS has produced several toolkits to enable organisations to improve their capacity in a number of areas: Communications and planning skills; Writing funding proposals; Planning Overview; Strategic Planning; Financial Controls and Accountability; Budgeting. Go to: < <http://www.civicus.org/new/default.asp?skip2=yes> > Active May 2005.

On Evaluation & Review

Theme:	Evaluation
Title:	JICA Guideline for Project Evaluation: Practical Methods for Project Evaluation
Resource Type:	Guide
Author / Agency:	Japan International Cooperation Agency (JICA)
Year of Publication:	September 2004.
Details:	PDF (210 KB); 28pp.
Link:	< http://www.jica.go.jp/english/evaluation/guides/guideline.html > Active May 2005.
Programme outline:	See also Part II: 'Evaluation Methods'; Part III: 'Management of Project Evaluations' and 'Frequently Asked Questions'

Theme:	Evaluation
Title:	The Integrated Monitoring, Evaluation and Research Plan (IMEP)
Resource Type:	Guide / tool
Author / Agency:	UNICEF

Year of Publication:	September 2003.
Details:	PDF (265 KB); 26pp.
Link:	< http://www.unicef.org/evaluation/index_13486.html > Active May 2005
Programme outline:	(IMEP) is a tool to ensure that UNICEF and partners have the data they need to manage their programmes, achieving the best results for children. It is an integral part of UNICEF Results Based Programme Planning and Management. The UNICEF M&E Training Resource presents the basic tool kit for managing the programme evaluation. If you would like more information on this resource, please contact: evaluation@unicef.org
Theme:	Evaluation, Monitoring
Title:	Handbook on Monitoring and Evaluation for Results
Resource Type:	Guide
Author / Agency:	United Nations Development Programme (UNDP)
Year of Publication:	2002
Details:	PDF by Section or Complete (837 KB); 152pp.
Link:	< http://www.undp.org/eo/Methodology > Active May 2005.
Programme outline:	United Nations Development Programme (UNDP) resources: The 'Methodology' section includes links to various publications on monitoring and evaluation, country-level impact assessment, results-based management, and more. The 'Publications and Reports' section provides full documents for many different types of evaluations.

Further resources: UNICEF provides a comprehensive list of links concerning the theme of Evaluation. Go to: < http://www.unicef.org/evaluation/index_evaluation.html > Active May 2005.

Working Through CDS Themes

Shelter

Social Development &
Poverty Reduction

Environmental
Management

Economic
Development

Governance

Introduction

Most City Development Strategies include a focus on improving housing, including reducing the proportion of the population living in slums and informal settlements. This module has been developed to help cities to integrate monitoring and evaluation of shelter issues throughout the CDS process (from initial assessment through to implementation, institutionalisation and ongoing review and renewal). Working through these questions will help Cities to:

- Develop a clear statement of shelter-related goals and objectives;
- Collecting and assessing the quality of existing information on shelter issues (and thereby developing a picture of the 'baseline' situation);
- Develop coherent strategies to improve the coherence CDS activities focussed on shelter;
- To establish a coherent framework for monitoring the success of shelter-related initiatives included in the CDS.

Addressing Shelter Issues in the Initial Assessment Phase of the CDS

At the initial assessment phase of a CDS, it is useful to examine the existing information on shelter-related issues¹, and to consider what additional information needs to be collected to inform CDS implementation. Overarching questions include:

Questions		Examples
What are the key shelter concerns in the community?	--> --> -->	--> Housing availability and affordability --> Informal settlements
What are the available and potential resources to address these issues?	--> --> -->	--> Reliable data on revenues from Land Tax over the last decade and data on Property Sales Tax --> Estimates available of avoided land tax and sales tax
What information is currently available about these concerns?	--> --> -->	--> Data on the number of existing dwellings --> Data on construction activity
How reliable is this information?	--> --> -->	--> Reasonably reliable (based on recent surveys).
Do we need any additional information in order to decide how to proceed?	--> --> -->	--> Yes. More detailed information on migration and availability of affordable housing.

¹ Shelter issues include: Homelessness, Youth Homelessness, Tenure types and security of tenure, Evictions, House Prices, Rent to income ratios, House price-to-income ratios, Land price-to-income ratios, Mortgage and non-mortgage, Floor area per person, New Dwelling Construction, Greenfield Dwelling Construction, Building materials...

Can this information be obtained from other organisations?	--> --> -->	--> The construction industry made have additional data. --> Local NGOs also have qualitative information.
What additional information collection is required?	--> --> -->	--> Information on: homelessness / slum dwellers / informal settlements. --> Data on housing availability and costs.

A good way to sum-up the initial assessment phase is to answer the following key questions:

Questions	
In what aspects of the shelter issues does the city have sufficient information?	--> --> -->
What are the priorities for collecting new information about shelter?	--> --> -->

Addressing Shelter Issues in the Participation & Consultation Phase of the CDS

When consulting with stakeholders and other CDS participants, it is important to recognise that stakeholders often have different views as to what are the most important issues. Completing the following table may help to identify information needs and information gaps.

Who are the key stakeholders? ^	How will these stakeholders be consulted?	What are the key issues & concerns for these stakeholders	What information on these issues is already available?	What additional information do these stakeholders think is needed for the CDS?
Example: NGOs	Participation in stakeholder workshops	Lack of affordable housing.	Data on the number of existing dwellings	Information on migration trends

^ The list of stakeholders should be as extensive as possible. It can include various groups of citizens, representatives from different sectors of the local economy, and representatives from institutions active on these issues. This may also include different groups and sections with local government itself.

The following table will help to sum some of the key M&E issues:

Questions	
What are the issues and concerns where there is agreement among stakeholders?	--> -->
What additional information would be most useful to inform ongoing discussions?	--> -->
How will stakeholders and independent actors be involved in Monitoring and Evaluating the outcomes of the CDS?	--> -->
How will the city monitor the quality & effectiveness of stakeholder participation in the future?	--> -->

Addressing Shelter Issues in the “Vision / Goals / Objectives” Phase of the CDS

When developing the CDS goals, vision and objectives, it is important to consider how success can be measured (i.e., how will we know when the goals have been reached)?

What are the key concerns identified in the initial assessment and during community consultation (see tables above)	How can progress towards these goals be measured?	What performance indicators are most useful?	Does the city have good baseline data?	Do we need any additional information in order to decide how to proceed?
Reducing homelessness	Ongoing consultation with the homeless Anecdotal evidence from NGOs. Data from regional housing organisations Annual surveys of housing availability & affordability	<u>Qualitative Measures:</u> Feedback from consultation indicates that that situation is improving; Anecdotal evidence from NGOs indicates that key causes of homelessness are being addressed. <u>Quantitative Measures:</u> Official figures on the number of homeless / informal settlements Official data on housing costs	No.	Yes.

The next step is to define a core set of performance indicators. Performance indicators are used to measure whether the CDS has achieved its intended results. These measures can be numerical (quantitative) or descriptive (qualitative). Each performance measure requires a description of the baseline situation, and short- medium and long-term targets.

What are the key concerns identified in the initial assessment and during community consultation (see tables above)	Performance Indicator/s	Baseline	Targets [^]
Reduce homelessness	1. Anecdotal evidence from NGOs on the status of homelessness in the community. - - - 2. Official figures on the number of homeless.	1. In 2005 NGOs report that homelessness is increasing. - - - 2. Official estimate on the number of homeless (in total or as a percentage of the total population)	1. By 2007, NGOs report that the number of homeless has stabilised, and by 2009 the number of homeless has declined. - - - 2. To stabilise the number of homeless by 2007 and reduce the number of homeless by 50% by 2009.

[^] When developing indicators and targets, it is useful to identify different time horizons for different types of deliverables, and to distinguish between measuring/monitoring (1) short-term outputs (2) medium-term outcomes, and (3) long term impacts. It is also useful to consider options for benchmarking performance with other cities. A useful reference in this regard is the millennium development goals. MDG#7 refers to a “significant improvement in the lives of at least 100 million slum dwellers”. See the Vision / Goals & Objectives module in this guide for more information. Additional information of MDG performance indicators at http://www.developmentgoals.org/About_the_goals.htm

Addressing Shelter Issues in the “Action Plan / Implementation” Phase of the CDS

The CDS Action Plan typically sets out the range of activities (projects, programmes, investments, etc.) that will be required in order to achieve the CDS objectives. Monitoring and Evaluation can play a key role here in terms of verifying that the CDS implementation plan is on track (including key ‘enabling’ and ‘intermediate steps’).

List the CDS Goals and Objectives	What activities, projects and programmes and proposed in the CDS to achieve these objectives? (Note: this may include modification and reforms to existing programmes)	What information do we need in order to know whether these activities are ‘on track’?	What resources needed to undertake these activities?	How will we verify that we have the necessary resources?
Reduce homelessness	Promote investments in and construction of low cost housing	Feedback from NGOs, the construction industry and beneficiaries	Minimal additional resources. Refocusing existing work on promoting affordable housing	Feedback from NGOs, the construction industry and beneficiaries

The CDS Action Plan will also typically set out an action plan for improving data collection, analysis and utilisation.

What additional information needs to be collected?	What is the best way to collect this data? ^	Who will be responsible for collecting the data?	What additional skills and resources are required to collect this data?
1. Feedback from NGOs on the status of homelessness in the community. - - - 2. Official figures on the number of homeless.	1. Ongoing consultation via an advisory committee on shelter. - - - 2. Annual surveys covering demographic trends and housing.	1. Community advisory committees. - - - 2. Planning Department	1. None - - - 2. Technical assistance on the design of the survey and the analysis of data.

^ Annex 1 provides some additional information on different data collection techniques, and the types of information that they generate.

Addressing Shelter Issues in the Institutionalisation Phase of the CDS

Finally, there are a series of M&E issues regarding integrating (“mainstreaming”) the CDS into other city development initiatives. The first step is to ensure that the CDS is integrated into other routine planning and management systems:

Ensuring that shelter-related activities in the CDS are institutionalised.	
Are they integrated with the city’s other shelter-related programmes and projects (including donor-supported projects)?	---> --->
Are they integrated with the city’s routine planning and budget cycles?	---> --->
Are they integrated with the city’s capital / infrastructure investment plans?	---> --->
Are they integrated with city’s land use plans?	---> --->
And any other relevant plans and management practices?	---> --->

A further set of questions relate to harmonising data collection and M&E arrangements:

Questions	
Is the CDS monitoring and evaluation of shelter issues consistent with the monitoring and evaluation being undertaken by the city of its general shelter-related initiatives and activities?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Has the M&E approach been endorsed by the city leadership (e.g., the mayor, other elected representatives, senior officials)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are the M&E activities (particularly any new data collection activities) fully-funded and integrated with budgeting?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Which unit / department of the city will be responsible for the managing the M&E activities relating to shelter specified in the CDS? ^	--->
How will the city keep the stakeholders informed about progress with the CDS and how effectively it is meeting its objectives relating to shelter ?	--->

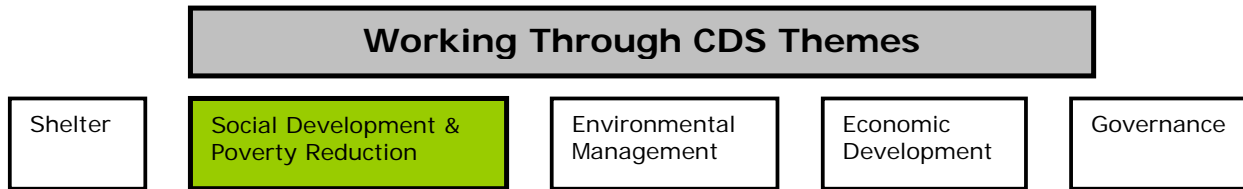
^ Refer to the M&E activities you have outlined at each building block in this module.

At the conclusion of the CDS design process it is useful to review the overall M&E arrangements to make sure the system is consistent with the “principles for good M&E”.

Principles for good M&E	Has the CDS M&E taken this principle into account?
Audience – Are we clear who are the users of the M&E system and that the information we will collect meets their needs?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Practicality - Is the system practical and realistic in terms of the availability and reliability of information?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Flexibility – Can it be modified as we gain more information and /or as the challenges facing the city change?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Building Capacity – Does it build on the existing information available to the city?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Relevant & Focussed – Is it relevant to and focused on the key objectives of the CDS?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Simple & To The Right Scale – Is it to the right scale beginning with a core set of indicators that can be refined and expanded over time?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Appropriate & Meaningful – Does it include both quantitative and qualitative measures that make sense and are relevant?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Balanced – Does it cover both what the CDS is hoping to achieve (its outcomes) and how it is to be done (the process)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Benchmarking – Does it make comparisons with other Cities where these are helpful and informative?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Further Information:

Theme:	Good Governance – Shelter and Housing
Title:	Good Governance Issues Report Card: Shelter & Housing
Resource type:	Worksheet / Toolkit
Author / Agency:	The Urban Governance Initiative (TUGI)
Year of Publication:	Undated
Details:	PDF (50 KB); 16pp.
Link:	< http://www.tugi.org/rcmanual.php > Active May 2005
Programme outline:	The Urban Governance Initiative (TUGI) is a regional project of the United Nations Development Programme (UNDP) that acts as a hub for promoting good urban governance through institutional capacity building, providing policy advisory services, enabling innovations on tools and methodologies for good urban governance and ensuring wide information dissemination and collaborative networking on all of the above within and between cities in the Asia Pacific region.
Theme:	Habitat Agenda; Indicators – Shelter
Title:	'Chapter 1. Shelter' in Urban Indicators Guidelines: Monitoring the Habitat Agenda and the Millennium Development Goals
Resource type:	Guide
Author / Agency:	UN-HABITAT, United Nations Human Settlements Programme (UNHSP)
Year of Publication:	August 2004
Details:	PDF (1.18 MB); 68pp.
Link:	< http://www.unchs.org/programmes/guo/urban_indicators.asp > Active May 2005



Introduction

Measures to promote social development and reduce/eradicate poverty are a feature of every City Development Strategy. This theme covers a broad range of range of issues, community aspiration and activities and interventions by local government authorities. The social development and poverty reduction elements of a CDS may include objectives and actions relating to public health, education, demographic change, crime and security issues, conflict resolution, and a range of other issues.

This module has been designed to help cities to integrate monitoring and evaluation into their work on social development and poverty reduction. Working through the module will help the city to:

- Develop a clear statement of their social development and poverty reduction goals and objectives;
- Collect and assess the quality of existing information on social development and poverty reduction (and thereby developing a picture of the 'baseline' situation);
- Develop coherent strategies to improve the coherence CDS activities focussed social development and poverty reduction;
- To establish a coherent framework for monitoring the success of social development and poverty reduction initiatives included in the CDS.

Addressing Social Development and Poverty Reduction issues in the Initial Assessment Phase of the CDS

At the initial assessment phase of a CDS, it is useful to examine the existing information on social development and poverty reduction, and to consider what additional information needs to be collected to inform CDS implementation. Overarching questions include:

Questions		Examples
What are the key social development and poverty reduction concerns in the community?	--> -->	--> Rapid Population Growth and Urbanisation --> High levels of unemployment, particularly among youth --> High level of crime in some districts --> Increasing demands on infrastructure, and for public transport, education and health care services.
What are the available and potential resources to address these issues?	--> -->	--> Reliable data on health and education sector expenditure broken down my district. --> Discussion taking place with national government regarding intergovernmental financial arrangements regarding schools and health facilities.
What information is currently available about these concerns?	--> -->	--> Census data from 1998, and estimates of recent population growth --> Widespread community concern regarding crime and security. --> Anecdotal data on growing demand at health care centres. --> Good data on primary school and secondary school enrolment. --> Data on growth (in an aggregate sense) on informal settlements.
How reliable is this information?	--> -->	--> Much of the existing data is dated or based on anecdotal or qualitative assessments.
Do we need any additional information in order to decide how to proceed?	--> -->	--> Yes. Current data is needed in all of these priority areas.

Can this information be obtained from other organisations?	--> -->	--> Sectoral Ministries and Regional Authorities have data, much of which could be disaggregated to the district level. --> Local NGOs also have substantial expertise and data.
What additional information collection is required?	--> -->	--> A census and survey to quantify population growth and drivers of immigration. --> A survey of employers to identify barriers to growing investment and employment.

A good way to sum-up the initial assessment phase is to answer the following key questions:

Questions	
In what aspects of social development and poverty reduction does the city have sufficient information?	--> --> -->
What are the priorities for collecting new information about social development and poverty reduction?	--> --> -->

Addressing Social Development and Poverty Reduction issues in the Participation & Consultation Phases of the CDS

When consulting with stakeholders and other CDS participants, it is important to recognise that stakeholders often have different views as to what are the most important issues. Completing the following table may help to identify information needs and information gaps.

Who are the key stakeholders? ^	How will these stakeholders be consulted?	What are the key issues & concerns for these stakeholders	What information on these issues is already available?	What additional information do these stakeholders think is needed for the CDS?
Example: People affected by HIV/AIDS	Representatives and NGO groups will participate in stakeholder workshops	Access to treatment (advice and affordable medication), impact on families and children orphaned by HIV/AIDS.	The health Ministry has data for the region as a whole, and for individual health clinics. Various NGOs have conducted surveys	An epidemiological assessment for the city as a whole, covering disease vectors, treatment and support facilities.

^ The list of stakeholders should be as extensive as possible. It can include various groups of citizens, representatives from different sectors of the local economy, and representatives from institutions active on these issues. This may also include different groups and departments within the local government itself.

The following table will help to sum some of the key M&E issues:

Questions	
What are the issues and concerns where there is agreement among stakeholders?	--> -->
What additional information would be most useful to inform ongoing discussions?	--> -->
How will stakeholders and independent actors be involved in Monitoring and Evaluating the outcomes of the CDS?	--> -->
How will the city monitor the quality & effectiveness of stakeholder participation in the future?	--> -->

CDS Building Block: Vision / Goals / Objectives

When developing the CDS goals, vision and objectives, it is important to consider how success can be measured (i.e., how will we know when the goals have been reached)?

What are the key concerns identified in the initial assessment and during community consultation (see tables above)	How can progress towards these goals be measured?	What performance indicators are most useful?	Does the city have good baseline data?	Do we need any additional information in order to decide how to proceed?
Reducing Crime	Data from police service. Feedback from community leaders.	<u>Qualitative Measures:</u> Number of violent crimes reported to police; % of population in prison; <u>Quantitative Measures:</u> Community leaders feedback regarding the sense of safety and security in their neighbourhoods	Yes, however communication with the police and with community leaders needs to be improved.	No.

The next step is to define a core set of performance indicators. Performance indicators are used to measure whether the CDS has achieved its intended results. These measures can be numerical (quantitative) or descriptive (qualitative). Each performance measure requires a description of the baseline situation, and short- medium and long-term targets.

What are the key concerns identified in the initial assessment and during community consultation (see tables above)	Performance Indicator/s	Baseline	Targets[^]
Improve services and access for the disabled.	Feedback from citizens with disabilities and from the peak body (NGO) representing citizens with disabilities.	Initial consultations reveal that the city does not have a coherent strategy for addressing the special needs of the disabled.	A survey of citizens with disabilities by complete by 2006. A strategy for addressing the needs of citizens with disabilities by 2007. Feedback from stakeholders verifies improved services and access by 2008.

[^] When developing indicators and targets, it is useful to identify different time horizons for different types of deliverables, and to distinguish between measuring/monitoring (1) short-term outputs (2) medium-term outcomes, and (3) long term impacts. It is also useful to consider options for benchmarking performance with other cities. A useful reference in this regard is the millennium development goals. All eight MDGs are relevant to a CDSs treatment of social and development and poverty reduction issues. See Annex 2

Addressing Social Development and Poverty Reduction issues in the Action Plan / Implementation Phase of the CDS

The CDS Action Plan typically sets out the range of activities (projects, programmes, investments, etc.) that will be required in order to achieve the CDS objectives. Monitoring and Evaluation can play a key role here in terms of verifying that the CDS implementation plan is on track (including key 'enabling' and 'intermediate steps').

List the CDS Goals and Objectives	What activities, projects and programmes and proposed in the CDS to achieve these objectives? (Note: this may include modification and reforms to existing programmes)	What information do we need in order to know whether these activities are 'on track'?	What resources needed to undertake these activities?	How will we verify that we have the necessary resources?
Reduce number of new HIV/AIDS infections	Community education campaign, particularly in schools in at risk communities. Additional resources for specialist clinics	Data from health clinics, feedback from NGOs, and epidemiological assessments conducted on a regular basis.	Epidemiological assessments are expensive, however, resources are available through the ministry of health and the national AIDS committee and potentially via aid agencies.	Feedback from community leaders, NGOs, health care providers, and school principals, and feedback from the groups targeted by the information campaigns.

The CDS Action Plan will also typically set out an action plan for improving data collection, analysis and utilisation.

What additional information needs to be collected?	What is the best way to collect this data? ^	Who will be responsible for collecting the data?	What additional skills and resources are required to collect this data?
1. Feedback from Clinics and NGOs on the number of new HIV Infections detected. - - - 2. Official Ministry of health data on new HIV infections.	1. Ongoing consultations with NGOs and health care specialists. - - - 2. Regular meetings and data exchanges with representatives of the Ministry of Health.	1. City General Manager to convene meetings. - - - 2. Public Health Department to initiate discussions with Ministry of Health.	1. None - - - 2. None

^ Annex 1 provides some additional information on different data collection techniques, and the types of information that they generate.

Addressing Social Development and Poverty Reduction issues in the Institutionalisation Phase of the CDS

Finally, there are a series of M&E issues regarding integrating (“mainstreaming”) the CDS into other city development initiatives. The first step is to ensure that the CDS is integrated into other routine planning and management systems:

Ensuring that Social Development and Poverty Reduction activities in the CDS are institutionalised.	
Are they integrated with the city's other Social Development and Poverty Reduction programmes and projects (including donor-supported projects)?	---> --->
Are they integrated with the city's routine planning and budget cycles?	---> --->
Are they integrated with the city's capital / infrastructure investment plans?	---> --->
Are they integrated with city's land use plans?	---> --->
And any other relevant plans and management practices?	---> --->

A further set of questions relate to harmonising data collection and M&E arrangements:

Questions	
Is the CDS monitoring and evaluation of Social Development and Poverty Reduction issues consistent with other monitoring and evaluation being undertaken by the city?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Has the M&E approach been endorsed by the city leadership (e.g., the mayor, other elected representatives, senior officials)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are the M&E activities (particularly any new data collection activities) fully-funded and integrated with budgeting?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Which unit / department of the city will be responsible for the managing the M&E activities relating to Social Development and Poverty Reduction specified in the CDS? ^	--->
How will the city keep the stakeholders informed about progress with the CDS and how effectively it is meeting its objectives in social development and poverty reduction ?	--->

^ Refer to the M&E activities you have outlined at each building block in this module.

At the conclusion of the CDS design process it is useful to review the overall M&E arrangements to make sure the system is consistent with the “principles for good M&E”.

Principles for good M&E	Has the CDS M&E taken this principle into account?
Audience – Are we clear who are the users of the M&E system and that the information we will collect meets their needs?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Practicality - Is the system practical and realistic in terms of the availability and reliability of information?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Flexibility – Can it be modified as we gain more information and /or as the challenges facing the city change?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Building Capacity – Does it build on the existing information available to the city?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Relevant & Focussed – Is it relevant to and focused on the key objectives of the CDS?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Simple & To The Right Scale – Is it to the right scale beginning with a core set of indicators that can be refined and expanded over time?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Appropriate & Meaningful – Does it include both quantitative and qualitative measures that make sense and are relevant?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Balanced – Does it cover both what the CDS is hoping to achieve (its outcomes) and how it is to be done (the process)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Benchmarking – Does it make comparisons with other Cities where these are helpful and informative?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Further Information:

Theme:	Public-Private Partnerships
Title:	Tools for Pro Poor PPP
Resource type:	Toolkit
Agency / Author:	Dr. M. Sohail Khan (Loughborough University, Leicestershire), Public Private Partnerships for the Urban Environment (PPPUE), Capacity Development Group, Bureau for Development Policy United Nations Development Programme (UNDP).
Year of Publication:	April 2004
Details:	21 Modules; HTML Format only.
Link:	< http://pppue.undp.org > Active May 2005.
Programme outline:	The Public-Private Partnerships for the Urban Environment (PPPUE) programme is UNDP's initiative in support of alleviating poverty through public-private partnerships in poor cities throughout the developing world. The core goal of the programme is to increase the access of the urban poor to basic services such as water, sanitation, solid waste management and energy by promoting inclusive partnerships between local government, business and communities.
Theme:	Good Governance – Urban Poverty
Title:	Good Governance Issues Report Card: Urban Poverty
Resource type:	Worksheet / Toolkit
Author / Agency:	The Urban Governance Initiative (TUGI)
Year of Publication:	Undated
Details:	PDF (50 KB); 16pp.
Link:	< http://www.tugi.org/rcmanual.php > Active May 2005
Programme outline:	The Urban Governance Initiative (TUGI) is a regional project of the United Nations Development Programme (UNDP) that acts as a hub for promoting good urban governance through institutional capacity building, providing policy advisory services, enabling innovations on tools and methodologies for good urban governance and ensuring wide information dissemination and collaborative networking on all of the above within and between cities in the Asia Pacific region.
Theme:	Habitat Agenda; Indicators – Social Development and Eradication of Poverty
Title:	<i>'Chapter 2. Social Development and Eradication of Poverty'</i> in Urban Indicators Guidelines: Monitoring the Habitat Agenda and the Millennium Development Goals
Resource type:	Guide
Author / Agency:	UN-HABITAT, United Nations Human Settlements Programme (UNHSP)
Year of Publication:	August 2004
Details:	PDF (1.18 MB); 68pp.
Link:	< http://www.unchc.org/programmes/guo/urban_indicators.asp > Active May 2005
Theme:	Poverty Eradication
Title:	<i>'PovertyNet'</i>
Resource type:	Web-ring; links
Author /	World Bank

Agency:
Year of N/A
Publication:
Details: Various tools and initiatives
Link: < <http://www.worldbank.org> > Active May 2005. *Note: To access go to WB Home Page > Topics > Poverty.
Programme
outline: PovertyNet provides an introduction to key issues as well as in-depth information on poverty measurement, monitoring, analysis, and on poverty reduction strategies for researchers and practitioners.



Introduction

Addressing environmental issues and strengthening environmental management is a feature of many City Development Strategies. This includes a range of issues, including many that have a direct bearing on other CDS objectives (e.g., poverty reduction and economic development). These include: water quality & water pollution, waste management, managing public lands, air quality and local air pollution, natural disaster risk management, energy efficiency and climate change, access to public transport, and managing natural and cultural heritage.

This module is based on a series of worksheets to help cities to integrate monitoring and evaluation elements into the environmental management components of their CDS. Working through these questions will help Cities to:

- Develop a clear understanding of the environmental challenges and opportunities facing the city;
- Collect and assess the quality of existing information on environmental issues (baseline data);
- Develop coherent strategies to improve the coherence CDS activities focussed on environmental management;
- Integrate environmental management elements of the CDS with existing environmental management initiatives;
- Establish a coherent framework for monitoring the success of environment-related initiatives included in the CDS.

Addressing Environmental Management Issues in the Initial Assessment Phase of the CDS

At the initial assessment phase of a CDS, it is useful to document the available information on the environment, the status of existing environmental management initiatives, and to consider what additional information needs to be collected to inform CDS implementation. Overarching questions include:

Questions		Examples
What are the key environmental concerns in the community?	--> -->	--> Drinking Water Quality and water quality in rivers and estuaries. --> Air pollution
What are the available and potential resources to address these issues?	--> -->	--> Data on revenue collected from commercial and industrial water consumers. --> National legislation is pending that will enable to local government to levy businesses and households for water and sanitation services.
What information is currently available about these concerns?	--> -->	--> Water authorities monitor drinking water quality. --> The Ministry of Environment (Environmental Protection Agency) and the City's Department of Environment review water quality in rivers and estuaries on an ad hoc basis. --> The Department of Environment (Environmental Protection Agency) also monitor air quality. --> Local environment groups and NGOs have conducted community surveys and collect rudimentary data.
How reliable is this information?	--> -->	--> The data on drinking water quality and air quality is reasonably reliable, although more frequent and sophisticated analysis would be useful.
Do we need any additional information in order to decide how to proceed?	--> -->	--> Yes. More detailed information on the drinking water quality and air quality in different areas of the city is required. --> Coastal and estuarine water quality monitoring is weak.

Can this information be obtained from other organisations?	--> -->	--> Yes. Co-ordination and communication with the Environmental Protection Agency should be strengthened. --> Local environmental groups and NGOs also have good information and local knowledge.
What additional information collection is required?	--> -->	--> The priority is more detailed information on drinking water quality and air quality in different areas of the city is required.

A good way to sum-up the initial assessment phase is to answer the following key questions:

Questions	
In what aspects of environmental management does the city have sufficient information?	--> -->
What are the priorities for collecting new information about environmental management?	--> --> -->

Addressing Environmental Management Issues in the Participation & Consultation Phase of the CDS

When consulting with stakeholders and other CDS participants, it is important to recognise that stakeholders often have different views as to what are the most important environmental management issues and priorities. Completing the following table may help to identify information needs and information gaps.

Who are the key stakeholders? ^	How will these stakeholders be consulted?	What are the key issues & concerns for these stakeholders	What information on these issues is already available?	What additional information do these stakeholders think is needed for the CDS?
Example: Fishermen and Fishing Communities	Community leaders will participate in stakeholder workshops	Fish stocks, linked to water quality in estuaries, and enforcement of water pollution regulations / penalties for business / industries polluting estuaries.	Data on production from local fisheries (total catch, diversity of species, etc.). Anecdotal (predominately qualitative) data on Estuarine pollution.	Monitoring of water qualities in key estuaries. Monitoring the enforcement of regulations / penalties for polluters.

^ The list of stakeholders should be as extensive as possible. It can include various community groups and institutions active on environmental issues. It should also include the various departments within the local government that have environmental management responsibilities.

The following table will help to sum some of the key M&E issues:

Questions	
What are the most important environmental issues and concerns and where there is general agreement among stakeholders that action is required?	--> -->
What additional information would be most useful to inform ongoing discussions?	--> -->
How will stakeholders and independent actors be involved in Monitoring and Evaluating the outcomes of the CDS?	--> -->
How will the city monitor the quality & effectiveness of stakeholder participation in the future?	--> -->

Addressing Environmental Management Issues in the Vision / Goals / Objectives Phase of the CDS

When developing the CDS goals, vision and objectives, it is important to consider how success can be measured (i.e., how will we know when the goals have been reached)?

What are the key concerns identified in the initial assessment and during community consultation (see tables above)	How can progress towards these goals be measured?	What performance indicators are most useful?	Does the city have good baseline data?	Do we need any additional information in order to decide how to proceed?
<p><u>Example:</u> Reducing local air pollution</p>	<p>Measuring air quality</p> <p>Monitoring the incidence of respiratory diseases</p> <p>Monitor public perceptions of air quality</p>	<p><u>Qualitative Measures:</u></p> <p>Median Sulphur Dioxide (SO₂), Carbon Monoxide (CO) and Lead levels.</p> <p>Incidence of respiratory diseases (e.g., asthma)</p> <p><u>Quantitative Measures:</u></p> <p>Feedback from community: do people believe that air quality is improving?</p>	<p>Central Government Agencies (Ministry of the Environment and Ministry of Health) have data, but it is unclear whether this can be disaggregated to district level.</p> <p>Initial discussions with community groups indicate the community perceive that air quality has deteriorated significantly in recent years.</p>	<p>Additional (i.e., more frequent and more comprehensive) air quality monitoring would be useful. Further guidance required regarding establish a simple and cost effective system for monitoring air quality and the incidence of respiratory diseases.</p>

The next step is to define a core set of performance indicators. Performance indicators are used to measure whether the CDS has achieved its intended results. These measures can be numerical (quantitative) or descriptive (qualitative). Each performance measure requires a description of the baseline situation, and short- medium and long-term targets. 'Environmental Indicators' and state of the environment reporting are also clearly relevant here.

What are the key concerns identified in the initial assessment and during community consultation (see tables above)	Performance Indicator/s	Baseline	Targets[^]
<p><u>Example:</u> To improve Water Quality in Rivers</p>	<p>1. Anecdotal evidence from communities regarding the condition and health of rivers (including, smell, water quality, presence of solid waste). - - - 2. Environmental indicators of water quality, e.g., levels of salinity, pollutants, turbidity.</p>	<p>1. Community consultation reveals a consensus that the rivers are unhealthy and water quality has deteriorated significant in the last decade. - - - 2. Environmental Agencies have baseline data from 1970s – present day for several major water ways.</p>	<p>1. By 2008, Community consultation indicates that there is a broad consensus that the health of the cities rivers has improved. By 2012, community consultation indicates that the majority of stakeholders are satisfied that rivers are healthy. - - - 2. Stabilise key water quality indicators by 2007. Significant (25-50%) improvement in water quality by 2009, including meeting environmental protection agency standards.</p>

[^] When developing indicators and targets, it is useful to identify different time horizons for different types of deliverables, and to distinguish between measuring/monitoring (1) short-term outputs (2) medium-term outcomes, and (3) long term impacts. It is also useful to consider options for benchmarking performance with other cities. A useful reference in this regard is the millennium development goals. MDG#7 deals with integrating the principles of sustainable development into policies and programs. See Annex 2.

Addressing Environmental Management Issues in the Action Plan / Implementation Phase of the CDS

The CDS Action Plan typically sets out the range of activities (projects, programmes, investments, etc.) that will be required in order to achieve the CDS objectives. Monitoring and Evaluation can play a key role here in terms of verifying that the CDS implementation plan is on track (including key 'enabling' and 'intermediate steps').

List the CDS Goals and Objectives	What activities, projects and programmes and proposed in the CDS to achieve these objectives? (Note: this may include modification and reforms to existing programmes)	What information do we need in order to know whether these activities are 'on track'?	What resources needed to undertake these activities?	How will we verify that we have the necessary resources?
Improved collection and disposal of solid waste throughout the city.	<p>Audit of solid waste production to identify opportunities for waste reduction, recycling and 'user pays' systems.</p> <p>Investment in garbage collection and recycling facilities in underserved communities.</p> <p>Improved management of landfill sites.</p> <p>Investigate opportunities for waste – energy facility.</p>	<p>Feedback from the community and industry that the management of solid waste is improving.</p> <p>Amount of solid waste collected should increase in the short term (due to extending services to under-served communities); however other initiatives and improved waste management should reduce total waste collected (and landfill area required) in the long term.</p>	<p>New resource (funding) requires to extend waste collection to underserved areas and to commission new landfill sites using best practice site management.</p> <p>Refocusing existing initiatives on solid waste management, recycling and waste to energy.</p>	<p>Feedback from waste management departments and feedback from the community and from industry.</p>

The CDS Action Plan will also typically set out an action plan for improving data collection, analysis and utilisation.

What additional information needs to be collected?	What is the best way to collect this data? ^	Who will be responsible for collecting the data?	What additional skills and resources are required to collect this data?
<p><u>Example</u></p> <p>Improved information on water quality and environmental health in rivers and Estuaries</p>	<p>Feedback from local communities and users of these systems.</p> <p>---</p> <p>Monitoring water quality and other environmental indicators for these systems.</p>	<p>The Community Advisory committee will have responsibility for maintaining consultation with key stakeholders.</p> <p>---</p> <p>The Environment Department will coordinate with regional environmental agencies (natural resources and environmental protection agencies).</p>	<p>1. None</p> <p>---</p> <p>2. Technical assistance on designing a core set of environment indicators including a protocol for data collection. Additional support required on analysing key trends and benchmarking with national standards.</p>

^ Annex 1 provides some additional information on different data collection techniques, and the types of information that they generate.

Addressing Environmental Management Issues in the Institutionalisation Phase of the CDS

Finally, there are a series of M&E issues regarding integrating (“mainstreaming”) the CDS into other city development initiatives. The first step is to ensure that the CDS is integrated into other routine planning and management systems:

Ensuring that Environmental management activities in the CDS are ‘institutionalised’.	
Are the environmental management elements of the CDS integrated with the city’s other environmental management systems and initiatives?	---> --->
Are the project and capacity building activities envisaged in the CDS integrated with the city’s routine planning and budget cycles?	---> --->
Are infrastructure projects related to environmental management integrated with the city’s capital / infrastructure investment plans?	---> --->
Are the environmental management elements of the CDS integrated with city’s land use plans?	---> --->
Are there any other relevant plans and management practices that are relevant to environmental management?	---> --->

A further set of questions relate to harmonising data collection and M&E arrangements:

Questions	
Is the CDS monitoring and evaluation of environmental issues consistent with other monitoring and evaluation being undertaken by the city (e.g., state of the environment reporting)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Has the M&E approach been endorsed by the city leadership (e.g., the mayor, other elected representatives, senior officials)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are the M&E activities (particularly any new data collection activities) fully-funded and integrated with budgeting?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Which unit / department of the city will be responsible for the managing the M&E activities relating to environmental management specified in the CDS? ^	--->
How will the city keep the stakeholders informed about progress with the CDS and how effectively it is meeting its objectives on environmental issues ?	--->

At the conclusion of the CDS design process it is useful to review the overall M&E arrangements to make sure the system is consistent with the “principles for good M&E”.

Principles for good M&E	Has the CDS M&E taken this principle into account?
Audience – Are we clear who are the users of the M&E system and that the information we will collect meets their needs?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Practicality - Is the system practical and realistic in terms of the availability and reliability of information?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Flexibility – Can it be modified as we gain more information and /or as the challenges facing the city change?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Building Capacity – Does it build on the existing information available to the city?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Relevant & Focussed – Is it relevant to and focused on the key objectives of the CDS?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Simple & To The Right Scale – Is it to the right scale beginning with a core set of indicators that can be refined and expanded over time?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Appropriate & Meaningful – Does it include both quantitative and qualitative measures that make sense and are relevant?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Balanced – Does it cover both what the CDS is hoping to achieve (its outcomes) and how it is to be done (the process)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Benchmarking – Does it make comparisons with other Cities where these are helpful and informative?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Further Information:

Theme:	Public-Private Partnerships
Title:	Tools for Pro Poor PPP
Resource type:	Toolkit
Agency / Author:	Dr. M. Sohail Khan (Loughborough University, Leicestershire), Public Private Partnerships for the Urban Environment (PPPUE), Capacity Development Group, Bureau for Development Policy United Nations Development Programme (UNDP).
Year of Publication:	April 2004
Details:	21 Modules; HTML Format only.
Link:	< http://pppue.undp.org > Active May 2005.
Programme outline:	The Public-Private Partnerships for the Urban Environment (PPPUE) programme is UNDP's initiative in support of alleviating poverty through public-private partnerships in poor cities throughout the developing world. The core goal of the programme is to increase the access of the urban poor to basic services such as water, sanitation, solid waste management and energy by promoting inclusive partnerships between local government, business and communities.
Theme:	Good Governance – Urban Poverty
Title:	Good Governance Issues Report Card: Urban Poverty
Resource type:	Worksheet / Toolkit
Author / Agency:	The Urban Governance Initiative (TUGI)
Year of Publication:	Undated
Details:	PDF (50 KB); 16pp.
Link:	< http://www.tugi.org/rcmanual.php > Active May 2005
Programme outline:	The Urban Governance Initiative (TUGI) is a regional project of the United Nations Development Programme (UNDP) that acts as a hub for promoting good urban governance through institutional capacity building, providing policy advisory services, enabling innovations on tools and methodologies for good urban governance and ensuring wide information dissemination and collaborative networking on all of the above within and between cities in the Asia Pacific region.
Theme:	Habitat Agenda; Indicators – Social Development and Eradication of Poverty
Title:	<i>'Chapter 2. Social Development and Eradication of Poverty'</i> in Urban Indicators Guidelines: Monitoring the Habitat Agenda and the Millennium Development Goals
Resource type:	Guide
Author / Agency:	UN-HABITAT, United Nations Human Settlements Programme (UNHSP)
Year of Publication:	August 2004
Details:	PDF (1.18 MB); 68pp.
Link:	< http://www.unchc.org/programmes/guo/urban_indicators.asp > Active May 2005
Theme:	Poverty Eradication
Title:	<i>'PovertyNet'</i>
Resource type:	Web-ring; links
Author /	World Bank

Agency:	
Year of Publication:	N/A
Details:	Various tools and initiatives
Link:	< http://www.worldbank.org > Active May 2005. *Note: To access go to WB Home Page > Topics > Poverty.
Programme outline:	PovertyNet provides an introduction to key issues as well as in-depth information on poverty measurement, monitoring, analysis, and on poverty reduction strategies for researchers and practitioners.

See also: *Biodiversity and Environmental Assessment Toolkit*, Environmental Resources Management (UK). World Bank report: 24579, World Bank: 2000. (PDF 3.2 MB; 65pp.)
Link: < www.worldbank.org > Active May 2005 Note: Go to: < www.worldbank.org > Publications > Documents & Reports > Document Type > Departmental Working Paper > Page 11 > No. 212.

Working Through CDS Themes

Shelter

Social Development &
Poverty Reduction

Environmental
Management

Economic
Development

Governance

Introduction

Economic development features in most City Development Strategies. Enhancing and sustaining economic development includes a range of inter-related issues including: generating employment / reducing unemployment, supporting small business and micro enterprises, vocational training, infrastructure development, access to capital, exploiting competitive advantages, and promoting information exchange and partnerships between the private and public sector. Some CDS include wide-ranging assessments of the drivers of economic development, whereas other cities have used the CDS to focus on key trends (e.g., public private partnerships) or sectors of the economy (e.g., manufacturing, tourism).

This module has been developed to help cities to integrate monitoring and evaluation of economic development issues. Working through these worksheets will help Cities to:

- Develop a clear statement of economic development goals and objectives;
- Collect and assess the quality of existing information on local economy and on economic development;
- Develop coherent strategies to improve the coherence of the CDS's activities focussed on economic development;
- Establish a coherent framework for monitoring the success of economic development initiatives included in the CDS.

Addressing Economic Development Issues in the Initial Assessment Phase of the CDS

At the initial assessment phase of a CDS, it is useful to examine the existing information on economic development, and to consider what additional information needs to be collected to inform CDS planning and implementation. Overarching questions include:

Questions	Responses	Examples
What are the key economic development concerns in the community?	<p>--></p> <p>--></p> <p>--></p> <p>--></p> <p>--></p>	<p>--> There is a general consensus that there is a need to expand and diversify the economic base in the city.</p> <p>--> it is widely agreed that the city has high levels of unemployment. However, there is also unmet demand and a shortage of skilled/qualified staff in some sectors of the economy that suggest the need for better vocational training.</p>
What are the available and potential resources to address these issues?	<p>--></p> <p>--></p> <p>--></p> <p>--></p> <p>--></p>	<p>--> Reliable data on the amount of local sales tax collected from the various business and commercial sectors.</p> <p>--> Reliable data on transfers from State Government and user fees currently collected for various municipal services</p> <p>--> Survey data quantifying the size of the informal economy, and therefore, the proportion of local businesses not paying local taxes.</p> <p>--> Studies have been commission to explore options for increasing taxation revenue and cost recovery.</p>
What information is currently available about these concerns?	<p>--></p> <p>--></p> <p>--></p> <p>--></p> <p>--></p>	<p>--> Good data on key industries and large businesses. However limited information on medium, small and micro enterprises and none on the informal economy.</p> <p>--> It is widely accepted that unemployment is high, although accurate figures on monthly and quarterly trends are not available. The Business council reports concerns with finding skilled staff in key sectors of the economy.</p>

<p>How reliable is this information?</p>	<p>--> --> --> --> --></p>	<p>--> reliability of data on large business is relatively strong. However, data on SMEs and micro enterprises is generally weak.</p> <p>--> Unemployment data must be considered estimate because of size of the informal economy</p> <p>--> The extent of skills shortages has not been quantified and is based mainly on feedback from large businesses and other anecdotal evidence.</p>
<p>Do we need any additional information in order to decide how to proceed?</p>	<p>--> --> --></p>	<p>--> Yes. A survey of SMEs and micro enterprises and regular monitoring of these businesses is a priority.</p> <p>--> Unemployment statistics at the city and district level would be useful.</p> <p>--> A more detailed review and monitoring of skills shortages and training opportunities are also required.</p>
<p>Can this information be obtained from other organisations?</p>	<p>--> --> --></p>	<p>--> The urban planning department at the university are conducting research on SMEs based on surveys and focus groups.</p> <p>--> Ministry / Department of Labour have data on employment and unemployment in the region that could be disaggregated down to district level in some cases.</p> <p>--> Education providers may have data on the demand for and affordability of vocational training.</p>
<p>What additional information collection is required?</p>	<p>--> --> --></p>	<p>--> Regular surveys and monitoring of the development of SMEs and micro enterprises, focusing in particular on barriers to expanding these businesses. Collaboration with University research programme.</p> <p>--> More regular consultation with the business council, including representatives from SME and micro enterprise sector.</p>

A good way to sum-up the initial assessment phase is to answer the following key questions:

Questions	
In what aspects of economic development does the city have sufficient information?	-->
What are the priorities for collecting new information about economic development in the city?	-->

Addressing Economic Development in the Participation & Consultation Phase of the CDS

When consulting with stakeholders and other CDS participants, it is important to recognise that stakeholders often have different views as to what are the most important issues. Completing the following table may help to identify information needs and information gaps.

Who are the key stakeholders? [^]	How will these stakeholders be consulted?	What are the key issues & concerns for these stakeholders	What information on these issues is already available?	What additional information do these stakeholders think is needed for the CDS?
<p><u>Example</u></p> <p>The long-term unemployed</p>	<p>Participation in community forums (direct and via NGOs).</p>	<p>Finding employment. Access to affordable and relevant training</p>	<p>The city has only limited information of where there is unmet demand for labour. The department of labour has a database of vocational training programme providers. Information on affordability and relevance to unmet labour demands is not well developed</p>	<p>Better information of employment opportunities, skills shortages and access to affordable vocational training opportunities</p>

[^] The list of stakeholders should be as extensive as possible. It can include various groups of citizens, representatives from different sectors of the local economy, and representatives from institutions active on these issues. This may also include different groups and sections with local government itself.

The following table will help to sum some of the key M&E issues:

Questions	
What are the key economic development issues where there is agreement among stakeholders?	-->
What additional information would be most useful to inform ongoing discussions regarding economic development in the city?	-->
How will stakeholders and independent actors be involved in Monitoring and Evaluating the outcomes of the CDS?	-->
How will the city monitor the quality & effectiveness of stakeholder participation in the future?	-->

Addressing Economic Development in the Vision / Goals / Objectives Phase of the CDS

When developing the CDS goals, vision and objectives, it is important to consider how success can be measured (i.e., how will we know when the goals have been reached)?

What are the key concerns identified in the initial assessment and during community consultation (see tables above)	How can progress towards these goals be measured?	What performance indicators are most useful?	Does the city have good baseline data?	Do we need any additional information in order to decide how to proceed?
Example: Transport infrastructure (particularly roads) are struggling to accommodate city's growth and increased use by trucks.	Travel times (during peak periods) between key centre in the metro area. Road user satisfaction. Public transport user satisfaction.	No of vehicles using key roads Average travel times between key centres. Number of commuters using buses and light rail public transport.	Only qualitative assessments.	Better baseline data would inform discussion regarding investment priorities.

The next step is to define a core set of performance indicators. Performance indicators are used to measure whether the CDS has achieved its intended results. These measures can be numerical (quantitative) or descriptive (qualitative). Each performance measure requires a description of the baseline situation, and short- medium and long-term targets.

What are the key concerns identified in the initial assessment and during community consultation (see tables above)	Performance Indicator/s	Baseline	Targets[^]
Example: Reduce Youth Unemployment	1. % of youth (18-25) with part-time or full time employment. 2. % students completing secondary school	1. In 2003 NGOs report that youth unemployment (% of youth (is grater than one in three >35%. 2. Ministry of Education data for the regional as a whole indicates approximately 40% of students complete secondary schooling	1. Significantly reduce youth unemployment 2significnaly increase secondary school completion rates

[^] When developing indicators and targets, it is useful to identify different time horizons for different types of deliverables, and to distinguish between measuring/monitoring (1) short-term outputs (2) medium-term outcomes, and (3) long term impacts. It is also useful to consider options for benchmarking performance with other cities. A useful reference in this regard is the millennium development goals. All eight MDGs are relevant to a CDSs treatment of local economic development. See Annex 2.

Addressing Economic Development in the Action Plan / Implementation Phase of the CDS

The CDS Action Plan typically sets out the range of activities (projects, programmes, investments, etc.) that will be required in order to achieve the CDS objectives. Monitoring and Evaluation can play a key role here in terms of verifying that the CDS implementation plan is on track (including key 'enabling' and 'intermediate steps').

List the CDS Goals and Objectives	What activities, projects and programmes and proposed in the CDS to achieve these objectives? (Note: this may include modification and reforms to existing programmes)	What information do we need in order to know whether these activities are 'on track'?	What resources needed to undertake these activities?	How will we verify that we have the necessary resources?
Significantly reduce youth unemployment	Develop community-based program on improving basic infrastructure which could employ young people	Participation Rates in the program. Feedback from participants	Additional resources to support the program (management, wages)	Data on participation Rates in the program. Feedback from participants Community Feedback on improvements in infrastructure

The CDS Action Plan will also typically set out an action plan for improving data collection, analysis and utilisation.

What additional information needs to be collected?	What is the best way to collect this data? ^	Who will be responsible for collecting the data?	What additional skills and resources are required to collect this data?
Data on revenue, profitability and employment in the small and micro-business sector	A survey of small and micro enterprises.	The Mayor's office will commission the study, and it will be conducted by an independent consulting firm.	None

^ Annex 1 provides some additional information on different data collection techniques, and the types of information that they generate.

Addressing Economic Development in the Institutionalisation Phase of the CDS

Finally, there are a series of M&E issues regarding integrating (“mainstreaming”) the CDS into other city development initiatives. The first step is to ensure that the CDS is integrated into other routine planning and management systems:

Ensuring that the economic development objectives and activities in the CDS are institutionalised.	
Are the economic development objectives and activities in the CDS integrated with the city's other economic development programmes and projects (including donor-supported projects)?	--->
Are they integrated with the city's routine planning and budget cycles?	--->
Are they integrated with the city's capital / infrastructure investment plans?	--->
Are they integrated with city's land use plans?	--->
And any other relevant plans and management practices?	--->

A further set of questions relate to harmonising data collection and M&E arrangements:

Questions	
Is the monitoring and evaluation of economic development initiatives promoted in the CDS consistent with other monitoring and evaluation being undertaken by the city?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Has the M&E approach been endorsed by the city leadership (e.g., the mayor, other elected representatives, senior officials)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are the M&E activities (particularly any new data collection activities) fully-funded and integrated with budgeting?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Which unit / department of the city will be responsible for the managing the M&E activities [^] relating to economic development?	--->
How will the city keep the stakeholders informed about progress with the CDS and how effectively it is meeting its objectives in economic development ?	--->

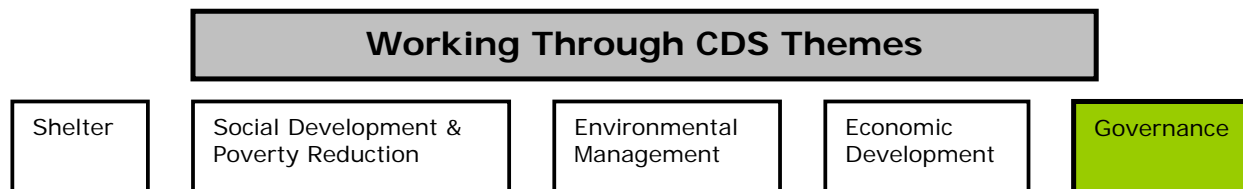
[^] Refer to the M&E activities you have outlined at each building block in this module.

At the conclusion of the CDS design process it is useful to review the overall M&E arrangements to make sure the system is consistent with the “principles for good M&E”.

Principles for good M&E	Has the CDS M&E taken this principle into account?
Audience – Are we clear who are the users of the M&E system and that the information we will collect meets their needs?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Practicality - Is the system practical and realistic in terms of the availability and reliability of information?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Flexibility – Can it be modified as we gain more information and /or as the challenges facing the city change?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Building Capacity – Does it build on the existing information available to the city?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Relevant & Focussed – Is it relevant to and focused on the key objectives of the CDS?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Simple & To The Right Scale – Is it to the right scale beginning with a core set of indicators that can be refined and expanded over time?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Appropriate & Meaningful – Does it include both quantitative and qualitative measures that make sense and are relevant?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Balanced – Does it cover both what the CDS is hoping to achieve (its outcomes) and how it is to be done (the process)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Benchmarking – Does it make comparisons with other Cities where these are helpful and informative?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Further Information:

Theme:	Local Economic Development
Title:	<i>Regional resource inventory and assessment of potentials for local development</i>
Resource type:	Toolkit
Author / Agency:	Manfred Popp; GTZ (Germany)
Year of Publication:	Undated
Details:	Word (152 KB, 19pp)
Link:	< http://www.wiram.de/toolkit > Active May 2005
Programme outline:	BMZ-GTZ (Germany) Federal Ministry for Economic Cooperation and Development. Offer a useful introduction to the area and the following tools: <ul style="list-style-type: none">➤ Michael Porter's Diamond: A common tool for analysing local and regional competitive advantages➤ Five forces: A tool developed by Michael Porter for determining competitive options and threats to individual branches of industries➤ Benchmarking➤ A variety of Mapping techniques➤ Transaction cost analysis which is useful for determining the efficiency of government efforts to create a favourable environment for business
Theme:	Habitat Agenda; Indicators – Economic Development
Title:	<i>'Chapter 4. Economic Development' in Urban Indicators Guidelines: Monitoring the Habitat Agenda and the Millennium Development Goals</i>
Resource type:	Guide
Author / Agency:	UN-HABITAT, United Nations Human Settlements Programme (UNHSP)
Year of Publication:	August 2004
Details:	PDF (1.18 MB); 68pp.
Link:	< http://www.unchs.org/programmes/guo/urban_indicators.asp > Active May 2005



Introduction

In setting out a vision for future, City Development Strategies invariably address the governance and management of city and various aspects of public sector reform. The overarching themes here often relate to promoting efficiency, transparency and accountability. More specifically, the governance elements of a CDS can encompass a broad range of issues including: strengthening local democracy (local elections, stakeholder consultation and participation), restructuring local government institutions (especially managing decentralisation of service delivery), improved budgeting and financial management, tackling corruption, improving government procurement practices and various forms of capacity building and training for local government employees.

This module has been developed to help cities to integrate monitoring and evaluation of governance issues into their CDS process. Working through these worksheets will help Cities to:

- Develop a clear statement of governance-related goals and objectives;
- Collect and assess the quality of existing information on governance issues (developing a picture of the 'baseline' situation);
- Develop coherent strategies to improve the coherence CDS activities focussed on city governance;
- To establish a coherent framework for monitoring the success of governance initiatives included in the CDS.

Addressing Governance Issues in the Initial Assessment Phase of the CDS

At the initial assessment phase of a CDS, it is useful to examine the existing information on governance issues, and to consider what additional information needs to be collected to inform CDS implementation. Overarching questions include:

Questions		Examples
What are the key governance concerns in the community?	--> --> --> --> -->	--> Strengthening forums for community participation in local government planning --> Improving communication between the city and the private sector (particularly small business) --> Improving service delivery and reducing 'red tape'.
What are the available and potential resources to address these issues?	--> --> --> --> -->	--> Reliable data on city expenditure by department (including capital and recurrent expenditure), and agreement on medium term budget framework. --> Estimates available on the revenue lost as a consequence of inefficient procurement practices.
What information is currently available about these concerns?	--> --> --> --> -->	--> Initial public consultation associated with the CDS was well received, and their in strong support for ongoing dialogue regarding the setting priorities and managing the implementation process. --> Several surveys have indicated that service delivery is inefficient, and that citizen and businesses often experience delays in dealings with the city (e.g., development control, registration of businesses, taxation).
How reliable is this information?	--> --> --> -->	--> Although these are generally qualitative assessments (with the exception of the survey results), these perceptions are widely held to be an accurate.

Do we need any additional information in order to decide how to proceed?	--> --> -->	--> No. The priority is establishing an action plan and mechanisms for monitoring performance, and improving communication with stakeholders.
Can this information be obtained from other organisations?	--> -->	--> N/A
What additional information collection is required?	--> --> --> -->	--> There are opportunities for benchmarking key performance indicators with other local government administrations. --> It is necessary to maintain consultation activities, including surveying citizens and service users on the effectiveness and results of governance reform initiatives.

A good way to sum-up the initial assessment phase is to answer the following key questions:

Questions	
In what aspects of the governance reform agenda does the city have sufficient information?	--> --> --> -->
What are the priorities for collecting new information about governance and improving local government management?	--> --> --> -->

Addressing Governance in the Participation & Consultation Phase of the CDS

When consulting with stakeholders and other CDS participants, it is important to recognise that stakeholders often have different views as to what are the most important issues. Completing the following table may help to identify information needs and information gaps.

Who are the key stakeholders? ^	How will these stakeholders be consulted?	What are the key issues & concerns for these stakeholders	What information on these issues is already available?	What additional information do these stakeholders think is needed for the CDS?
<u>Example</u> Small Business Owners	Participation of Small Business Owners in Community Forums, and participation of representative from the small business association in the CDS steering committee	---> The contribution of small business to the local economy is not recognised ---> Red tape and compliance costs ---> Corruption	---> Survey of small business owners ---> Feedback / stories / complaints from small business owners	An agreed basis for measuring efficiency in city administration and regular reporting of key performance indicators.

^ The list of stakeholders should be as extensive as possible. It can include various groups of citizens, representatives from different sectors of the local economy, and representatives from institutions active on these issues. This may also include different groups and sections with local government itself.

The following table will help to sum some of the key M&E issues:

Questions	
What are the issues and concerns where there is agreement among stakeholders?	--> --> -->
What additional information would be most useful to inform ongoing discussions?	--> --> -->
How will stakeholders and independent actors be involved in Monitoring and Evaluating the outcomes of the CDS?	--> --> -->
How will the city monitor the quality & effectiveness of stakeholder participation in the future?	--> --> -->

Addressing Governance issues in the Vision / Goals / Objectives Phase of the CDS

When developing the CDS goals, vision and objectives, it is important to consider how success can be measured (i.e., how will we know when the goals have been reached)?

What are the key concerns identified in the initial assessment and during community consultation (see tables above)	How can progress towards these goals be measured?	What performance indicators are most useful?	Does the city have good baseline data?	Do we need any additional information in order to decide how to proceed?
Example: Low political participation of women in community debate and in city management.	Measuring the number (and %) of women: participating in community forums, standing for local elections, represented on the city council and working in senior positions in the city administration	Number and % of women participating in community forums Number and % of women standing for local council Number and % of women represented on the local council. Number and % of women in senior position of local government administration.	Yes. The number of women participating in community forums is low: ≈20% participants Number and % of women standing for local council is very low: <5% candidates are women There are no women on the city council. Women hold 2 of the 30 senior positions in city administration.	No.

The next step is to define a core set of performance indicators. Performance indicators are used to measure whether the CDS has achieved its intended results. These measures can be numerical (quantitative) or descriptive (qualitative). Each performance measure requires a description of the baseline situation, and short- medium and long-term targets.

What are the key concerns identified in the initial assessment and during community consultation (see tables above)	Performance Indicator/s	Baseline	Targets [^]
<p><u>Example</u></p> <p>Small business groups report long delays in registering a business and in gaining building development approval.</p>	<p>1. Average number of days between business license application and determination (approval and registration) by the city</p> <p>2. Average number of days between development application and determination (approved / approved with modifications / denied) by the city.</p>	<p>1. Currently, the average number of days to process a business license application is estimated at 30 working days.</p> <p>2. Currently, the average number of days for processing a development application ranges from between 8 weeks (for small developments) to in excess of 30 weeks for larger developments.</p>	<p>1. By 2007: registration of business in 10 working days. By 2009, 5 working days.</p> <p>2. By 2007: For small developments, target average number of days for processing a development application is 20 working days, by 2009: 15 working days. For larger-scale developments, by 2007: target average 8 weeks, by 2009: 6 weeks.</p>

[^] When developing indicators and targets, it is useful to identify different time horizons for different types of deliverables, and to distinguish between measuring/monitoring (1) short-term outputs (2) medium-term outcomes, and (3) long term impacts. It is also useful to consider options for benchmarking performance with other cities. A useful reference in this regard is the millennium development goals. MDG#8 discusses the importance of improving governance. See Annex 2.

Addressing Governance issues in the Action Plan / Implementation Phase of the CDS

The CDS Action Plan typically sets out the range of activities (projects, programmes, investments, etc.) that will be required in order to achieve the CDS objectives. Monitoring and Evaluation can play a key role here in terms of verifying that the CDS implementation plan is on track (including key 'enabling' and 'intermediate steps').

List the CDS Goals and Objectives	What activities, projects and programmes and proposed in the CDS to achieve these objectives? (Note: this may include modification and reforms to existing programmes)	What information do we need in order to know whether these activities are 'on track'?	What resources needed to undertake these activities?	How will we verify that we have the necessary resources?
<p><u>Example</u></p> <p>Eliminate Corruption</p>	<p>Reform of remuneration system for city employees</p> <p>Ongoing reform of city procurement</p> <p>Establish internal audit committee</p> <p>Independent auditing of city accounts</p> <p>Corruption reporting 'hotline'</p>	<p>Annual Review conducted by independent auditing firm</p> <p>Feedback from staff, the business community, and the community at large regarding their experiences and perception of corruption.</p>	<p>No additional resources required. Auditing functions have been established under the auspices of other programmes and corruption issues can be added to the citizen report card initiative</p>	<p>Feedback from staff (especially the internal audit committee), feedback from the external auditor, and feedback from other stakeholders.</p>

The CDS Action Plan will also typically set out an action plan for improving data collection, analysis and utilisation.

What additional information needs to be collected?	What is the best way to collect this data? ^	Who will be responsible for collecting the data?	What additional skills and resources are required to collect this data?
Example: Data on the community's perception of corruption in city administrations	A perception of corruption survey	Conducted by the political science department of the local university and coordinated by the Mayors' Office	The university staff have extensive experience and expertise in conducting community surveys and will draw on methodologies developed by transparency international. It is not anticipated that this will involve substantial costs.

^ Annex 1 provides some additional information on different data collection techniques, and the types of information that they generate.

Addressing Governance in the Institutionalisation Phase of the CDS

There are a series of M&E issues regarding integrating (“mainstreaming”) the CDS into other city development initiatives. This involves ensuring that the CDS is integrated into other routine planning and management systems. In the area of governance, this also involves ensuring the objectives and activities included in the CDS are commensurate with other institutional reforms.

Ensuring that Governance elements of the CDS are institutionalised.	
What other Governance reforms are currently underway, or have been proposed (note: this may include reforms mandated by new or forthcoming legislation)?	---> ---
Are the governance objectives and actions in the CDS integrated with these initiatives?	---> ---

A further set of questions relate to harmonising data collection and M&E arrangements:

Questions	
Is the CDS monitoring and evaluation of governance issues consistent with the other monitoring and evaluation being undertaken by the city?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Has the approach to monitoring governance reform been endorsed by the city leadership (e.g., the mayor, other elected representatives, senior officials)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are the governance M&E activities (particularly any new data collection activities) fully-funded and integrated with budgeting?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Which unit / department of the city will be responsible for the managing the M&E activities relating to governance specified in the CDS? ^	---
How will the city keep the stakeholders informed about progress with the CDS and how effectively it is meeting its objectives in governance?	---

At the conclusion of the CDS design process it is useful to review the overall M&E arrangements to make sure the system is consistent with the “principles for good M&E”.

Principles for good M&E	Has the CDS M&E taken this principle into account?
Audience – Are we clear who are the users of the M&E system and that the information we will collect meets their needs?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Practicality - Is the system practical and realistic in terms of the availability and reliability of information?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Flexibility – Can it be modified as we gain more information and /or as the challenges facing the city change?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Building Capacity – Does it build on the existing information available to the city?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Relevant & Focussed – Is it relevant to and focused on the key objectives of the CDS?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Simple & To The Right Scale – Is it to the right scale beginning with a core set of indicators that can be refined and expanded over time?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Appropriate & Meaningful – Does it include both quantitative and qualitative measures that make sense and are relevant?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Balanced – Does it cover both what the CDS is hoping to achieve (its outcomes) and how it is to be done (the process)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Benchmarking – Does it make comparisons with other Cities where these are helpful and informative?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Further Information:

<p>Theme: Principles of Good Urban Governance Title: <i>Proposed Good Urban Governance Principles and Possible Interventions (Towards Norms of Good Urban Governance)</i> Resource type: Background paper Agency: UNCHS (Habitat), Urban Governance Campaign Year of: Undated Publication: Details: MS Word (36 KB); 4pp. Link: < www.unhabitat.org/campaigns/governance/docs_pubs.asp > Active May 2005</p>
<p>Theme: Urban Governance Index Title: <i>Urban Governance Worksheet</i> Resource type: Tool / Worksheet Agency: UNCHS (Habitat) Urban Governance Campaign Year of: Undated Publication: Details: MS Excel (94 KB). Link: < www.unhabitat.org/campaigns/governance > Active May 2005</p>
<p>Theme: Municipal Finance Title: Municipal Budgeting Resource type: Background paper Author / Agency: Michael Schaeffer, World Bank (Background Series) Report Number: 21099 Year of: April 2000 Publication: Details: PDF / Word (2.37 MB); 44pp. Link: < www.worldbank.org > Active May 2005 <u>Note:</u> Type publication title into Search Bar at this link. Outline: The focus of this paper is to outline the role of budgeting as a critical tool of local government finance and to provide guidelines to strengthen local public finances in improving the financial management and creditworthiness of local government entities.</p>
<p>Theme: Good Governance Title: Manual for the use of the TUGI Report cards Resource type: Toolkit / worksheet Author / Agency: The Urban Governance Initiative (TUGI) Year of: April 2003 Publication: Details: Word (422 KB); 50pp. Link: < http://www.tugi.org/rcmanual.php > Active May 2005 Programme outline: The Urban Governance Initiative (TUGI) is a regional project of the United Nations Development Programme (UNDP) that acts as a hub for promoting good urban governance through institutional capacity building, providing policy advisory services, enabling innovations on tools and methodologies for good urban governance and ensuring wide information dissemination and collaborative networking on all of the above within and between cities in the Asia Pacific region.</p>
<p>Theme: Good Governance Title: Good Governance General Report Card</p>

Resource type:	Toolkit / worksheet
Author / Agency:	The Urban Governance Initiative (TUGI)
Year of Publication:	April 2003
Details:	PDF (48 KB); 16pp.
Link:	< http://www.tugi.org/rcmanual.php > Active May 2005
Theme:	Governance and Transparency – Assessment and Monitoring
Title:	Urban Governance Toolkit Series, <i>'Part 2A: Assessment and Monitoring Tools'</i>
Resource type:	Toolkit / worksheet
Author / Agency:	UNHABITAT
Year of Publication:	2004
Details:	CD-ROM as HTML
Link:	< http://hq.unhabitat.org/cdrom/TRANSPARENCY/html/toc.html > Active May 2005
Programme outline:	The product of a partnership between Transparency International (TI) and UN-HABITAT (the United Nations Human Settlements Programme), <i>Tools to Promote Transparency in Local Governance</i> has been developed under the umbrella of the Global Campaign on Urban Governance. It builds on the first toolkit developed by the Campaign to promote good urban governance, Tools to Promote Participatory Urban Decision-Making (PUDM).

Annex 1: Data Collection Options

Ways to collect information	Information produced
Stakeholder Consultation Workshops	Generally descriptive and qualitative information on key issues and concerns and preferred interventions. These workshops can also focus on particular issues / problems / investment projects / and overall strategies.
Beneficiary Workshops	As above, with a focus on the beneficiaries of a particular project, programme or reform. The goal is to ensure that interventions are based on a sound understanding of the problem, and that the selected strategies have targeted the right issues / drivers to ensure that the intended outcomes are realised.
Focus Groups	Focus groups take a small group (preferably a representative sample) of stakeholders, beneficiaries and users of local government services. Focus groups can be used to explore specific issues and concerns (and proposed interventions) in more detail. They can also provide detailed information on the issues and needs in particular areas of the city and, over time, feedback on progress and achievements.
Mini Surveys	Mini surveys focus on a relatively small, representative group stakeholders, beneficiaries and users of local government services. As with focus groups, mini surveys can be used to provide more detailed information on the specific concerns and needs in the city. Over time, mini survey results can be used to verify that the CDS is on track.
Beneficiary Surveys	These focus explicitly on the intended users and beneficiaries of specific local government projects and programmes. These surveys can be used to verify the assumptions and test the viability of new instruments. Again, over time, these surveys can be used to track progress over time and to verify that projects and programmes are targeted effectively.
Citizen Report Cards	Citizen perceptions of the quality of urban governance. These can be general assessments and/or more detailed feedback on the quality of service delivery.
Public Expenditure Tracking Surveys	These studies seek to provide disaggregated financial information about city expenditure (relative to development objectives). These can be used to target resources more effectively.
Cost-Benefit and Cost-Effectiveness Analysis	These studies compare different development scenarios (e.g., different project options) with a view to identifying the most efficient and effective options.
Impact Assessments and Impact Evaluations	Impact Assessments try to predict the impact of projects (both intended and unintended impacts). Impact evaluations measure these impacts are the completion of a project. These project assessments can provide a useful input into policy development.
Formal Household Surveys (e.g., Living Standards Measurement Survey)	Can be used to collect baseline data and to measure progress in accordance with a range of performance indicators.

Annex 2: Applying the Millennium Development Goals to City Development Strategies

The following table outlines the eight MDGs, the agreed targets, and explores their relevance to CDSs. Additional information on the MDGs is available at: http://www.developmentgoals.org/About_the_goals.htm

There are a number of initiatives underway to translate the MDGs into objectives and indicators relevant and appropriate to the city level. The Metropolitan Area of Curitiba in Brazil has developed an Observatory for Sustainability Indicators linked to the UN-Habitat Global Observatory Network: details are at: <http://www.observatorio.org.br/>

A group of 12 cities in the Philippines, the majority of which have participated with the first or second phases of CDS are involved in a pilot program to “localize” A Powerpoint presentation MDG *Localization of the Millennium Development Goals Towards Good Urban Governance in the Science City of Muñoz, Nueva Ecija, Philippines* is available via the Cities Alliance.

Goal	Target	Possible Applications in CDS
Goal 1. Eradicate extreme poverty and hunger	<ul style="list-style-type: none"> • Halve, between 1990 and 2015, the proportion of people whose income is less than \$1 a day • Halve, between 1990 and 2015, the proportion of people who suffer from hunger 	All CDS have a focus on development and poverty reduction. Internationally comparable performance indicators relating to the eradication of extreme poverty and hunger may be useful in many cities. Useful indicators include the % of the population below the poverty line, and the percentage of the population dependent on food aid.
Goal 2 Achieve universal primary education	<ul style="list-style-type: none"> • Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling 	Education is central to poverty reduction and economic development. Accordingly, monitoring primary (and secondary) school enrolment may form a useful component of a CDS monitoring system, particularly where the city / local government plays a key role in funding and administering the education sector. Useful indicators include the proportion of children in school, primary school graduation rate by age and literacy rates in various age groups.
Goal 3 Promote gender equality and empower women	<ul style="list-style-type: none"> • Eliminate gender disparity in primary and secondary education preferably by 2005 and in all levels of education no later than 2015 	Gender inequality, which remains pervasive in cities worldwide, tends to lower the productivity of labour and the efficiency of labour allocation, intensifying the unequal distribution of resources. It also contributes to the non-monetary aspects of poverty – lack of security, opportunity and empowerment – that lower the quality of life for both men and women. While women and girls bear the largest and most direct costs of these inequalities, the costs cut broadly across society, ultimately hindering development and poverty reduction. A number of CDSs have sought to promote gender equality and empower women. Useful indicators include the proportion of women in wage employment, and the Proportion of seats held by women in local councils.
Goal 4 Reduce child	<ul style="list-style-type: none"> • Reduce by two-thirds, between 1990 and 	Each year, approximately 11 million children under five in developing countries die, mostly from preventable

mortality	2015, the under-five mortality rate	diseases. A number of CDSs have sought to focus on reducing child mortality, in particular by increasing the quality and access to basic health services (e.g., immunization). Monitoring child mortality, immunisation rates, and other basic healthcare performance indicators can provide an important insight into the health of the population and the development of the healthcare system in the city. This is particularly important where the city / local government plays a key role in funding and administering the healthcare system (clinics, hospitals, etc.).
Goal 5 Improve maternal health	<ul style="list-style-type: none"> • Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio 	Every minute, a woman dies in pregnancy or childbirth – more than half a million women worldwide per annum. While many other health indicators in developing countries have improved over the last two decades, maternal mortality rates have shown little change. Monitoring maternal health is an important indicator of the health of the population and the development of the healthcare systems. These developments are particularly important in the context of a CDS when the city plays a direct role in funding and administering the healthcare system.
Goal 6 Combat HIV/AIDS, malaria, and other diseases	<ul style="list-style-type: none"> • Have halted by 2015 and begun to reverse the spread of HIV/AIDS • Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases 	Communicable diseases, such as tuberculosis, malaria and, to a growing extent, HIV/AIDS, are all diseases of poverty. These diseases can also have a profoundly negative impact on local economic development. Good health is not only an important concern for individuals; it plays a central role in achieving sustainable economic growth and effective use of resources. Accordingly, monitoring the incidence and impact of these diseases is an important element of monitoring local economic development and poverty reduction.
Goal 7 Ensure environmental sustainability	<ul style="list-style-type: none"> • Integrate the principles of sustainable development into country policies and program and reverse the loss of environmental resources • Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation • Have achieved, by 2020, a significant improvement in the lives of at least 100 million slum dwellers 	CDSs are often based on the concept of sustainable development, and make extensive reference to the quality of the local environment. Furthermore, almost all CDS seek to improve access to safe drinking water and basic sanitation, and to improving the quality of housing and shelter. Useful indicators include the proportion of the population with access to treated water, the proportion of the population with access to sanitation, and the proportion of families that hold title deeds to their dwelling.