Participatory Decision-Making Indicators

Measuring progress on improving
urban management decision-making processes

Guidelines for Istanbul+5

The international community is committed to use indicators for monitoring the implementation of the Habitat Agenda:

"All partners of the Habitat Agenda, including local authorities, the private sector and communities, should regularly MONITOR and EVALUATE their own performances in the implementation of the Habitat Agenda through comparable human settlements and shelter indicators..."(paragraph 240 of the Habitat Agenda)

This document is the result of the work of a Habitat interdivisional team. It brings together operational experience from almost all Habitat Programmes and Sections.

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1 AN INNOVATIVE APPROACH TO MONITORING CITY PERFORMANCE

1.1 Measuring progress on improving urban management decision-making processes

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

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

1.2 Basic assumptions on good decision-making processes

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

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

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

1.3 The benefits of measuring progress in participatory decision-making

Knowing how decision-making processes are working:
- Ensures that the **right people** are involved, by assessing who is participating, in which activities and what their concerns and contributions are. It also allows the assessment of their level of participation and its evolution over time.
- Identifies and **addresses weaknesses** in the decision-making process. It allows urban managers to assess which activities are being poorly conducted. Thus they can take corrective action.
- Provides **early warning** on the outcome of the process. Most urban managers cannot wait 10 years to see if the outcome of the process is successful. Monitoring the process allows them to estimate the likelihood that it will be.
- Allows the documentation of progress in participatory processes, which support the **mobilisation of resources and attracts investments**. It makes the process more credible by showing those who have the means to do something that their interests and concerns will be taken into account and that their resources will be applied in a highly efficient environment.
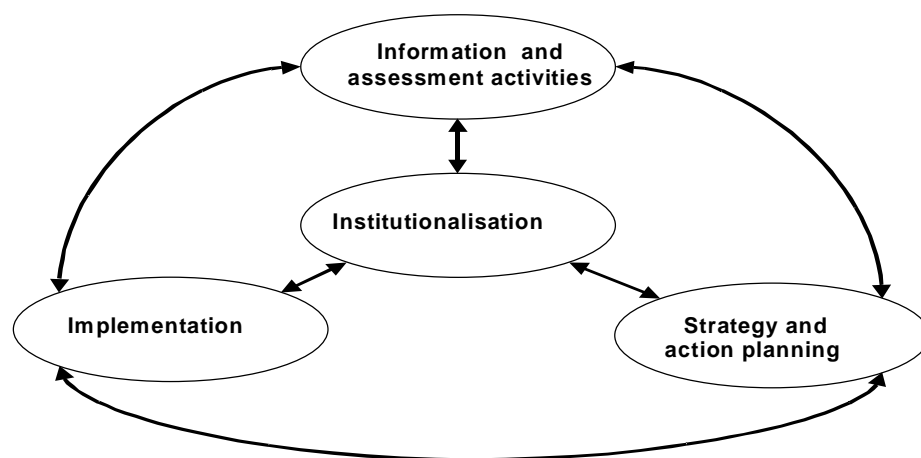
2 THE DECISION-MAKING PROCESS

2.1 A simple process

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

❏ **Assessment and information activities:** the situation is assessed continuously and relevant information gathered on an ongoing basis.

❏ **Strategy and action planning:** strategies and action plans are drawn up jointly and agreed upon by all stakeholders.

❏ **Implementation:** strategies and action plans are implemented.

❏ **Institutionalisation:** throughout the process, participatory capacities are built and arrangements for a sustainable decision-making process institutionalised.

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

2.2 The ingredients for successful decision-making

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

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

❏ Priority issues should be addressed though strategy and action planning. Resources available among stakeholders have to be identified and mobilised. All concerned stakeholders should agree upon realistic strategies and action plans based on available resources.

❏ Strategy and action planning should lead naturally to implementation. However, this can happen only if the implementation capacities of the involved stakeholders are fully committed and the tasks ahead of them clearly defined.

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

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

3 DEFINING PARTICIPATORY DECISION-MAKING INDICATORS

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

❑ direct and substantive (contributing information, ideas and financial resources and deploying implementation instruments and capacities)

❑ supportive and technical (research, information analysis and technical advise), and promotional (lobbying, advocating and campaigning)

Each actor will also assess the gender responsiveness of his or her participation in the various activities.

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

4 APPLYING PARTICIPATORY DECISION-MAKING INDICATORS

4.1 Reporting level and reference years
In the context of reporting progress for the Istanbul+5 Conference, the decision-making indicators are to be applied **at the city level**. As described in the general reporting guidelines for Istanbul+5, each country should provide indicators for at least one major city. However it is recommended that countries report on more than one city in order to provide a more complete picture of the urban situation in the country.

Indicators have to be provided for the following dates:
- **1995**, one year prior to the Habitat II Conference (Istanbul)
- **2000**, one year prior to Istanbul+5

Reporting on these years provides a five-year assessment of progress since the Habitat II Conference.

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

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

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

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

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

5 THE EXAMPLE OF Z-CITY

5.1 The process of applying indicators in Z-City

Z-City is strongly committed to the implementation of the Habitat Agenda. It has been requested by the Habitat II National Committee to report on the progress made during the last five years. The city not only wants to report on physical urban conditions and trends, but also on how the urban management and decision-making processes have improved over the last five years. Local partners and especially the municipality are interested in checking if the participatory approaches to decision-making have improved.

The city is committed to a long-term project for the improvement of partnerships. Its partners are in a variety of sectors in the metropolitan area (private sector, community sector, other levels of the public sector). Over the last 8 years, the management approach has changed dramatically to become more broad-based and participatory. However, as tangible effects are not yet perceptible, the city is willing to assess these "management reforms", and their potential results. Decision-makers from all sectors involved in the reforms are asking themselves questions such as:

- Did we follow the right process for decision-making? Did we enhance participation throughout the process? What is the progress so far?
- Were the various activities of the process conducted adequately? Which activities are weak?
- Did we involve the relevant stakeholders, and do they provide expertise, information, and resources as much as they can? Did we secure strong commitment for implementation from a wide range of stakeholders?
- Did we manage to build strong consensus on priorities to be addressed and on strategies to be implemented?

A committee made up of representatives from all the stakeholder groups involved in Z-City urban management is created. During an introductory meeting, the purpose of the exercise is explained. Assessment criteria are refined to fit with local circumstances. For various reasons, stakeholder group representatives do not feel comfortable with some sub-indicators. Through consensus it is decided not to deal with them.

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

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

5.2 Analysis of the results in Z-City

Analysis of a specific group of actors (Academic and scientific community – page 9)
During the assessment activities, in 1995, the university, who maintains an extremely relevant Geographic Information System (GIS), was not involved. The university, which became involved only in 1998, decides to give the 1995 indicator 1a "*Variety of Sources of Information*" a rating of 0. However, from 1998, the GIS has contributed fully to assessment and information collection and the university decides to rate the indicator 1a for the year 2000 as 3. The involvement of the university was of great influence, because up until 1998 the city was unable to spatially organise the information collected or to produce substantive maps to support decisions.

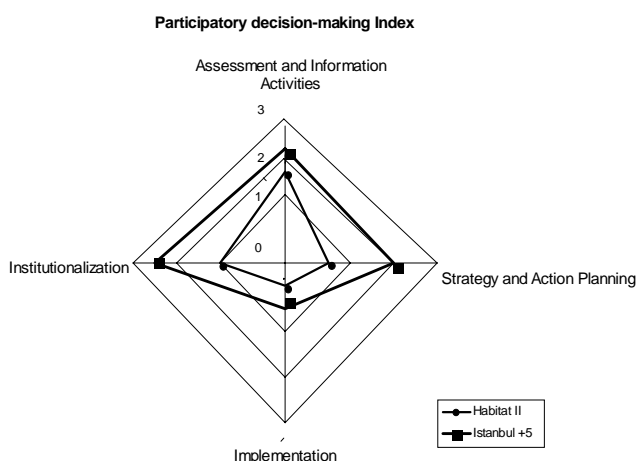**Analysis of a specific group of actors (National Government – page 9)**
Due to general election in the country in 1999, national government has changed. This has also brought changes in representation of ministries at the regional level. Representatives of the ministries have not yet been briefed on the initiatives undertaken by Z-City and are not fully involved in Z-City planning and management activities. An effort will be required to brief and re-mobilise this group of actors.

Analysis of a sub indicator (Consensus on priorities – page 9)
Some stakeholders gave a poor rating to indicator 1.b "*Consensus on priorities*" for 1995, because they did not feel concerned by the priorities chosen. However for 2000 the same stakeholders generally give this sub-indicator quite a high rating. This is due to the shift in priorities on the part of the municipality and reflects the tremendous widening of the information base since 1995 which has meant that the priority concerns of stakeholders are now identified much more effectively.

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

Participatory decision-making Index

REPORTING SHEET: Please, fill colored cells   Z-CITY EXAMPLE

Indicator 1: Information and assessment activities

1995

Information and assessment activities				
Actors	a. variety of sources of information	b. consensus on priorities	c. gendered assessment	**Total by actor**
1 National Government	2	3	1	2.00
2 Local authorities	3	3	2	2.67
3 NGO's	1	1	3	1.67
4 CBO's	2	0	2	1.33
5 Private sector	1	2	1	1.33
6 Academics and scientists	0	2	2	1.33
7 Other	1	1	2	1.33
Total	1.43	1.71	1.86	**1.67**

2000

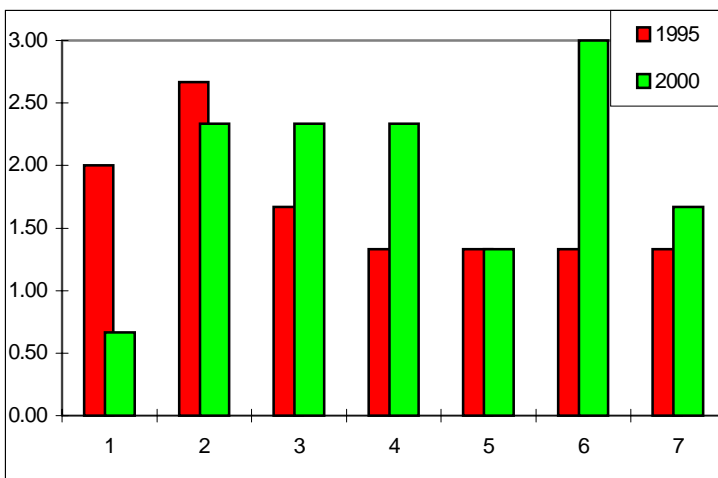| Information and assessment activities				
Actors	a. variety of sources of information	b. consensus on priorities	c. gendered assessment	**Total by actor**
1 National Government	1	1	0	0.67
2 Local authorities	3	3	1	2.33
3 NGO's	2	2	3	2.33
4 CBO's	3	2	2	2.33
5 Private sector	2	2	0	1.33
6 Academics and scientists	3	3	3	3.00
7 Other	2	2	1	1.67
Total	2.29	2.14	1.43	**1.95**

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

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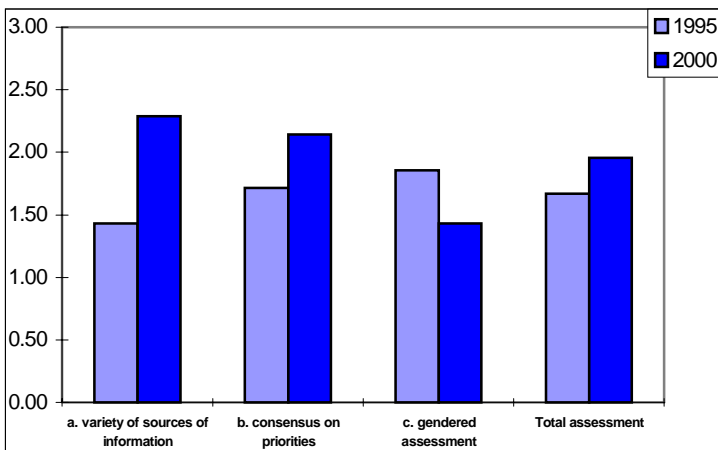(3) for all actors the priorities are very important

Gendered assessment.
Within the stakeholder group:
(0) women are not involved at all
(1) are involved but no disaggregated information is collected
(2) women and men are equally involved AND separate information is collected
(3) same, and women's and men's priorities are also equally reflected in final assessment

Results: based on your inputs above

Progress by stakeholders			
Actors	**1995**	**2000**	**Progress**
1 National Government	2.00	0.67	-1.33
2 Local authorities	2.67	2.33	-0.33
3 NGO's	1.67	2.33	0.67
4 CBO's	1.33	2.33	1.00
5 Private sector	1.33	1.33	0.00
6 Academics and scientists	1.33	3.00	1.67
7 Other	1.33	1.67	0.33
Total assessment	1.67	1.95	**0.29**

Progress by activities				
Actors	a. variety of sources of information	b. consensus on priorities	c. gendered assessment	**Total assessment**
1995	1.43	1.71	1.86	1.67
2000	2.29	2.14	1.43	1.95
PROGRESS	0.86	0.43	-0.43	**0.29**

6

10 **Decision Making Indicators**
UNCHS (Habitat) 09-99

ANNEXE

Indicator 1
Reporting sheet and explanatory notes for "*Information and assessment activities*"

Indicator 2
Reporting sheet and explanatory notes for "*Strategy and action planning*"

Indicator 3
Reporting sheet and explanatory notes for "*Implementation*"

Indicator 4
Reporting sheet and explanatory notes for "*Institutionalisation*"

Index of participatory urban decision-making and explanatory comments on the results

DEFINITION

Indicator 1: Monitoring information and assessment activities

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

Indicator 1.a: Variety of sources of information

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

How to rate?

You should evaluate the variety of sources of information by considering the extent of the contribution of the various stakeholders to your information base
- They provide you with documents, reports, or maps...
- They prepare specific studies
- They are interviewed or participate in discussions and records of their inputs are incorporated into your information base

Stakeholders' contributions can be incorporated in the information overview in different formats:
- Geographic Information Systems (GIS)
- Environmental Profile
- City diagnosis or Audit
- City Profile

Indicator 1.b: Identification of priorities

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

Stakeholders may feel that some problems are more relevant to them than others. Cities can estimate this by using the criteria below:
- The stakeholder feels directly concerned by the problem
- The stakeholder feels a responsibility to participate in the solution of problems faced by the community
- The stakeholder recognises the importance of the problem for the community, although not directly affected by it

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

How to rate?

Indicator 1.c: Gender

This indicator measures the inclusiveness of the assessment. It measures the extent to which information covers what both women and men do, what their priorities are, and whether these are reflected in the priorities selected.

How to rate?

The gender sensitivity of the assessment and information activities is estimated through the following criteria:
- Cities can estimate whether women are not involved at all (0)
- Are involved but no disaggregated information is collected (1)
- Women and men are equally involved, and separate information is collected (2)
- Same, and women's and men's priorities are also equally reflected in final assessment (3)

REPORTING SHEET: Please, fill colored cells

Indicator 1: Information and assessment activities

1995

	Information and assessment activities			
Actors	a. variety of sources of information	b. consensus on priorities	c. gendered assessment	**Total by actor**
1 National Government	2	3	1	2.00
2 Local authorities	3	3	2	2.67
3 NGO's	1	1	3	1.67
4 CBO's	2	0	2	1.33
5 Private sector	1	2	1	1.33
6 Academics and scientists	0	2	2	1.33
7 Other	1	1	2	1.33
Total	1.43	1.71	1.86	**1.67**

2000

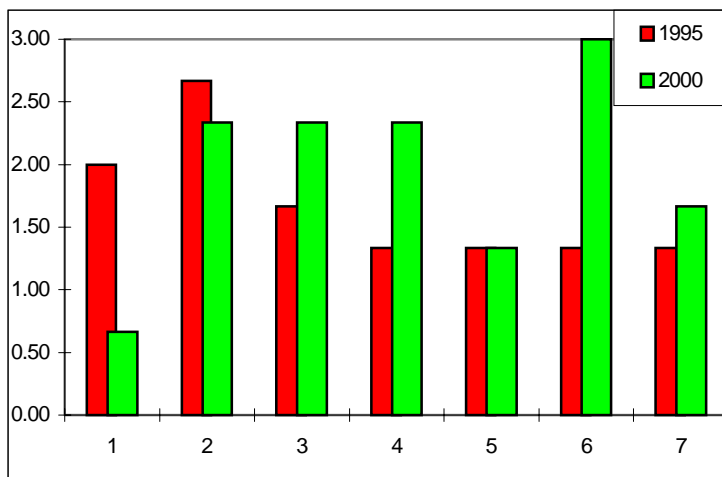|	Information and assessment activities			
Actors	a. variety of sources of information	b. consensus on priorities	c. gendered assessment	**Total by actor**
1 National Government	1	1	0	0.67
2 Local authorities	3	3	1	2.33
3 NGO's	2	2	3	2.33
4 CBO's	3	2	2	2.33
5 Private sector	2	2	0	1.33
6 Academics and scientists	3	3	3	3.00
7 Other	2	2	1	1.67
Total	2.29	2.14	1.43	**1.95**

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

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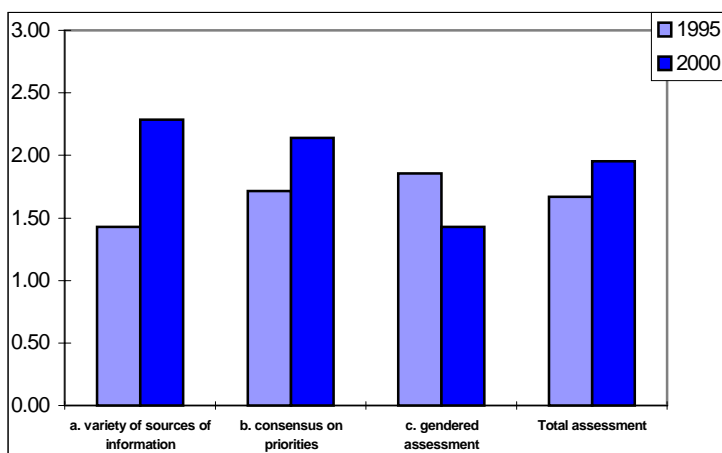(3) for all actors the priorities are very important

Gendered assessment.
Within the stakeholder group:
(0) women are not involved at all
(1) are involved but no disaggregated information is collected
(2) women and men are equally involved AND separate information is collected
(3) same, and women's and men's priorities are also equally reflected in final assessment

Results: based on your inputs above

	Progress by stakeholders			
Actors	**1995**	**2000**	**Progress**	
1 National Government	2.00	0.67	-1.33	
2 Local authorities	2.67	2.33	-0.33	
3 NGO's	1.67	2.33	0.67	
4 CBO's	1.33	2.33	1.00	
5 Private sector	1.33	1.33	0.00	
6 Academics and scientists	1.33	3.00	1.67	
7 Other	1.33	1.67	0.33	
Total assessment	1.67	1.95	**0.29**	

	Progress by activities			
Actors	a. variety of sources of information	b. consensus on priorities	c. gendered assessment	**Total assessment**
1995	1.43	1.71	1.86	1.67
2000	2.29	2.14	1.43	1.95
PROGRESS	0.86	0.43	-0.43	**0.29**

DEFINITION

Indicator 2: Monitoring strategy and action planning

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

Indicator 2.a: consideration of available resources

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

How to rate?

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

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

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

Indicator 2.b: consensus on strategies

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

How to rate?

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

- ❑ Do stakeholders agree with the objectives to be reached?
- ❑ Do they agree with the method of achieving the objectives as set out in the strategy?

Where strategies are still being negotiated, cities can measure support for the strategy negotiations and indicate that stakeholders are moving towards a consensus by asking:

- ❑ Do stakeholders exhibit good group dynamics and show understanding of each other's positions?
- ❑ Are stakeholders familiar with the issues?

Indicator 2.c: gender

Women's resources and capacities are often underestimated and may also not be included in decision-making at all levels. This indicator measures whether women's as well as men's resources are considered and whether women's as well as men's priorities are central to the strategy.

How to rate?

The gender sensitivity of the strategy and action planning can be estimated through the following criteria. Cities can estimate whether women's resources are:

- ❑ Not considered at all and women's view's are not separately heard (0)
- ❑ Women's resources are considered, their views are not separately heard (1)
- ❑ Women's resources and views are considered but do not influence the selected strategy (2)
- ❑ Women's resources and views are central to the selected strategy (3)

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Indicator 2: Strategy and action planning

1995

	Strategy and action planning			
Actors	a. available resources	b. consensus on strategy	c. gendered strategy	Total by actor
1 National Government	1	0	1	0.67
2 Local authorities	1	1	1	1.00
3 NGO's	1	2	1	1.33
4 CBO's	0	0	1	0.33
5 Private sector	1	0	0	0.33
6 Academics and scientists	0	1	1	0.67
7 Other	0	0	0	0.00
Total	0.57	0.57	0.71	**0.62**

2000

	Strategy and action planning			
Actors	a. available resources	b. consensus on strategy	c. gendered strategy	Total by actor
1 National Government	2	2	2	2.00
2 Local authorities	2	3	2	2.33
3 NGO's	2	3	3	2.67
4 CBO's	1	2	2	1.67
5 Private sector	1	3	2	2.00
6 Academics and scientists	1	3	2	2.00
7 Other	1	3	1	1.67
Total	1.43	2.71	2.00	**2.05**

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

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

Gendered strategy.
Within the stakeholder group:
(0) women's resources are not considered at all
(1) women's resources are considered but their views are not separately heard
(2) women's resources AND views are considered but do not influence the selected strategy
(3) women's resources AND views are central to the selected strategy

Results: based on your inputs above

	Progress by stakeholders			
Actors	1995	2000	Progress	
1 National Government	0.67	2.00	1.33	
2 Local authorities	1.00	2.33	1.33	
3 NGO's	1.33	2.67	1.33	
4 CBO's	0.33	1.67	1.33	
5 Private sector	0.33	2.00	1.67	
6 Academics and scientists	0.67	2.00	1.33	
7 Other	0.00	1.67	1.67	
Total assessment	0.62	2.05	**1.43**	
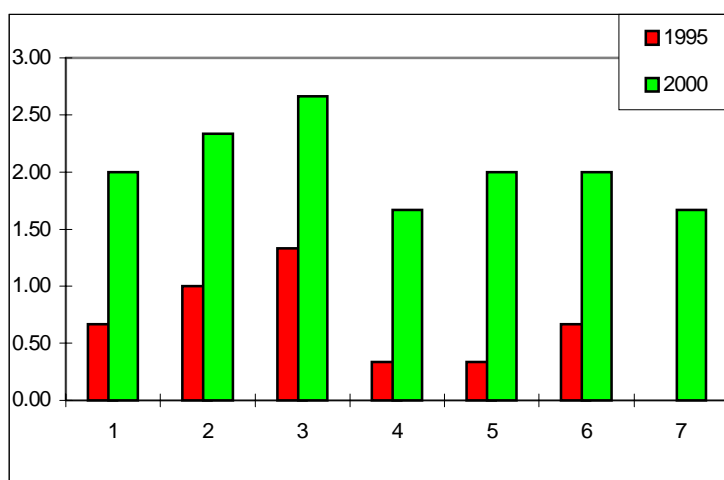
	Progress by activities			
Actors	a. available resources	b. consensus on strategies	c. gendered strategies	Total assessment
1995	0.57	0.57	0.71	0.62
2000	1.43	2.71	2.00	2.05
PROGRESS	0.86	2.14	1.29	**1.43**
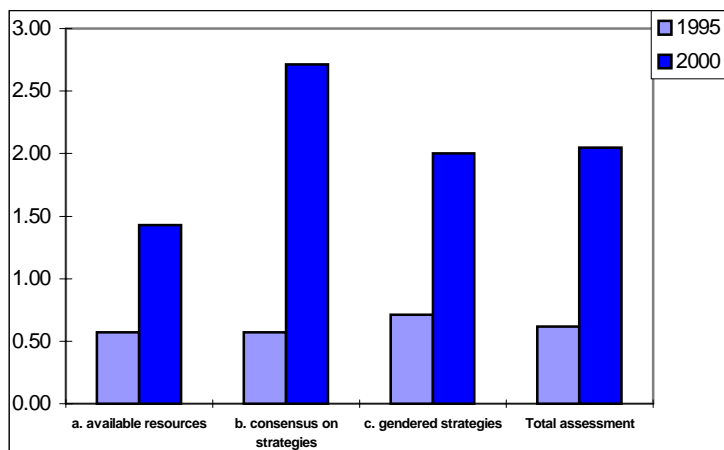
DEFINITION

Indicator 3: Monitoring implementation

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

Indicator 3.a: capacity to implement

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

How to rate?

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

Indicator 3.b: commitment to implementation

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

How to rate?

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

Indicator 3.c: gender

Women are sometimes left out of decision making, thus weakening an otherwise strong action plan. Implementation capacity is increased by gender inclusiveness. Cities need to measure whether both women and men are committed to the agreement at all levels. Also, whether their roles and capacities are separately defined and clarified in the action plan.

How to rate?

The gender sensitivity of the implementation can be estimated through the following criteria. Cities evaluate whether women are:
- Not separately involved in defining capacities and commitments (0)
- Are consulted on capacities or commitments (1)
- Are actively involved in decisions but their roles and responsibilities in the action plan are not clarified (2)
- Are actively involved and their roles and responsibilities are clarified in action plan (3

REPORTING SHEET: Please, fill colored cells

Indicator 3: Implementation

1995

	Implementation			
Actors	a. strength of action plans	b. commitment to implementation	c. gendered implementation	**Total by actor**
1 National Government	1	1	0	0.67
2 Local authorities	0	1	0	0.33
3 NGO's	1	1	1	1.00
4 CBO's	0	0	0	0.00
5 Private sector	0	0	0	0.00
6 Academics and scientists	1	1	0	0.67
7 Other	0	0	0	0.00
Total	0.43	0.57	0.14	**0.38**

2000

	Implementation			
Actors	a. strength of action plans	b. commitment to implementation	c. gendered implementation	**Total by actor**
1 National Government	2	0	0	0.67
2 Local authorities	1	1	1	1.00
3 NGO's	1	1	2	1.33
4 CBO's	1	0	1	0.67
5 Private sector	0	0	0	0.00
6 Academics and scientists	2	1	0	1.00
7 Other	0	0	0	0.00
Total	1.00	0.43	0.57	**0.67**

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

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

Gendered implementation.
Within the stakeholder group:
(0) women are not separately involved in defining capacities and commitments
(1) are consulted on capacities or commitments, but not actively involved in decisions
(2) are actively involved but their roles and responsabilities in implementing the action plan are not clarified
(3) are actively involved AND their roles and responsibilities are clarified in action plan

Results: based on your inputs above

	Progress by stakeholders		
Actors	**1995**	**2000**	**Progress**
1 National Government	0.67	0.67	0.00
2 Local authorities	0.33	1.00	0.67
3 NGO's	1.00	1.33	0.33
4 CBO's	0.00	0.67	0.67
5 Private sector	0.00	0.00	0.00
6 Academics and scientists	0.67	1.00	0.33
7 Other	0.00	0.00	0.00
Total assessment	0.38	0.67	**0.29**
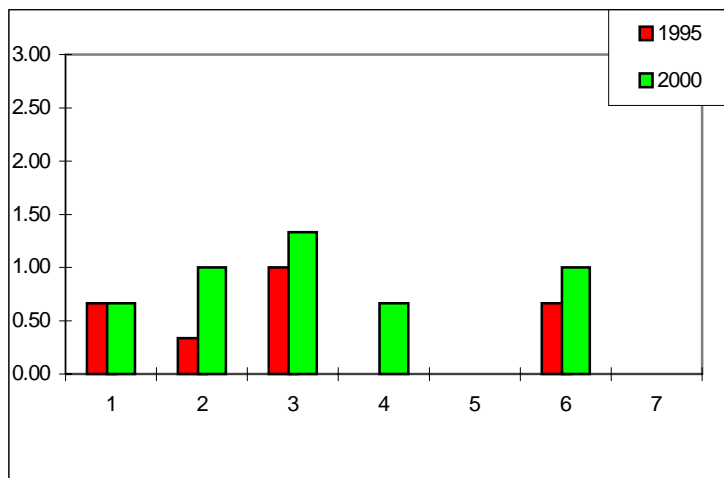
	Progress by activities			
Actors	a. strength of action plans	b. commitment to implementation	c. gendered implementation	**Total assessment**
1995	0.43	0.57	0.14	0.38
2000	1.00	0.43	0.57	0.67
PROGRESS	0.57	-0.14	0.43	**0.29**
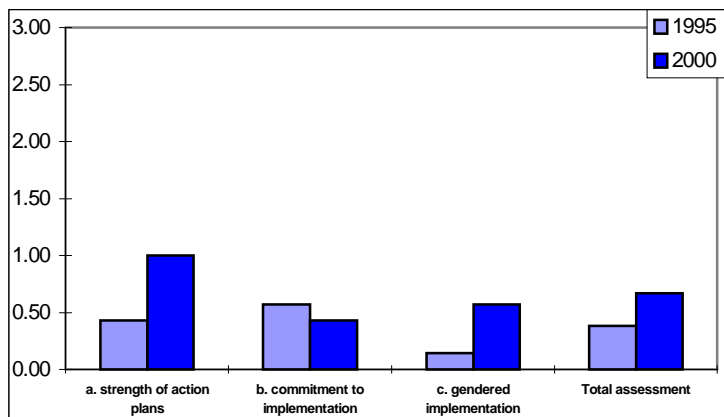
Indicator 4: Monitoring institutionalisation

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

Indicator 4.a: capacity of stakeholders to participate

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

How to rate?

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

❑ Structural and budget reforms within organisation
❑ Legislation to strengthen decision-making or enforcement powers
❑ Public information and awareness-building

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

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

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

Indicator 4.b: linkages among actors

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

How to rate?

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

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

Indicator 4.c: gender

This indicator measures the extent to which women as well as men benefit from capacity building, and also whether both men and women have developed their capacities for gender planning. Finally, it measures whether the institutional capacity exists for both women's and men's interests to be represented, and for them to be successfully combined.

How to rate?

Evaluate whether women's capacities

❑ are not addressed (0)
❑ women's capacities are addressed (1)
❑ women's capacities are addressed and gender capacity building exists for men and women (2)
❑ same and men's and women's stakeholder interests are separately established and linked (3)

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Indicator 4: Institutionalisation

1995

Institutionalisation	a. capacity to participate	b. linkages among stakeholders	c. gendered institutionalisation	Total by actor
Actors				
1 National Government	1	2	2	1.67
2 Local authorities	1	1	1	1.00
3 NGO's	1	2	2	1.67
4 CBO's	1	0	0	0.33
5 Private sector	0	2	1	1.00
6 Academics and scientists	1	2	1	1.33
7 Other	0	0	0	0.00
Total	0.71	1.29	1.00	**1.00**

2000

Institutionalisation	a. capacity to participate	b. linkages among stakeholders	c. gendered institutionalisation	Total by actor
Actors				
1 National Government	3	3	2	2.67
2 Local authorities	3	3	3	3.00
3 NGO's	3	3	3	3.00
4 CBO's	3	2	2	2.33
5 Private sector	3	2	2	2.33
6 Academics and scientists	3	2	3	2.67
7 Other	2	2	2	2.00
Total	2.86	2.43	2.43	**2.57**

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

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

Gendered institutionalisation.
Within the stakeholder group:
(0) women's capacities are not addressed
(1) women's capacities are addressed
(2) women's capacities are addressed AND gender capacity building exists for men and women
(3)same AND men and women stakeholder interests are separately established and linked

## Results: based on your inputs above

| Progress by stakeholders	1995	2000	Progress
Actors			
1 National Government	1.67	2.67	1.00
2 Local authorities	1.00	3.00	2.00
3 NGO's	1.67	3.00	1.33
4 CBO's	0.33	2.33	2.00
5 Private sector	1.00	2.33	1.33
6 Academics and scientists	1.33	2.67	1.33
7 Other	0.00	2.00	2.00
Total assessment	1.00	2.57	**1.57**
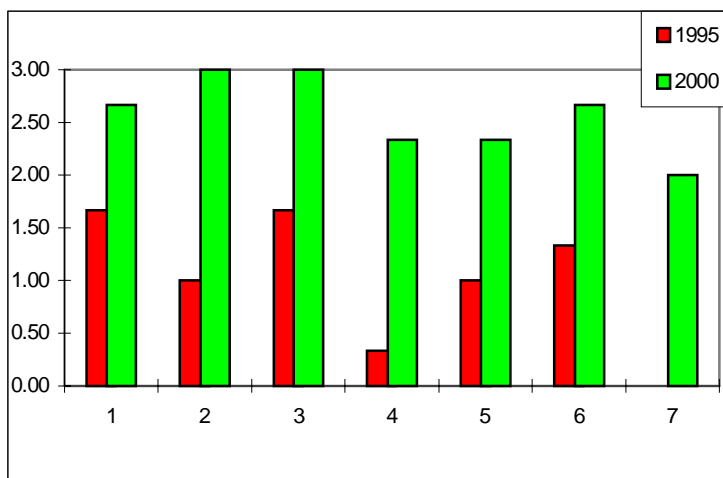
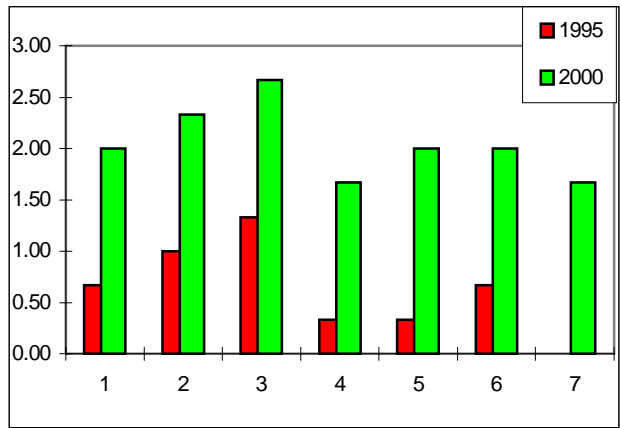| Progress by activities	a. capacity to participate	b. linkages among stakeholders	c. gendered institutionalisation	Total assessment
Actors				
1995	0.71	1.29	1.00	1.00
2000	2.86	2.43	2.43	2.57
PROGRESS	2.14	1.14	1.43	**1.57**
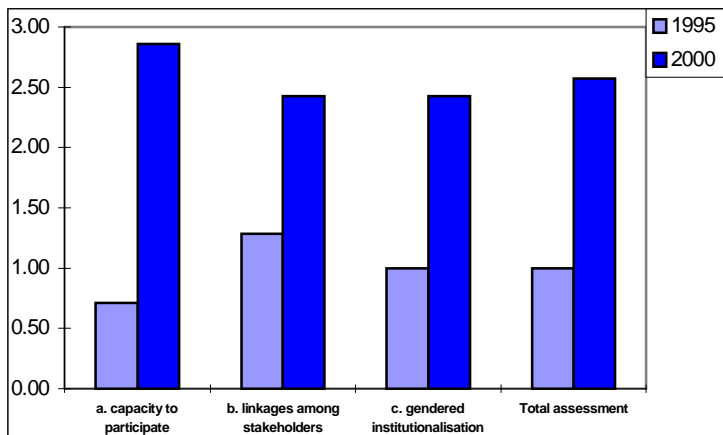
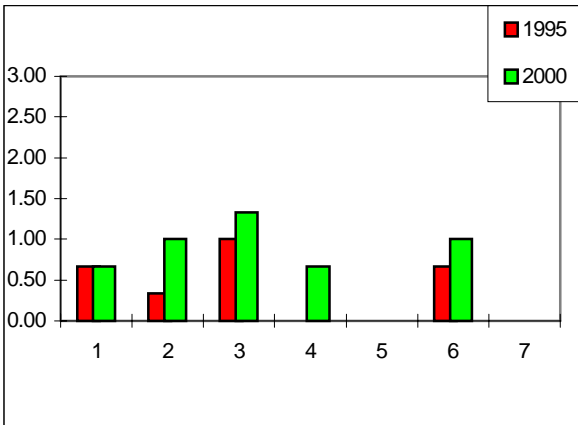# Index: overall results
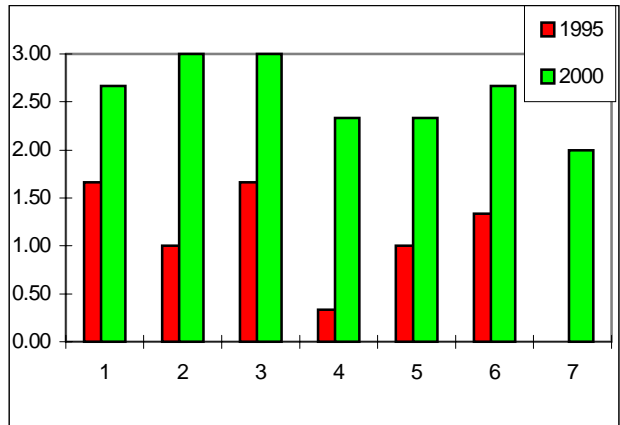
Information and assessment activities
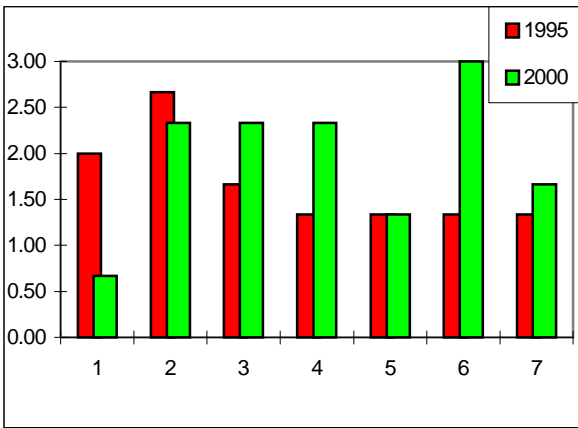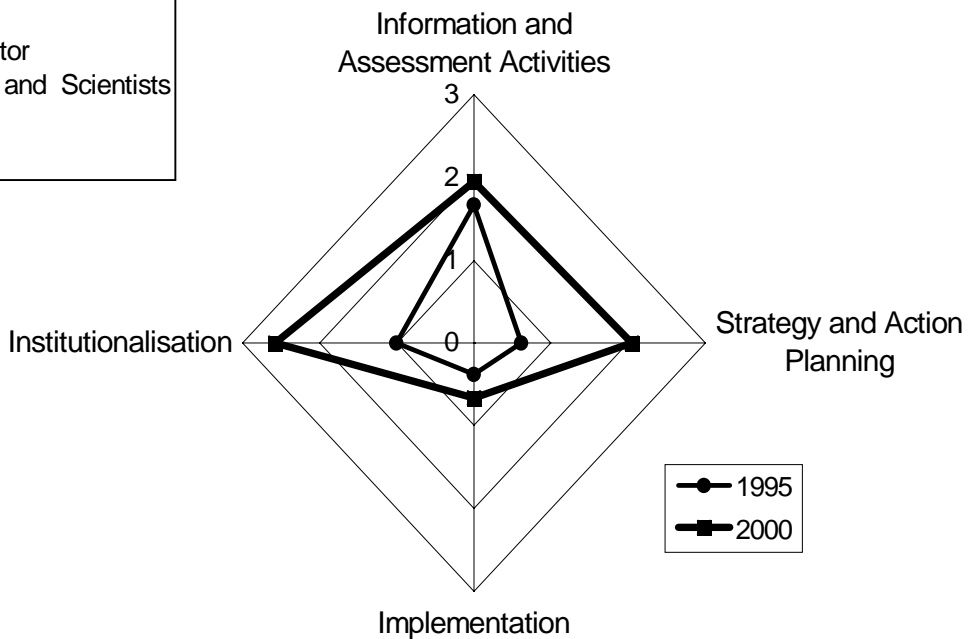

Strategy and action planning

Implementation

Institutionalisation

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

Indicators for decision-making

Decision-making Indicators
UNCHS (Habitat) 09-99

COMMENTS: please provide comments on your results

Information and assessment activities

Strategy and action planning

Implementation

Institutionalisation

General comments