# Localising the
# Millennium Development Goals

## A guide for local authorities and partners



May 2006

UN-HABITAT

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UN-HABITAT
United Nations Human Settlements Programme
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*"We will spare no effort to free our fellow men, women and children from the abject and dehumanizing conditions of extreme poverty, to which more than a billion of them are currently subjected. We are committed to making the right to development a reality for everyone, and to freeing the entire human race from want. We resolve, therefore, to create an environment — at the national and global levels alike — which is conducive to development and to the elimination of poverty."*

The Millennium Declaration, 2000

*"We underline the important role of local authorities in contributing to the achievement of the internationally agreed development goals, including the Millennium Development Goals"*

Para 173, 2005 World Summit Outcome, Resolution Adopted by the General Assembly

# FOREWORD



In the *Millennium Declaration* in 2000, all member states of the United Nations committed themselves to the Millennium Development Goals (MDGs) to sustain development and eliminate poverty. The eight goals and their targets are aimed at eradicating poverty, achieving universal primary education, empowering women, reducing child mortality, improving maternal health, fighting AIDS, malaria and other diseases, ensuring environmental sustain-ability and forging new partnerships for development. Aimed at cutting world poverty in half in the span of two decades, the goals are people-centred, time-bound and measurable. They are simple, powerful objectives that every woman, man and young person in the street from Washington to Monrovia, Jakarta to Nairobi, and Oslo to Cape Town can understand. They have the political support because they mark the first time world leaders have held themselves accountable to such a covenant. The Millennium Development Goals were reaffirmed at the UN Summit in September 2005.

Achieving the MDGs would mean that by 2020, more than 500 million people would have been lifted out of extreme poverty, 300 million would no longer go hungry, 350 million people would have access to safe drinking water and 650 million would get basic sanitation. The lives of millions of children and mothers will have been saved. And the lives of at least 100 million slum dwellers around the world will have been improved. (Goal 7, Target 11).

At the local level, these numbers can be daunting. How can a local authority, with limited resources and daily struggles to deliver basic services, make a difference for hundreds of millions of people? Are the MDGs not a global target?

It is important to realize this: even though the MDGs are global, they can most effectively be achieved through action at the local level. It is at the local level that inequalities between people in a city can be addressed. It is at the local level that safe drinking water, electricity and other services including health and education are provided, that garbage is collected and that food is sold at markets. In each city and town, there will be a local reality to be taken into consideration, and indeed the MDGs should be adapted to meet this reality. This is also the only way to make the most of local social capital and get the community involved. Of course, national level plans and actions are critical. But experience has shown that national plans must be linked with both local realities and the people they serve to be successful.

This guide has been developed to help inspire and guide local authorities to implement activities at the local level aimed at achieving the MDGs. It is designed to bring the MDGs "home" – to make them achievable on a familiar and manageable scale. Each and every city can help its communities eliminate poverty and hunger. UN-HABITAT has begun implementing projects to support "Localizing the MDGs" in nine countries, where this guide will be used.

Now is the time for decisive action. Let us all focus our efforts on achieving the Millennium Development Goals and help turn the concept of a global partnership between rich and poor countries – the eighth goal – into reality in our towns and cities.

*Anna Tibaijuka,*
Under-Secretary-General of the United Nations
and
Executive Director,
UN-HABITAT

# The Millennium Development Goals

| GOALS | TARGETS |
|---|---|
| **GOAL 1: ERADICATE EXTREME POVERTY AND HUNGER** | **Target 1**: Halve, between 1990 and 2015, the proportion of people whose income is less than $1 a day.<br><br>**Target 2**: Halve, between 1990 and 2015, the proportion of people who suffer from hunger. |
| **GOAL 2: ACHIEVE UNIVERSAL PRIMARY EDUCATION** | **Target 3:** Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling. |
| **GOAL 3: PROMOTE GENDER EQUALITY AND EMPOWER WOMEN** | **Target 4**: Eliminate gender disparity in primary and secondary education, preferably by 2005 and to all levels of education not later than 2015. |
| **GOAL 4: REDUCE CHILD MORTALITY** | **Target 5**: Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate. |
| **GOAL 5: IMPROVE MATERNAL HEALTH** | **Target 6**: Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio. |
| **GOAL 6: COMBAT HIV/AIDS, MALARIA AND OTHER DISEASES** | **Target 7**: Have halted by 2015 and begun to reverse the spread of HIV/AIDS.<br><br>**Target 8**: Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases. |
| **GOAL 7: ENSURE ENVIRONMENTAL SUSTAINABILITY** | **Target 9**: Integrate principles of sustainable development into country policies and programmes and reverse the loss of environmental resources.<br><br>**Target 10**: Halve by 2015 the proportion of people without sustainable access to safe drinking water.<br><br>**Target 11**: Have achieved by 2020 a significant improvement in the lives of at least 100 million slum dwellers. |
| **GOAL 8: DEVELOP A GLOBAL PARTNERSHIP FOR DEVELOPMENT** | **Target 12**: Develop further an open, rule- based, predictable, nondiscriminatory trading and financial system (includes a commitment to good governance, development and poverty reduction – nationally and internationally.<br><br>**Target 13**: Address the special needs of the least developed countries (includes tariff and quota-free-access for exports, enhanced program of debt relief for and cancellation of official bilateral debt, more generous official development assistance for countries committed to poverty reduction).<br><br>**Target 14**: Address the special needs of land-locked countries and small island developing states.<br><br>**Target 15**: Deal comprehensively with debt problems of developing countries through national and international measures in order to make debt sustainable in the long term.<br><br>**Target 16**: In cooperation with the developing countries, develop and implement strategies for decent and productive work for youth.<br><br>**Target 17**: In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries.<br><br>**Target 18**: In cooperation with the private sector, make available the benefits of new technologies, especially Information Communications Technology. |

# THIS GUIDE BOOK

This publication is designed to inspire and guide local authorities, including mayors, councilors, local officials, and stakeholders to implement activities at the local level to achieve the Millennium Development Goals (MDGs).

Local governments and their partners need to realize that the MDGs are not entirely new to local development. These goals are basic mandates of public administration and the deprivations addressed by the MDGs are as real in their communities as they are globally. Local actions are crucial drivers in achieving these global targets. By becoming accountable to their communities and citizens, local authorities and their partners contribute globally in achieving the MDGs by way of meeting local needs. Already, some local governments are doing this by providing livelihood, nourishment, education for all, equal opportunities for men and women, child and maternal care, protection from transmittable and infectious diseases, a safe and healthy environment, shelter, safe drinking water, good governance and efficient justice system.

This guide describes a process that can be used by local authorities as a planning framework for a poverty reduction strategy prepared in the context of local economic development. It can identify local priorities with the collective involvement of diverse stakeholders and plan activities and municipal services to achieve these priorities. This guide builds on UN-HABITAT's ongoing work related to the Urban Governance Campaign, Local Urban Observatories and participatory decision making consultation methods, adopted in the UN-Habitat's Urban Management Programme, Sustainable Cities Programme, and other programmes that deal with local authorities. All these programmes have strived to build capacity at local level for stakeholder participation in the planning and budgeting process, and in developing locally relevant urban indicators.[1] The cities and local authorities that have participated in these programmes have sufficient capacities in working with local indicators and stakeholder consultations. This guide aims to assist these cities in meeting the MDGs at local level.

Targets 10 and 11, on halving the proportion of people without sustainable access to safe drinking water and improving the lives of at least 100 million slum dwellers by 2020, are excellent entry points for local government into the MDGs. In fact, target 11 on slums is the only target with a specific focus on urban. Simply by realizing these two targets, a city will bring together a host of other key MDG targets, such as eradicating hunger and poverty, promoting gender equity, improving maternal health, combating HIV/AIDS, and more.

Where this process is implemented, local authorities can expect:

- greater awareness of the MDGs;
- more activities for poverty reduction as the MDGs create opportunities for action and expansion;
- meaningful involvement of local communities in shaping the direction and outcome of their local government services aimed at reducing poverty;
- improved institutional performance in service delivery;
- regular monitoring and evaluation of progress, and;
- national and international attention on local efforts and achievements.

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1   All these programmes and activities at UN-Habitat have a long experience of working at local level. For more details on these programmes, please visit: http://www.unhabitat.org/programmes/guo/;
http://www.unhabitat.org/programmes/sustainablecities/
http://www.unhabitat.org/programmes/ump/
http://www.unhabitat.org/campaigns/governance/

This guide outlines four major phases for localising MDGs, starting with a detailed overview of the MDGs, the need to localize them and ways to do that:

- An Overview: Awareness and Understanding of the MDGs;
- Phase 1: Preparing an MDG Baseline and Monitoring System;
- Phase 2: Developing a Local MDG Response Strategy through City Consultation;
- Phase 3: Implementing a Local MDG Response Strategy;
- Phase 4: Monitoring and Evaluation.

It is important for the local authority and all stakeholders to be aware of MDGs and their targets and indicators, in order to make a compelling case for action to achieve MDGs at local level. It also helps to understand that much of the on-going work of the local authority and community is already in line with MDG goals and that the MDG framework will assist communities, rather than adding an extra burden.

In preparing this guide, it is assumed that sufficient capacities (institutional, financial and human) exist at the local level to carry out a participatory process at the local level. But it is also expected that adequate information on each MDG indicator at local level may not be readily available. This guide provides steps to identify how such information can be collected and prioritised. So even if it may not be feasible for each local authority to implement activities addressing every MDG target, this guide provides the necessary steps to identify local priorities.

In developing a local MDG response strategy, a local authority is essentially creating its own, unique poverty reduction strategy, in consultation with all the stakeholders, especially the poor. The city consultation that mobilizes local stakeholders is a part of a process and the culmination of preparatory work (situational analysis, baseline survey and preparation of urban profiles). The aim of the consultation is to establish broad-based ownership and build inclusive partnerships for joint action. The outcome of the consultation process is a local action plan developed collectively by all stakeholders.

For those local authorities where a poverty reduction strategy already exists, fitting that strategy into the MDG framework will add value to the plan by directing focus on key agreed-upon targets and ensuring that the strategy is in line with national and international poverty reduction goals.

The local government must ensure that adequate financial and human resources are available to implement the MDG action plan. To ensure sustainability of the process and mainstream MDGs in the routine work of the local authorities, MDG Action Plans should become an integral part of local development plans and the budgetary process.

Monitoring and evaluation are required to ensure that the local authority is on track toward meeting the agreed MDG targets. Civil society can use this as a tool for accountability. Continuous monitoring and evaluation involving local partners will sustain interest and commitment to ensure effectiveness, responsiveness and accountability.

Although this guide talks in terms of phases for localizing the MDGs, this does not have to be a linear process. In fact, Phases 1 and 4, both on monitoring systems, are linked. It is possible to approach the work of localizing the MDGs from one target as an entry point to the debate. It is also important to note here that while this guidebook describes process, the results on the ground are the most important – ensure the efforts of the city are equally focused on results and outcomes as the process unfolds.

Learning/knowledge outcomes generated from the localization process in the Philippines:

• Greater awareness on the local poverty situation and other situations of human deprivation and in some cities, the process opened up opportunities for looking at the MDGs as human rights;

• Greater appreciation of the importance of development baselines e.g. poverty profiles, shelter baselines, water baselines, HIV/AIDS vulnerability profiles, and greater appreciation for developing local baseline databases more than being dependent on regional and national databases and statistics. The presence of local baselines leads to a greater appreciation for setting priorities and measurable targets and for more realistic and synergized resource allocation and greater accountability from local governments.

• Implementing MDG related programs and projects impact on individual and organizational competence. The MDGs can drive local reforms, including improving service delivery, scaling up capacities, improving local legislation and strengthening participatory and voice mechanisms.

• Greater appreciation for the need of citizen-led monitoring and evaluation systems including citizen feedback.

• More opportunities for "doing development differently." Localizing the MDGs resulted in greater creativity the, especially in advocating for local ownership of the goals.

• Greater appreciation for inter-local cooperation, e.g. city-to-city learning exchanges, cross-posting of experts, peer-to-peer coaching and co-governance approaches to delivering MDG targets.

• National and international attention on the local level efforts and achievements.

# AN OVERVIEW: UNDERSTANDING THE MILLENNIUM DEVELOPMENT GOALS AND HOW THEY CAN BE IMPLEMENTED LOCALLY

## What are the MDGs?

At the Millennium Summit in September 2000, all member states of the United Nations reaffirmed their commitment to sustaining development and eliminating poverty by adopting the Millennium Declaration. The Millennium Development Goals (MDGs) were identified as the roadmap for meeting the commitments of the Millennium Declaration and have been internationally accepted as a common global development framework. The commitment to this development framework, and to achieving the MDGs, was reiterated at the UN Summit in 2005.
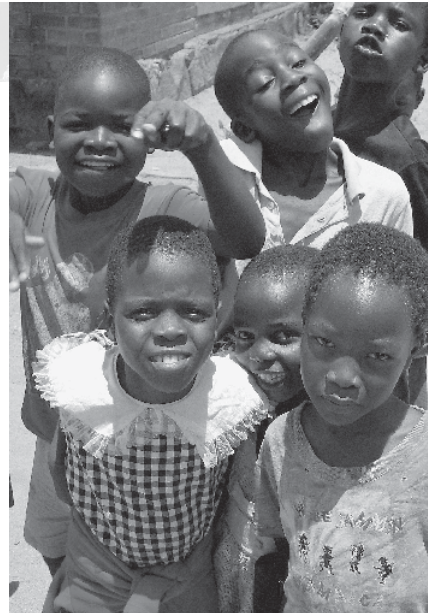
The eight Millennium Development Goals (MDGs) have 18 specific development targets and 55 indicators to guide the realization of these goals. Each goal has a time frame and a target figure, adding clarity and motivation. The MDGs provide a clear and precise, jointly agreed-upon framework that can be applied in all countries toward poverty eradication and development, and as a basis for describing, assessing and reporting on these issues.

The eight goals are a call to action, to mobilise development efforts involving national governments, local governments and development partners to direct their activities toward achieving the MDGs by the year 2015. Each country has committed to setting such targets and to publishing annual reports assessing progress in relation to each goal. The goals are interlinked and provide a platform for joining together and following up on all the commitments made at the various UN global summits held in the 1990s. They recognise the interdependence of growth, poverty reduction and sustainable development.

Within the Millennium Development Goals, Target 11 is a commitment to "achieve a significant improvement in the lives of at least 100 million slum dwellers by 2020". Although this is the only target that specifically addresses urban poverty, it is important to recognize that the urban context is crucial to meeting the MDGs. First, with the rapidly escalating population pressure on urban areas, the MDGs can never be met without facing squarely the very real challenges confronting today's cities in the developing world. Moreover, by improving the lives of slum dwellers, a city is also combating HIV, improving environmental sustainability, addressing gender inequality and more, in the most efficient manner. This target, together with Target 10 on sustainable access to safe drinking water, are excellent starting points for any local authority and can be easily linked to a variety of other key targets and indicators.

Governments are responsible for achieving or enabling the achievement of the goals and targets. Networks of international organisations are responsible for marshalling their resources and expertise in the most strategic and efficient way possible, to support the efforts of partners at global and country levels and to monitor progress. Citizens, civil society organisations and the private sector are required to contribute their unique strengths for motivation, mobilisation, action and evaluation.

The principal obstacle to the involvement of local authorities in implementation of the MDGs is their lack of awareness and understanding. Many regard MDGs as national government concerns or visionary ideals discussed at international conferences.

Certainly it is true that national governments hold the ultimate responsibility for realizing the MDGs. But this cannot be done without a local level strategy and strong support from authorities. Sometimes this means a radical change at the municipal and/or regional levels, as well as at the national level. Local governments need adequate capacity, resources and support to be able to meet the MDGs, and

they must have adequate power to be able to carry out locally-defined plans. Across a country, the needs will vary, depending on the city or community, and this should be reflected in the national priorities. At the same time, selected targets and indicators at the national and local levels within a country should be linked to ensure that joint priorities are being addressed.

> The first key step in realizing the MDGs is to create awareness among local authorities that MDGs provide a development framework to create the space for debate and action to fight urban poverty. It is also important to establish links between the MDGs, strategic city planning and the local budgetary process. MDGs should be seen by all stakeholders as a planning tool to prepare realistic, comprehensive development plans and budgets, and as a monitoring tool to measure the performance of local authorities.

It must be recognized that for many local authorities, MDGs are not new. Local governments already do address the MDGs, to some extent, by providing such services as education, water, sanitation, shelter, social services and primary health care.

But it is clear that the existing efforts of local governments are generally not enough. There is a need to enhance and expand local government activities in a meaningful way by involving local stakeholders in a more participatory approach. Local governments, through their leadership and stewardship, can mobilise stakeholders to plan and implement the MDG development framework at the local level. Each localised MDG framework will be unique to the needs and requirements of a particular area, its citizens and its context.

While this guide will focus on localising the MDGs, it would be remiss not to emphasize the importance of actively working with national and sub-national levels of government from the beginning. Monitoring and implementing the MDGs at different levels is not a parallel process, but rather an integrated one.

Experiences at the local level, including how a city will actually localize the MDGs, will depend in large part on linking local activities with the national processes underway for MDG monitoring. Such national monitoring frameworks can often be taken as a starting point for localising MDGs. Equally important is the need for resource allocation for MDG implementation. This will have to be judged in the context of the extent of decentralisation and transfer of resources to the local level. National line Ministries and local authorities will need to develop a framework for resource allocation for MDG implementation.

In working together with national government, local authorities are in a position to further MDG awareness and bring the urban and local dimension to the national MDG reporting process and related activities, such as PRSs and UNDAF. More importantly, cities can advocate for greater transfer of resources to tackle their problems and contribute to the local and national achievement of the MDGs.

### How can the MDG framework help local authorities?

In essence, the MDGs provide a development framework for socio-economic development – they provide a tool for local authorities and civil society to direct and consolidate their development efforts. This framework should make the work easier and more effective, not more difficult. In addition, placing the MDG targets into a local context and setting local time-frames enables civil society and local authorities to monitor progress.

Specifically, the MDG framework can help local authorities do the following:

*Popularize the message of poverty reduction*. Campaigning and advocating for the MDGs, especially with a particular focus on local targets and indicators, will bring about greater awareness of the MDGs within the community. Community support is critical for effectively achieving the MDGs in a city.

*Strengthen and expand local development efforts to achieve measurable outcomes*. The MDGs provide a platform to organise local activities to achieve time-bound goals by 2015. They are a framework within which activities can converge to focus on achieving the MDGs. Identifying the pockets of poverty and vulnerability in the city, and focusing activities in these pockets can help address the needs of the poor in a more substantial way.
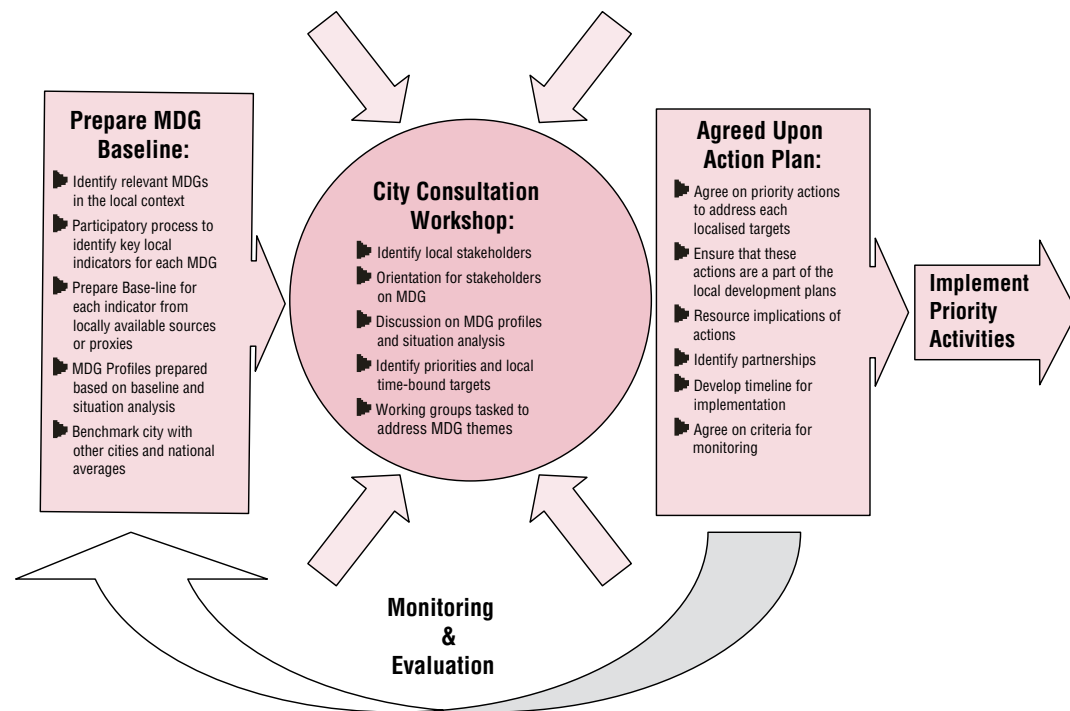
*Engage a wide coalition of partners- NGOs, CBOs, and other development partners*. The achievement of the MDGs requires the involvement of diverse partners. The MDGs provide an entry point and a common platform for all civil society actors to engage in constructive relationships and collaboration with local authorities. Local governments can drive the process by providing space for civil society engagement. Under their leadership, they can guide civil society to identify development needs and strategies.

*Improve institutional performance in service delivery and build capacity of local institution*s. By assessing needs and preparing an analysis of the current situation, local authorities can align plans to needs and identify specific policies, resources and activities. Many MDGs require coordinated efforts by various departments of a local council, and the MDG targets provide a clear focus for integration of inter-departmental activities. Local authorities will also have the opportunity to make institutional changes, so that they are more responsive to local needs. This will allow them to assess where they require more resources and responsibilities to address urban poverty.

*Monitor and evaluate progress*. The clear targets and time-frames of the MDGs help allow local authorities, as well as other stakeholders, to clearly track progress.

*Direct national and international attention on local efforts and achievements*. By incorporating local poverty alleviation efforts into an MDG framework and being able to report on areas of achievement and areas of concern, a city is able to share and discuss, in a common language, its poverty reduction efforts. This will strengthen arguments the city may have with national government for greater devolution of power or the need for more resources for key targets. It can also help the national government make the case to the donor community for increased development assistance, based on "experimental evidence" gleaned from cities where progress toward the MDGs has been measured and carefully noted.

Schematic overview of the localizing process



**Prepare MDG Baseline:**
- Identify relevant MDGs in the local context
- Participatory process to identify key local indicators for each MDG
- Prepare Base-line for each indicator from locally available sources or proxies
- MDG Profiles prepared based on baseline and situation analysis
- Benchmark city with other cities and national averages

**City Consultation Workshop:**
- Identify local stakeholders
- Orientation for stakeholders on MDG
- Discussion on MDG profiles and situation analysis
- Identify priorities and local time-bound targets
- Working groups tasked to address MDG themes

**Agreed Upon Action Plan:**
- Agree on priority actions to address each localised targets
- Ensure that these actions are a part of the local development plans
- Resource implications of actions
- Identify partnerships
- Develop timeline for implementation
- Agree on criteria for monitoring

**Implement Priority Activities**

**Monitoring & Evaluation**

## Why do we need to localize the MDGs?

Poverty is urbanizing – it is truly felt and lived at the local level. Therefore, global targets require local action. And while MDGs have become the common development framework at the global level, they are in themselves the subject of debate, when it comes to their implementation at national and local levels. Some countries see them as a framework for action, some see them as a set of generic objectives to guide development cooperation, and some see them as a global consensus without national or practical relevance.

It must be understood that the targets to achieve the MDGs are global targets, based on aggregate trends of all developing countries. Therefore, even if the global targets are achieved, inequalities between countries and among people would still persist. At national and local levels, achieving these global targets needs political commitment and ownership, which can be mobilised only if these targets are concretized in a local context. Thus, even though the MDGs are global, they can most effectively be achieved through action at the local level and support from the national level.

*The MDGs respond to shifts towards decentralisation and devolution of central government responsibilities.*

It is widely accepted that decentralization policies are a prerequisite for sustainable development. In general, decentralisation is seen as "the transfer of authority to plan, make decisions or manage public functions from the national level to any organisation or agency at the sub-national level". Decentralization is, therefore, a process of reform designed to strengthen local governments so they can deliver the specific services for which they are responsible to the residents of the areas they administer.

Considerable progress has been made by many Governments to engage in effective decentralization reforms and the devolution of powers to local authorities in order to promote local democracy. The challenge is to sustain this positive trend and intensify efforts toward the further empowerment of local authorities. In many countries, it is the local governments which provide basic services like water, sanitation, primary education and primary health care – a spectrum that covers many of the MDGs. The local authorities, therefore, have a critical role to play in achieving the MDGs.

*MDGs targets are national aggregate figures and need to reflect local realities.*

MDGs reported at the country level are aggregate figures that can mask local inequalities. In other words, the reported indicator for a particular goal can vary widely across various localities. Many national reports on MDG monitoring do not differentiate between rural and urban areas, or indeed, at the sub-national level. However, conditions in urban poor communities are likely to be worse than the averages for the nation, and special attention must be given to the low income and vulnerable groups in urban areas. Through localizing the MDGs, and measuring MDG targets at the local level, it is possible to provide a true assessment of development realities.

*Localizing the MDGs will highlight the local dimension in development efforts.*

Recent experience shows that national-level development documents such as Poverty Reduction Strategy Papers (PRSP) focus on national action plans but do not elaborate on how local governments should implement pro-poor service delivery to achieve these plans and goals(e.g. by addressing health, education, rural and urban development). It is important to develop a framework for development that is realistic and that develops activities which align MDGs and the local dimension with national long-term planning and PRSP processes.

**Additional Goal A**: Reduce vulnerability

**Target 1**: Increase the average income of the lowest expenditure quintile to 140 percent of that in 2000 and 190 percent of that in 2010; Target 2: Reduce by half the rate of poor people falling back into poverty due to natural disasters and other risks by 2010.

**Additional Goal B**: Ensure Good Governance for Poverty Reduction.

**Target 1**: Effectively implement grass-roots democracy; Target 2: Ensure budget transparency; Target 3: Implement a legal reform agenda.

**Additional Goal C**: Eradicate poverty and preserve the culture and diversity of ethnic minorities

**Target 1**: Preserve and develop the reading and writing ability of ethnic languages; Target 2: Ensure entitlement of individual and collective land-use rights in ethnic minority and mountainous areas; Target 3: Increase the proportion of ethnic minority people in authority bodies at various levels.

**Additional Goal D**: Ensure pro-poor infrastructure development.

**Target 1**: Provide basic infrastructure to 80 percent of poor communes by 2005 and 100 percent by 2010; Target 2: Expand the national transmission grid to 900 poor commune centers by 2005.

*Localizing MDG goals and targets will be placed in the local context and reality.*

The MDGs are global and set the lowest common denominators as targets. However, different countries and cities possess different capacities and levels of development. This means it is possible in a particular country for local authorities to set their own MDG targets, with shorter time-scales and greater outcomes, within the context of local priorities and resources. By mobilizing all the stakeholders, cities can contextualise the MDG targets and bring the MDGs into the mainstream of local planning and budgets.

MDGs, then, will continue to be a useful development framework only as they are relevant and realistic to each particular country. Localizing MDGs can be an important way to align the global MDGs with national long-term planning and PRSP processes. But at the same time, local and national targets should not contradict or alter the agreed global targets but should simply address local ways and means to address them. By making any changes to these global goals and targets, the power and essence of this global monitoring framework would be lost.

*Empowering the people.*

It is at the local level that national policies and actions have real impact on peoples' everyday lives. For poverty reduction programmes to become effective, it is necessary to achieve the MDGs at the local level, set within the context of local reality, aspirations and priorities. The MDGs, when addressed at local level, enable full engagement of all civil society stakeholders, and give them a chance to contribute to decision-making about the future of their city, as well as to influence the direction and shape of local development according to their actual needs.

# PHASE 1: PREPARING AN MDG BASELINE AND MONITORING SYSTEM



Once there is understanding and awareness of the Millennium Development Goals and how they relate to the work of communities and local authorities, the first concrete tasks can begin.

This first step in the process is to understand how well a city is doing in meeting the MDGs. This involves collecting and analyzing baseline indicators and creating a profile that provides a snapshot of city development.

The following steps are a guide to choosing key indicators, collecting data and analyzing the results to produce an MDG city profile:

Step 1:    Establish a permanent task team for monitoring the MDGs at the local level;

Step 2:    Choose the goals and targets that matter most to your city, along with corresponding outcome indicators;

Step 3:    Agree on definitions and methodologies that fit the local context;

Step 4:    Add specific, locally-relevant indicators;

Step 5:    Identify sources of information and collect the baseline data;

Step 6:    Use the results to prepare an MDG City Profile;

Step 7:    Use the results to identify priorities, formulate an action plan and set specific targets.

## Step 1: Establish an MDG Action Team to monitor the MDGs at the local level

The MDG Action Team is a body of interested persons and representatives of groups who can contribute to or benefit from the gathering of the baseline information. These participants will form a team that will initiate the Localizing MDG process. A core group of people should stay with the team through all phases, from baseline to city consultation to implementation to monitoring. Other participants can take part in one or more phases, as seems suitable.

This MDG action team need not be a new team; an existing local team may be designated. What is needed, however, is that this team should be institutionalized into the local government structure and should therefore have the leadership and strength of the mayor, key councilors, representative stakeholders and others. It is important to include different stakeholder perspectives to ensure that different perceptions, views and interests are reflected in the baseline-survey process. This is a good opportunity, for example, to create links with local universities and research institutions so that the research and monitoring has a strong foundation beyond the local authority.

This is the start of the participatory process, and, if done well, it can forge new relationships and foster collaboration. For the work of this phase, in addition to local government leadership, the working group should ideally consist of city planners, statisticians and other key producers of urban data (e.g. universities), civil society, including women's groups, responsible urban institutions and service providers, NGOs and the private sector.

## Local Urban Observatory - Example of multi-stakeholder working group for monitoring

Since 1999, UN-HABITAT's Global Urban Observatory (GUO) has been helping cities in developing countries set up their own Local Urban Observatories (LUOs) so that they can get an accurate picture of their situation and track progress through the collection of relevant indicators. LUOs consist of a broad group of stakeholders involved in data collection and analysis. The LUO is usually housed in the planning department of the municipality with strong links to other departments, academia and civil society groups. For example, the Brazzaville LUO in Congo is located at the Municipal Council of Brazzaville and managed by a Coordinator and urban planner. The LUO Steering Committee is comprised of the Mayor of Brazzaville and three other members in the Executive Council, the General Secretary of the City, the head manager of the town hall personnel department and the LUO Coordinator. A technical committee, dubbed the 'task force', oversees the technical aspects of data collection and analysis. The LUO operates in close collaboration with the Municipal Department of Statistics, the National Centre of Statistics, as well as several other government ministries and departments, the University and other research and development agencies.

### Step 2: Choose the goals and targets that matter most to the city along with corresponding outcome indicators

Identify and select the goals and targets that will have the greatest impact on improving the lives of the urban poor.

As suggested in the Overview, good starting points are Targets 10 and 11, which aim to "halve the number of people without sustainable access to safe drinking water and to have achieved a significant improvement in the lives of at least 100 million slum dwellers by 2020". In particular, Target 11 on slums puts the spotlight directly on people living in some of the most depressed physical conditions in the world's cities. It is a way of making policy-makers recognize and face up to the challenge of slums and is the only target with a specific mention of the urban challenge. [2]

UN-HABITAT has adopted a holistic approach by integrating the Habitat Agenda indicators in the overall MDG framework[3]. The Habitat Agenda indicators consist of 20 key indicators, 8 check-lists and 16 extensive indicators which measure performances and trends in selected key areas of the Habitat Agenda[4]. Together, they should provide a quantitative, comparative base for the condition of cities and show progress towards achieving the Habitat Agenda. They build on the premise that broad-based participation is critical to successful, sustainable urban development.

**Table 1 provides a suggested list indicators specifically focused on Targets 10 and 11**

| TARGETS | MDG INDICATORS | SUGGESTED ADDITIONAL INDICATORS[1] |
|---|---|---|
| **Target 10:** Halve by 2015 the proportion of people without sustainable access to safe drinking water. | • Proportion of population, urban and rural, with sustainable access to an improved water supply;<br><br>• Proportion of urban and rural population with access to improved sanitation | • Habitat indicator 4: access to safe water<br><br>• Habitat indicator 13: price of water |
| **Target 11**: Have achieved by 2020 a significant improvement in the lives of at least 100 million slum dwellers. | • Proportion of people with access to secure tenure[2] | • indicator 1: durable structures<br>• indicator 2: overcrowding<br>• indicator 3: secure tenure<br>• indicator 5: access to improved sanitation<br>• indicator 6: connection to services |

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2    An additional resource is the UN-HABITAT Global Urban Observatory publication, "Guide to Monitoring Target 11: Improving the lives of 100 million slum dwellers," www.unhabitat.org/programmes/guo/mdgtarget11.pdf
3    See the Annex for a full list of MDG and Habitat Agenda Indicators.
4    These Habitat Agenda indicators have been developed on the basis of the Habitat Agenda and on Resolutions 15/6 and 17/1 of the United Nations Commission on Human Settlements.

**Step 3: Agree on definitions and methodologies that fit the local context**

The UN has developed the MDG indicators based on internationally-agreed definitions and methodologies. UN-HABITAT has defined and articulated indicators for monitoring Target 11 on slums in consultation with activists, practitioners and policy-makers. Experts agreed on the following generic definition of slums[5]:

"A slum is a contiguous settlement where the inhabitants are characterized as having inadequate housing and basic services. A slum is often not recognized and addressed by public authorities as an integral or equal part of the city".

A slum household is defined as a group of individuals living under the same roof who lack one or more of the following key conditions:

| | |
|---|---|
| **Access to safe water** | A household is considered to have access to improved water supply if it has *sufficient amount of water* for family use, at an *affordable price*, available to household members without being *subject to extreme effort*, especially to women and children. |
| **Access to sanitation** | A household is considered to have adequate access to sanitation, if an excreta disposal system, either in the form of a *private toilet or a public toilet shared with a reasonable number of people*, is available to household members. |
| **Secure tenure** | Secure Tenure is the right of all individuals and groups to effective protection by the State against forced evictions. People have secure tenure when:<br>- There is *evidence of documentation* that can be used as proof of secure tenure status;<br>- There is either *de facto* or *perceived* protection from forced evictions. |
| **Durability of housing** | A house is considered as 'durable' if it is built on a *non-hazardous location* and has a structure *permanent and adequate* enough to protect its inhabitants from the extremes of climatic conditions such as rain, heat, cold and humidity. |
| **Sufficient living area** | A house is considered to provide a sufficient living area for the household members if not more than two people share the same room. |

According to the situation in a city, this definition can be locally adapted. For example, in cities like Rio de Janeiro, where living area is insufficient for both middle classes and the slum population alike, it could be formulated as lacking two or more of the conditions.

It is important to be familiar with the definitions and methods for all the MDG indicators that have been selected at the local level. Following these international definitions and methods allows for more effective monitoring of progress at all levels. The detailed methodology and indicators for Target 11 in the Indicators Toolkit provides tools to assist with this.[6]

**Step 4: Add locally-relevant indicators**

The MDG indicators are a starting point for developing a more detailed information base that will help to better formulate and monitor the city's action plan. It is important then to decide which other outcomes or results are important and which sectors or areas require a more extensive set of indicators.

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5    Based on recommendations made at the Expert Group Meeting on Urban Indicators held in Nairobi in November, 2002.
6    Refer to the UN-HABITAT Indicators "Guide to Monitoring Target 11" – Global Urban Observatory, 2003, http:// www.unhabitat.org/programmes/guo/publications.asp and the Urban Indicators Guidelines at http://www. unhabitat.org/programmes/guo/documents/urban_indicators_guidelines.pdf.

For instance, perhaps crucial to a particular city's development is the ability to deal effectively with crime, transportation, solid waste management and governance. Therefore, it is important to capture these issues with additional indicators. UN-HABITAT has developed a more extensive set of indicators to help you to select other key impact indicators, besides the MDG indicators, as well as to introduce new outcome, output and input indicators (see the Indicators Toolkit).

## Locally Relevant Indicators system design – Addis Ababa, Ethiopia

In 2005, the City of Addis Ababa, through its Local Urban Observatory, selected indicators in several sectors, as it endeavored to deliver effective and efficient services to city residents. The municipality intends to cover such sectors as health, education, housing, water supply, transport, energy, land use, information and communications, urban agriculture, financial services, waste management and environment, among others. They have developed a set of indicators for each sector. Some examples of the indicators chosen are below:

Health:
• Percentage health service coverage
• Ratio of nurses to total population
• Ratio of available hospital beds to population

Education:
• Literacy rate
• Teacher-to-student ratios at the different education levels
• Student class repetition rates
• Student drop-out rates

Housing:
• Housing unit ratio
• House price to income ratio
• Percentage of households living in slum areas

Water:
• Litre per capita consumption daily (LCPD)
• Water loss rate
• Percentage of houses with water connection (Water coverage)
• Percentage of houses with sewerage connected (Sewerage coverage)

Energy:
• Percentage of houses with electricity connection
• Percentage of energy supply from electricity
• Percentage of energy supply from petroleum

It is also important to measure the quality of urban governance through the process. The Urban Governance Index (UGI) of the UN-HABITAT Urban Governance Campaign focuses on processes, institutions and relationships at the local level in achieving good urban governance and is one of the only indices focused entirely on process.

The UGI focuses on the concepts of effectiveness, equity, participation and accountability. It provides a summary measure of the quality of governance in a city and is a self-assessment tool, which can help cities identify areas of weakness and subsequently adjust and design programmes for policy reform and capacity building. Focusing on the quality of governance and the process of achieving the MDGs also allows a city and its residents to see results sooner than they may be able to measure long-terms outcomes such as reduced HIV/AIDS prevalence. It can be a very positive tool for local authorities as they work with communities and demonstrate their abilities and intentions. [7]

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7    For more information on the Urban Governance Index, visit http://www.unhabitat.org/campaigns/governance/activities_6.asp

**Step 5: Identify data sources and collect the baseline data**

Availability of information at local level is often a major bottleneck in preparing a baseline. A key step is to identify data sources for each of the indicators and practical ways to collect the data. The major sources of data for the MDG indicators at local level are:

• Population census
• Household surveys (national and city-level)
• Administrative records
• Participatory assessments

*Population census* may provide useful information about housing and basic services, education attainment and employment. As the census collects information about everyone, the data can be disaggregated to the city and neighbourhood level. The disadvantage is that censuses are normally conducted once in a decade and therefore might not provide the up-to-date and regular information that is required.

*Household surveys* provide a more detailed understanding of living conditions through collecting key data in a representative sample of the population. Local authorities can consider using household survey results at both national and municipal levels:

• National household surveys, e.g., Demographic Health Surveys (DHS), Living Standard and Measurement Surveys (LSMS): for example, one possible data source for the indicators on access to safe water and under-five mortality is the DHS.

• City-level household surveys. UN-HABITAT has designed a tool called the "Urban Inequities Survey (UIS)" for providing an in-depth analysis of access to basic services, physical and legal security of shelter, health, education, livelihoods and crime. You can use this tool to collect baselines on MDG and other indicators at a sub-city level, i.e. neighbourhood, ward or district level. The same survey can be used after the implementation of policies and programmes, to monitor the impact of these efforts on the lives of slum dwellers and other groups. (See the UIS Toolkit for detailed guidelines and methodology.)[8]

*Administrative records* may be the cheapest form of data collection and most readily available information source, but sometimes the data is kept in ways that make them difficult to access. Administrative data may include: health and education statistics (e.g. incidence of illnesses and deaths in a hospital or test scores in schools); information on location of facilities such as schools, health clinics, standpipes, etc; number of staff or personnel; costs and expenditures for different public services.

*Participatory assessments* use qualitative indicators and open-ended questions to capture community or individual perceptions. Participatory assessments involve conducting in-depth interviews, focus group and community meetings with multiple stakeholders on specific issues. For example, much more reliable information on the status of formality or informality of occupancy and land use is obtained by asking municipal officials, outreach workers and major resident groups than from household interviewees. These assessments can also be used to formulate questions for the household surveys.

Depending on the particular urban context, it is important to collect the baseline in a disaggregated way that takes into consideration the following:

*Gender*: In many countries and areas of life, analysis of the status of women in human settlements is not easy to undertake because the data do not exist. The contributions that women make to development, as well as the discrimination against them, are equally hidden. The availability of statistics and indicators that quantify the specific roles and conditions of life of men and women can influence changes in public perception and hence policies. It is therefore important to introduce a gender-aware approach in the baseline data collection efforts.

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8 "Urban Inequities Survey Household Questionnaire", UN-HABITAT, 2006, www.unhabitat.org/programmes/guo

*Settlement type:* In most developing countries, it is useful to obtain data disaggregated for informal and formal urban settlements, generally, for slum and non-slum areas; results such as those regarding tenure status, price of utilities or quality of service delivery vary dramatically between formal and informal areas.

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

*Age groups*: Disaggregation by age group can provide crucial information which allows adequate age group targeting for a number of policy areas such as crime and safety, poverty alleviation or employment; commonly used age groups are: 0-4 years, 5-14 years, 15-24 years, 25-59 years, more than 60 years.

## Data collection in South Africa[9]

The South African Cities Network has collated key urban indicator data from various sources, including censuses, national surveys, national government databases and local authority data. The collated data have been used as inputs for a range of strategic information tools, including a "State of South African Cities" report, city indexes and an on-line database.

More specifically the scope of work comprised the following for each of the 9 cities [Buffalo City (East London); Cape Town; Ekurhuleni (East Rand); Ethekwini (Durban); Johannesburg; Mangaung (Bloemfontein); Msunduzi (Pietermaritzburg); Nelson Mandela (Port Elizabeth); Tshwane (Pretoria)]:

- Collation and analysis of 1996 and 2001 Census data for the 9 cities of the SA Cities Network
- Collation and analysis of data from the 2002 Household and Labour Force surveys
- Collation of metro information from national department data sources, including the following:
- SAPS Crime Statistics
- Health Statistics
- Housing
- Intergovernmental Fiscal Review
- Assessment of status and availability of data held by national departments
- Collation of data from local authority data sources, including the following:
- Planning/Development Information
- Health
- Housing
- Economic Development
- Audit of existing skills and capacity data collection and analysis for each of the municipalities;
- Analysis of city-related data from 2002 All Media and Products Surveys (AMPS).

**Step 6: Use the results in preparing the MDG City Profile**

Using the key MDG indicators together with other locally-relevant indicators, municipal authorities and key partners can now construct the MDG profile of the city. Such a profile will help to assess current state of the city in meeting the MDGs. The format for the MDG profile should be organized around the eight major goals. Additional items of special concern to local and national partners can of course be included.

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9    Source: South Africa State of the Cities Report.

Through discussion and analysis of the following categories, participating stakeholders could document and summarize, for each of the MDGs:

- The current situation, progress made since 2000, prevailing conditions, new trends, emerging issues, and major areas of concern;
- Current policy and the legislative environment;
- Institutional weaknesses and obstacles encountered;
- Lessons learned, with emphasis on sustainability and impact;
- Recommendations for priority action.

To support and facilitate the sharing of information, UN-HABITAT has provided space on its "Localising MDG" web site for each city to post its MDG profile and supporting documentation.[10]

**Trend analysis of MDG indicators - Casablanca: Slum population change 1990-2003**
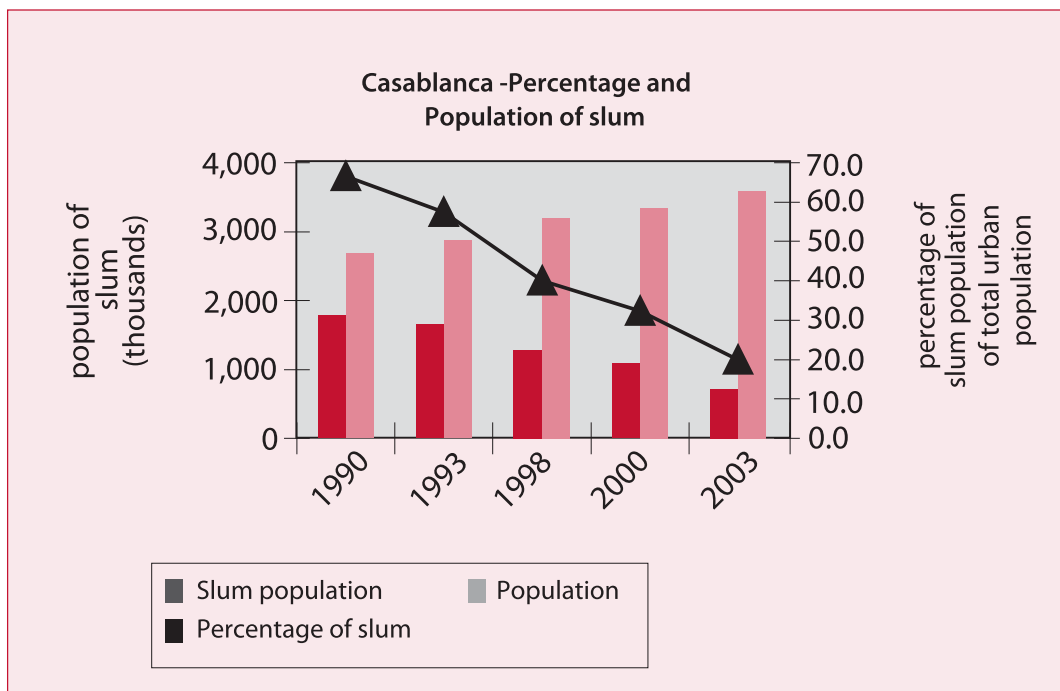


*Source: GUO database*

10   Website www.unhabitat.org/mdg

**Step 7: Analysis of the MDG profile for the City Consultation**

The MDG baseline indicators can help identify and build awareness of social, economic, institutional and environmental issues that a city must address in order to move towards sustainable development. The analysis of these indicators provides a quantitative measure of performance against each of the MDGs and allows local authorities and their partners to identify priority issues, including areas in which substantive change might be warranted. Stakeholder participation in this process is essential, as the MDGs have to be viewed as real and important in order to mobilize concerted efforts toward their achievement.

It is possible to analyze the baseline data to identify areas in which a high number of poor are concentrated or locations that are performing poorly against the MDGs. This spatial information may be used to produce maps showing how different wards and districts are performing. Such maps can be used to guide targeting of resources to the "least developed" parts of the city.

The baseline data may also be used to produce graphs to show how different indicators relate to one another. For example, child mortality rates are often much higher in slum areas than in non-slum areas. This is often connected with the extremely poor environmental conditions in the slums, where poor quality of water, inadequacies in sanitation, drainage and solid waste removal create hazardous living environments and leads to higher morbidity and mortality rates. A quantitative analysis of the MDG indicators can be used to highlight and better understand these causal relationships.

It is important to establish both policy goals and specific technical targets to be achieved for each city's priority MDGs. The baseline data points to where things stand at the moment; the target points towards the direction of where the city would like to go. Such an exercise requires broad and active stakeholder support in deciding what the priority targets should be and how and when to reach them.

Use the universally accepted MDG targets and indicators as a framework to prepare locally relevant targets and indicators. Remember that local indicators and targets should still measure the global MDGs. Deviating from these global goals will make the process meaningless.

| MDG Goals and Targets | MDG Indicators | Locally Relevant Targets | Locally Relevant Indicators |
| --- | --- | --- | --- |
| **GOAL 1: ERADICATE EXTREME POVERTY AND HUNGER**<br>**Target 1:** Halve, between 1990 and 2015, the proportion of people whose income is less than $1 a day.<br><br>**Target 2:** Halve, between 1990 and 2015, the proportion of people who suffer from hunger. | **TARGET 1 INDICATORS:**<br>1. Proportion of population below $1 per day<br>2. Poverty gap ratio (incidence X depth of poverty)<br>3. Share of poorest quintile in national consumption<br><br>**TARGET 2 INDICATORS:**<br>4. Prevalence of underweight children (under 5 years of age)<br>5. Proportion of population below minimum level of dietary energy consumption | | |
| **GOAL 2: ACHIEVE UNIVERSAL PRIMARY EDUCATION**<br>**Target 3:** Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling. | **TARGET 3 INDICATORS:**<br>6. Net enrolment ratio in primary education<br>7. Proportion of pupils starting grade 1 who reach grade 5<br>8. Illiteracy rate of 15–24 year–olds | | |
| **GOAL 3: PROMOTE GENDER EQUALITY AND EMPOWER WOMEN**<br>**Target 4:** Eliminate gender disparity in primary and secondary education, preferably by 2005 and to all levels of education no later than 2015. | **TARGET 4 INDICATORS:**<br>9. Ratio of girls to boys in primary, secondary and tertiary education<br>10. Ratio of illiterate females to males of 15-to-24 yr –olds<br>11. Ratio of women to men in wage employment in the non-agricultural sector<br>12. Proportion of seats held by women in national parliament | | |
| **GOAL 4: REDUCE CHILD MORTALITY**<br>**Target 5:** Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate. | **TARGET 5 INDICATORS:**<br>13. Under five mortality rate<br>14. Infant mortality rate<br>15. Proportion of 1-year-old children immunized against measles | | |

1   MDG Targets and Indicators are measured ultimately at the global level. The framework of 8 goals, 18 targets and 48 indicators to measure progress towards the Millennium Development goals was adopted by a consensus of experts from the United Nations Secretariat and IMF, OECD and the World Bank. See http://www.unmillenniumproject.org/goals/goals03.htm for further details.

| | |
|---|---|
| **GOAL 5:IMPROVE MATERNAL HEALTH**<br>**Target 6:** Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio. | **TARGET 6 INDICATORS:**<br>16. Maternal mortality ratio<br>17. Proportion of births attended by skilled health personnel |
| **GOAL 6: COMBAT HIV/AIDS , MALARIA AND OTHER DISEASES**<br>**Target 7:** Have halted by 2015 and begun to reverse the spread of HIV/AIDS.<br>**Target 8:** Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases. | **TARGET 7 INDICATORS:**<br>18. HIV prevalence among 15-to-24-year-old pregnant women<br>19. Condom use rate of the contraceptive prevalence rate<br>19a. Condom use at last high-risk sex<br>19b. Percentage of population aged 15-24 years with comprehensive correct knowledge of HIV/AIDS<br>19c. Contraceptive prevalence rate<br>20. Ratio of school attendance of orphans to school attendance of non-orphans aged 10-14 years<br><br>**TARGET 8 INDICATORS:**<br>21. Prevalence and death rates associated with malaria<br>22. Proportion of population in malaria risk areas using effective malaria prevention and treatment measures<br>23. Incidence of tuberculosis (per 100,000 people)<br>24. Proportion of tuberculosis cases detected and cured under directly observed treatment short course |
| **GOAL 7: ENSURE ENVIRONMENTAL SUSTAINABILITY**<br>**Target 9:** Integrate principles of sustainable development into country policies and programmes and reverse the loss of environmental resources.<br><br>**Target 10:** Halve by 2015 the proportion of people without sustainable access to safe drinking water.<br><br>**Target 11:** Have achieved by 2020 a significant improvement in the lives of at least 100 million slum dwellers. | **TARGET 9 INDICATORS:**<br>25. Proportion of land area covered by forest<br>26. Land area protected to maintain biological diversity<br>27. GDP per unit of energy use (as proxy indicator for energy efficiency)<br>28. Carbon dioxide emissions (per capita)<br>29. Proportion of population using solid fuels<br><br>**TARGET 10 INDICATORS:**<br>30. Proportion of population with sustainable access to an improved water source<br>31. Proportion with access to improved sanitation<br><br>**TARGET 11 INDICATORS:**<br>32. Proportion of people with access to secure tenure (urban and rural) |

## FORMAT 1B: COLLECTING THE BASELINE DATA

Use the local targets and indicators that were agreed upon in Format 1A. Target timelines should match the tenure of the local authority / council.

| Local Goals/Targets (insert local targets here)[3] | Local Indicators | Data Source | 2005/2006 levels: % and # | 2009 target | 2012 target | 2015 target | Actors responsible for collecting & monitoring |
|---|---|---|---|---|---|---|---|
| **Target 10:** Halve, by 2015 the proportion of people without sustainable access to safe drinking water. | 1. Proportion of population with access to safe water | | | | | | |
| | 2. Proportion of population with access to improved sanitation | | | | | | |
| | 3. Price of water | | | | | | |
| **Target 11:** Have achieved by 2020 a significant improvement in the lives of at least 100 million slum dwellers. | 1. Proportion of people with secure tenure | | | | | | |
| | 2. Durable structures | | | | | | |
| | 3. Overcrowding | | | | | | |

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14  All local goals and targets should still measure the global MDGs.

## FORMAT 1C: THE MDG CITY PROFILE

Within each MDG Goal, insert the locally relevant targets and indicators and prepare a detailed profile for each one. Examples of some of the questions that should be asked are included within MDG 7 on Environmental Sustainability.

**BACKGROUND for (City, Country)**

**Quantitative indicators, such as:**
Demographic indicators, city economic indicators; % of employment by sector; social development and poverty indicators; physical size of the city, residential densities etc.

**Qualitative information, such as:**
Does the city have a strategic development plan?; description of the main economic activities; of economic linkages (e.g. supply of labour, goods and services) existing between the city slums and other areas of the city; description of major urban development programmes; municipal government & other key urban sector stakeholders etc

| | Local Indicators for each goal (examples below) | Profile report based on indicators data: |
|---|---|---|
| | | Current situation, progress made since since 2000, prevailing conditions, new trends, emerging issues and major areas of concern |
| MDG 1 on Urban Poverty | • Proportion of population living on less than $1 per day<br>• Poverty gap ratio<br>• Prevalence of underweight children under 5<br>• • • • | Current policy and legislative environment |
| | | Institutional weakness and obstacles encountered |
| | | Lessons learned with emphasis on sustainability and impact |
| | | Recommendation for future action |
| | | Current situation, progress made since since 2000, prevailing conditions, new trends, emerging issues and major areas of concern |
| MDG 2 on Primary Education | • Enrolment ratio in primary education<br>• Literacy rate of 15 – 24 year olds<br>• • • • | Current policy and legislative environment |
| | | Institutional weakness and obstacles encountered |
| | | Lessons learned with emphasis on sustainability and impact |
| | | Recommendation for future action |

| MDG | Indicators | |
|---|---|---|
| MDG 3 on Gender Equality | • Ratio of girls to boys in education<br>• Share of women in wage employment<br>• Percentage of women councillors | Current situation, progress made since 2000, prevailing conditions, new trends, emerging issues and major areas of concern |
| | | Current policy and legislative environment |
| | | Institutional weakness and obstacles encountered |
| | | Lessons learned with emphasis on sustainability and impact |
| | | Recommendation for future action |
| MDG 4 on Child Mortality | • Under-five mortality rate<br>• Infant mortality rate<br>• Rate of immunization | Current situation, progress made since 2000, prevailing conditions, new trends, emerging issues and major areas of concern |
| | | Current policy and legislative environment |
| | | Institutional weakness and obstacles encountered |
| | | Lessons learned with emphasis on sustainability and impact |
| | | Recommendation for future action |
| MDG 5 on Maternal Health | • Maternal mortality rate<br>• Proportion of births attended by skilled health personnel | Current situation, progress made since 2000, prevailing conditions, new trends, emerging issues and major areas of concern |
| | | Current policy and legislative environment |
| | | Institutional weakness and obstacles encountered |
| | | Lessons learned with emphasis on sustainability and impact |
| | | Recommendation for future action |
| MDG 6 on HIV/AIDS, Malaria and other diseases | • HIV prevalence in women 15 - 24<br>• Number of children orphaned by HIV/AIDS<br>• Prevalence and death rates associated with malaria | Current situation, progress made since 2000, prevailing conditions, new trends, emerging issues and major areas of concern |
| | | Current policy and legislative environment |
| | | Institutional weakness and obstacles encountered |
| | | Lessons learned with emphasis on sustainability and impact |
| | | Recommendation for future action |

| MDG 7 on Environmental Sustainability | • Access to improved water source<br>• Access to improved sanitation<br>• Connection to services<br>• Access to security of tenure | Current situation, progress made since 2000, prevailing conditions, new trends, emerging issues and major areas of concern (for example, target 11 on slums and indicator 32 on security of tenure):<br><br>For example, has there been a recent housing survey? Estimate proportion of urban residents who live in slums. Estimate homelessness for both males and females. Estimate the proportion of people who live in precarious sites such as flood plains, steep slopes, highly polluted areas, etc. |
|---|---|---|
| | | Current policy and legislative environment<br><br>*For example, what are the city regulations and policies on slums and homelessness? Does this encourage or discourage slum upgrading? Is there a current land use plan? Is there legislation that protects slum dwellers against eviction? Does the municipality or other public authority evict slum residents? Estimate numbers evicted and describe the process.* |
| | | Institutional weakness and obstacles encountered<br><br>*For example, what are the constraints that the poor face in securing land rights? What are the main land management problems? What are the administrative and legal steps to acquire secure rights to land in slum areas? How long would these steps take?* |
| | | Lessons learned with emphasis on sustainability and impact<br><br>*For example, elaborate on any slum upgrading project, past ongoing or planned, and consider implementation success and impact on women and men, on poverty, etc.* |
| | | Recommendation for future action<br><br>*For example, what policies and actions are needed to address the key concerns outlined above and meet the MDG target on achieving a significant improvement in the lives of slum dwellers?* |

# PHASE 2: DEVELOPING A LOCAL MDG RESPONSE STRATEGY THROUGH CITY CONSULTATION

The outcomes sought in this phase are formal political and stakeholder commitment, strategy outlines and agreement on a specific plan of action. This process will build on the baseline data gathered earlier and will use a participatory, city consultation process.

Success can ONLY be achieved with strong leadership and political will. Mayors, councillors, municipal leaders and officers must all champion the MDGs and realize their significance as a framework for poverty reduction and development. They must also believe in and advocate for a participatory process to translate the Goals into a realistic, concrete programme that enjoys broad support. 15Advocacy and Building Leadership

These critical ingredients of support and understanding from the mayor and local authorities are key to the success of this process. There is significant evidence from hundreds of UN-HABITAT programme experiences that document this. Not until key municipal actors believe in the MDGs and their significance can they make a compelling case within the community for constructing a local MDG framework to drive activities to meet local needs.

The Overview section on understanding the MDGs needs to be the foundation on which the activities in Phase 2 are built. However, in this part of the process, that understanding and awareness must be translated into advocacy by those in positions of influence and power. The leadership in a city needs to initiate and develop a continuous process that is coherent, maintains momentum and addresses all opportunities to institutionalise MDGs and involve stakeholders. They will need to undertake a campaign on localizing the MDGs.

As drivers and advocates of this process, both mayors and councillors need to be aware of the following key points:

- They are responsible for strategic leadership and direction and policy and practice, as well as budgetary allocation decisions. By working with local communities, they can ensure that development needs are being met within an MDG planning and development framework.

- Ultimately, the mayor and councillors will need to consider budget and policy recommendations to re-orientate municipal resources and services within a development MDG framework. They have the responsibility, therefore, to be informed about the MDGs and to interpret and adapt them to fit their own local context.

- Public minded mayors and municipal officials can use the MDGs as a political tool to gain constituent support through improved local involvement and meaningful poverty reduction measures. There is no better argument for using the MDG framework process than seeing tangible results and improvements.

- Emphasizing inclusiveness, accountability and transparency will clarify the link between good urban governance and the successful delivery of municipal services. These are elements that all municipal official leaders and their constituents need to be aware of and promote. This requires good public sector governance, developing local relationships and trust, fostering commitment and legitimacy and strengthening involvement and participation of local vulnerable groups and the urban poor.

- Municipal leaders are well placed to catalyse collaboration between communities by publicly raising awareness and advocacy, improving understanding and fostering relationships, involvement and trust with all local stakeholders (e.g., communities, religious groups, schools and health institutions, slum dwellers and slum dweller associations, the informal and formal private sectors).

- Municipalities must start to realise their roles and functions to orientate these towards achievement of the MDGs. They need to understand in real terms how individual service elements make a contribution to eradicating poverty at local level.

## The MDG City Consultation

Generally speaking, the City Consultation is a participatory mechanism for bringing stakeholders together to build a better understanding of issues and to seek local solutions built around broad-based consensus. The City Consultation is a sustainable process of citizen involvement in decision-making, and the consultations are built on priorities defined by the people themselves.

As a city moves through the consultation process, some key results are achieved:

1. Issues of concern, drawn from the MDG profile and baseline data, are reviewed, prioritized and expanded, with wide representation of key stakeholders;
2. Key actors in all sectors of the community, from local authorities to civil society to the private sector, are brought together to commit themselves to localizing the MDG process for sustainable growth and development. These new partnerships cut across sectoral boundaries and create new and innovative relationships;
3. A variety of cross-sectoral working groups are established to enable these new partnerships to address the agreed-upon issues of concern in the form of action plans;
4. Mechanisms to implement action plans and institutionalize the participatory process are developed that focus on pooling resources to address the key concerns;
5. Overall, social and political support is mobilized to operationalize the working group approach and methodology to address the key defined issues.

### Principles of the MDG City Consultation

The MDG City Consultation Process is inclusive – it provides space for everyone, including the marginalized. It is a continuous process to launch further action and not an end in itself. It is demand-driven and remains responsive to stakeholder needs. It relies on a bottom-up process – it draws legitimacy from the expressed will of stakeholders. It is co-operational and not confrontational, in order that knowledge and ideas are integrated and resources pooled. It seeks conflict resolution, not diffusion, and is flexible enough to be applied in different contexts and on different scales.

## How a City Consultation works

### A. Preparing for a First City Consultation Event

Before the first city consultation event, the MDG Task Team may form a smaller group to organize the event, always with the commitment and support of high-level decision makers. Two to five days may be set aside for the consultation, and all resources materials and information should be prepared in advance. It can be very helpful to hold bilateral and sectoral stakeholder consultations before the city consultation events involving key groups in the preparatory activities.

Participants must be invited and committed so that as many key stakeholders as possible take part in the event. Carefully consider the stakeholders who will take part in this activity. It is important to have a clear understanding of the potential roles and contributions of the many different stakeholders. Include both those stakeholders who can help and those who may hinder.

Essentially, stakeholders are those whose interests are affected by the issue or issues under discussion, or those whose activities strongly affect the issue or issues. They are those who possess information, resources and expertise needed for strategy formulation and implementation. They are also those who control relevant implementation instruments. A stakeholder analysis can assist in identifying the key stakeholders for the MDG city consultation.[11]

While the MDG baseline data and profile generated in the previous step will serve as the basis for discussion of the issues, it is helpful to prepare further documentation which may bring the information one step further. This could take the form of specific profiles, vulnerability assessments or proposition papers which might propose areas of action for discussion in the MDG city consultation and which divide the MDG profile into areas for different working groups to address.

One important consideration for both the stakeholder analysis and proposition papers is gender. Lack of gender awareness and mainstreaming can lead to poor decision-making. Moreover, action plans and project implementation improve if gender concerns are prioritized in the process. Using gender-disaggregated data, making sure both women and men are represented in the stakeholder group, building capacity where required and considering how actions will impact the different genders can all assist with this.

### B. Activities during the event - Conducting the Consultation

- Opening and Overview: Establish a common understanding of context, framework and purpose of the City Consultation.
- Identifying and reviewing Issues of Concern: Summarize the profile, and allow stakeholders to identify and review the issues of concern.
- Demonstrating a methodology to discuss specific issues: Demonstrate how to zero in on one specific issue at a time, and discuss it from the different perspectives of stakeholders. Illustrate also the working group approach to addressing issues through cross-sectoral and inter-institutional mechanisms.
- Discussing the Institutional Framework: Review institutional issues that constrain the effective management of issues, and assess the need to adapt and develop new participatory processes that promote better decision-making, co-ordination and implementation. Obtain full support for the process, and agree on the institutional arrangements and modes of implementation.
- Summarising and Drawing Conclusions: Agree on the conclusions that come out of the consultations, and obtain a broad mandate for carrying forward the process that began with the consultation, including agreement regarding the monitoring arrangements.
- Closing: Report back results to high level officials and participants unable to attend all the sessions to re-affirm the commitment and support of key stakeholders, which is usually done through a City Declaration or an Urban Pact.

At this stage, commitment to an Urban Pact or Consultation Declaration[12] formalizes the commitments of all the stakeholders to localizing the MDG framework around the sustainable development initiatives and actions agreed to in the city consultation. General objectives of an Urban Pact, for example, express the vision, formalize agreement on priorities for action and propose an institutional framework and communication mechanism structure, to implement and make explicit the commitment of resources from all partners.

### C. Reporting the Consultation; Follow-up Activities

- ❑ Prepare, produce and disseminate the Consultation report;
- ❑ Disseminate the Urban Pact or the Consultation Declarations;
- ❑ Establish the monitoring arrangements.

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11 For further details on conducting a Stakeholder Analysis, see Chapter 2.2 in "Tools to Support Participatory Urban Decision Making", UN-HABITAT, 2002.
12 For further details on conducting a Stakeholder Analysis, see Chapter 2.9 in "Tools to Support Participatory Urban Decision Making", UN-HABITAT, 2002.

**A Common Framework for Participatory Decision Making**

| PHASES | STAGES |
|---|---|
| Phase 1: Preparatory and Stakeholder Mobilization<br><br>Outcome: Framework agreement with partners, base line information and consensus on key issues | **Start–up**<br><br>➢ Mobilizing stakeholders<br>➢ Issue and city profiling<br>➢ Identifying key issues |
| Phase 2: Issue prioritization and Commitment of Stakeholders<br><br>Outcome; formal political commitment, strategy outlines, modalities for the way forward and next steps | **Holding the first City Consultation**<br><br>➢ Preparing<br>➢ Conducting<br>➢ Committing<br>➢ Reporting |
| Phase 3: Strategy Formulation and Implementation<br><br>Outcome: agreed strategy framework, demonstration projects, strategies for up-scaling and replication | **Developing Strategy Framework**<br><br>➢ Clarifying issues and evaluating options<br>➢ Negotiating and elaborating strategies<br><br>**Implementing Pilot Projects**<br><br>➢ Identifying and designing demo projects<br>➢ Mobilizing partners<br>➢ Initiating implementation of demonstration projects<br><br>**Integrating projects and action plans into strategic city wide approaches** |
| **Phase 4: Follow-up and consolidation**<br><br>Outcome; process and product monitoring an devaluation, feedback and adjustment | **Up-scaling and Replication**<br><br>➢ Evaluating and capturing lessons of experience<br>➢ Follow-up on up-scaling and replication strategies<br><br>**Monitoring and Evaluation**<br><br>➢ Evaluating and capturing lessons of experience and feeding them into adjustment, institutionalizing, strengthening and internalization. |

## FORMAT 2A: DEVELOPING A LOCAL MDG RESPONSE STRATEGY THROUGH CITY CONSULTATION

For each of the targets and indicators, establish a plan of action which covers the medium terms of three years (having a longer term plan is also recommended). Be sure the time frame is linked with the tenure of the local authority / council. Focus on establishing the cost of realizing the action plans so that they can be prioritized for implementation.

| Local Targets (insert below) | Local Indicators | Agreed MDG Plans of Action (2006 – 2009) | Brief Description of the Actions | Scope and Beneficiaries | Costing Estimate |
|---|---|---|---|---|---|
| **For example Target 10**: Halve, by 2015 the proportion of people without sustainable access to safe drinking water. | 1. Proportion of population with access to safe water | | | | |
| | 2. Proportion of population with access to improved sanitation | | | | |
| | 3. Price of water | | | | |
| **For example Target 11**: Have achieved by 2020 a significant improvement in the lives of at least 100 million slum dwellers. | 1. Proportion of people with secure tenure | | | | |
| | 2. Durable structures | | | | |
| | 3. Overcrowding | | | | |

## FORMAT 2B: PREPARING AN URBAN PACT OR CITY DECLARATION: OUTCOME OF THE CITY CONSULTATION

Use the format below to prepare an Urban Pact as an outcome of the city consultation.

| |
|---|
| **Preamble** |
| **Mandates** |
| **Fundamental Principles** |
| **Commitment from Partners** |
| **Resources** |
| **Monitoring and Evaluation** |
| **Approval by Local Authority** |

# PHASE 3: IMPLEMENTING A LOCAL MDG RESPONSE STRATEGY

Following the city consultation outlined in the previous chapter, the city or community has clarified issues, evaluated options and agreed on the way forward. Armed with the city consultation report and Urban Pact or City Consultation Declaration, a local authority, together with key partners, can move forward on the most exciting phase: developing activities that have an actual impact on the lives of the urban poor in the community.

The first critical step at this stage is negotiating and agreeing the action plans. This will translate the strategies into concrete realities and includes both collective and individual responsibilities for actual implementation. In order to achieve this, an MDG multi-stakeholder working group, or Task Team, should be institutionalized into the local authority as the body that works to build the MDG framework around all activities in a participatory way.

This group will retain some of the key players from the baseline and MDG profile preparation and the City Consultation. Working groups from the City Consultation should take part. However, the MDG Action Team should be a more permanent group, institutionalized within the local authority and drawing on people from various sectors. Although the team should not be too large, it should include the following people where possible:

- Executive leadership of the municipality;
- All department heads/directors (finance, planning, education, community development, environment, legal, social services, etc.);
- The Mayor and other committed councilors;
- A selection of community representatives and other interested local stakeholders (e.g., resident associations, church groups, community based organisation, slum dweller associations, women's CBOs, local chamber of commerce and local NGOs).

The group should be chaired by the Chief Executive Officer. Team members will have decision-making powers to shape the outcome of the MDG framework and will make recommendations to the full elected council. It may be a more appropriate model, depending on the size of municipality and extent of participant local stakeholders, to have a core team of municipal leaders and an extended team with more diverse representation. However it is constituted, it is important that the Task Team remain small enough to work efficiently.

## Action Planning

The first responsibility of the MDG Action Team will be to negotiate and agree to plans of action within the framework of the Millennium Development Goals and the local MDG profile, based on the results of the City Consultation. This will involve identifying tasks and working with others to commit specific resources at specific times to realize specific outputs.

This is not an easy task. Action planning is an important tool to link planning to implementation in which people and groups are required to provide concrete resources to concrete tasks. First, an action plan should elaborate in detail the agreed course of action; second, it should clearly state the commitments of partners and stakeholders.

Action plans should be very specific, focusing on an area of common concern as well as a specific geographic area. Within that framework, it should be clear who will do what, how they will do it and when it will take place. Monitoring to measure the action plan results and outputs is critical and is discussed in detail in the next chapter.

## A good action plan:

- **is clear and time specific for all actions;**
- **indicates financial and other resource implications;**
- **is detailed for each organization or group involved;**
- **is genuinely agreed by all actors;**
- **is tied to a specific coordinating and monitoring mechanism.**

## Localizing the MDGs: The Naga City Framework

In Naga City, the Philippines, the core philosophy of "Growth with Equity" is underpinned by a model of good governance. City leaders believe that as important as the MDGs is the empowering process that goes with them. Poverty, after all, is not merely the lack of income or low survival rates, but also the disempowerment of the individual. Naga City's efforts in localizing the MDGs include: (a) translating the targets and indicators through the Naga City People's Council; (b) setting baselines; (c) reorienting the reporting system to match the MDG indicators, and (d) monitoring and evaluating the MDGs on a sampling basis, with full surveys during election years to serve as benchmarks for the new administration.

Naga efforts to attain the MDGs can be best illustrated by the "Partners in Development" Program, which is a social amelioration program designed to empower squatters and slum dwellers, who comprise some 25% of the population in the city's 21 urban villages. The Program has now evolved into what is considered the Philippines' best urban poor program. Since its inception, it has disposed of 33 hectares of private and government-owned land to a total of 2,017 urban poor families. It has upgraded 27 urban poor communities, hosting around 2,700 families and has secured, as part of its land banking strategy, 25.4 hectares for future local government housing projects. More importantly, it has 1) institutionalized a functional tripartite mechanism for permanently settling land tenure problems; 2) elevated living conditions of the urban poor through on-site area upgrading projects for urban poor communities; 3) established intra-city relocation sites for victims in extreme cases involving eviction and demolition, and 4) provided the relocated residents with livelihood opportunities by introducing a livelihood component to the program.[13]

### What can Local Governments do to localise the MDGs?

By starting with Targets 10 and 11, which propose, respectively, to halve the proportion of people without sustainable access to safe drinking water and basic sanitation by 2015 and to have achieved a significant improvement in the lives of at least 100 million slum dwellers by 2020, local governments will be making a significant impact towards achieving the MDGs overall. These targets are linked to the primary goal of poverty reduction and specifically address the issues of urban poverty. By improving the lives of slum dwellers, governments are also combating HIV, improving environmental sustainability and addressing gender inequality (and all the MDGs) in the most efficient manner.

*Goal 1: Eradicate extreme poverty and hunger by 2015:*

Increasingly, the greatest percentage of people living in extreme poverty and hunger can be found in the densely-packed slums in the cities of low and middle income countries. This urbanization of poverty is vividly manifested in the slums and squatter settlements. It is estimated that one billion people live in poverty and hunger under life-threatening circumstances – lacking access to adequate drinking water and sanitation facilities, sufficient living space, dwellings of appropriate durability and structural quality and security of tenure.

Addressing poverty and hunger requires a multi-dimensional approach and will in fact involve many of the other MDG targets. Local governments can enable improved livelihoods by promoting local

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13   Source: Localizing the MDGs: The Naga City Framework paper presented by Mayor Jesse M. Robredo at the WUF
     in Barcelona on 17 Sept., 2004.

economic development. This requires support for new investments and improved infrastructure and opening-up income-generating opportunities for the poor, by not being overly regulatory, and by providing markets in locations that are suitable and acceptable for the poor to use. Local government can also support and promote urban agriculture initiatives as well as rural ones and can work to ensure that children and those at risk are able to get adequate nutrition. They can provide decent shelter for the urban poor both to live in and work in. By enlisting the community in partnerships to reach these decisions, much can be done to devise enabling measures such as community facilities and other infrastructure designed to promote local economic development and poverty eradication.

### *Goal 2: Achieve universal primary education by 2015*

All-around benefits accrue from education, and primary education provides a basis of learning for all children. With this basis, children can go on to further education and will also be able to learn throughout life, including gaining knowledge about good health, better family planning, reduced risk behaviour for HIV/AIDS and other contagious illnesses, reduced criminality and enhanced later earning potential and employment. Sadly, more than 100 million children- translating into one in five- in the developing world still do not get primary education. It is worth noting that school enrollment does not equal school retention, continued learning or completion rates.

Local governments are already actively involved in providing primary education. They need to seek ways to make it easier for children to enroll in school, to attend and to complete schooling, by learning about what the local constraints are that impede this process. Local governments should build partnerships with NGOs and the private sector to draw local support and make use of comparative advantages to maximize the resources and expertise available for education. Local governments should also enable continued after-school learning and the completion of homework by ensuring that households have access to electricity and lighting, energy for cooking and nutrition that also helps keep children in school.

### *Goal 3: Promote gender equality and empowerment of women*

Local governments need to take steps to ensure that girls are enrolled in school at all levels and that girls and women have a level of literacy equal to that of their male counterparts. Women should be legally enabled to own property and should be supported in participating in local government and national government. Local authorities can identify local needs by consulting with women's groups, supporting community-based women's groups and ensuring that women are represented in leadership and in the workforce. Local authorities also need to develop internal work-based policies and training for promoting gender awareness. Evaluating the impact on women and other vulnerable groups of municipal service delivery can be done by involving women in these evaluations.

Equally important is promoting gender issues at work, establishing work-based gender awareness training and work policies, making crèche facilities available for working mothers to be able to continue to earn and by devising flexible work schedules, so working women can attend to childcare responsibilities. Imbalances in work roles can be addressed by providing affirmative action, such as establishing quotas for women councilors, and gender promotion. Meanwhile, local governments can give visibility to women's groups, exercise leadership and advocate for gender issues at all levels and at all forums, to banish stigmas and to re-orient local norms and traditions toward improving the treatment of women.

Other gender issues to consider are violence against women; the provision of protective laws and safe houses for refuge, and the importance of working with local communities and women's groups to identify needs and to help with perceived support measures.

### *Goal 4: Reduce Child Mortality by two-thirds by 2015*

Infant and child mortality rates remain high in many developing countries, due to unclean water and diarrhea, low birth weight, malnutrition, HIV/AIDS, respiratory infections and generally poor health environments. Infant mortality, women's educational levels and public health expenditures for health and infrastructure are all related. Infant mortality is higher in slum areas and requires specific action from local authorities.

What can local governments do in pockets where infant mortality rates are high? They can coordinate outreach to ensure that all children, particularly those under five, receive adequate health care through inoculations, nutrition and support. Local governments can also establish social infrastructure facilities in slum locations to promote public health education and provide primary health care and referrals. Provision must be made to provide health care to those who need it and but who cannot afford it.

Local governments can ensure that, through developed social services and social/health centres, the public is aware of how to access services. Local governments need to identify areas of risk and vulnerability by consulting with mothers and ensuring that community primary health care issues are made widely known and addressed, through community outreach work. In urban areas, good private health care may be available to those that can afford it, while the urban poor may only turn to health care only in dire need, when it may be too late. Urban poor children are forced to survive in hazardous environmental conditions in slums prone to health hazards. In addition, because their family incomes are severely reduced, these children may be undernourished and vulnerable to sickness.

*Goal 5: Improve Maternal Health:*

Local authorities are in the front line in providing primary health care, which is critical in improving maternal health. Far too many women in developing countries die needlessly of complications during pregnancy and childbirth. This is an issue of health but also of human rights: with the right interventions, medicines and professional care, these deaths are preventable. Women need to remain healthy during pregnancy, which requires access to nutrition, water and sanitation, as well as access to information and health care. During childbirth, women need assistance from skilled healthcare practitioners with access to equipment and medicines.

Local authorities can make antenatal information available, and they can ensure that women also have access to enough food, water, sanitation and care to support them through pregnancy. It is important to work with communities to identify those women at risk and to provide them with the necessary support. Primary care facilities should be staffed and equipped to deal with childbirth and the complications that may arise before, during and after labor.

Local authorities can make antenatal information and classes widely available, promote good primary healthcare and support outreach work. They can work with women's groups and hospital services to devise response strategies based on the needs identified by women and by health care practitioners who are aware of the problems and issues around maternal health.

*Goal 6: Combat HIV/AIDS, Malaria and other diseases:*

By working at all levels with local partners to coordinate and promote information about prevention and healthy living with HIV/AIDS, local authorities can begin to combat the devastation wrought by the disease. Local authorities can confront discrimination through leadership, advocacy and by opening community discussions and forums to destigmatize HIV/AIDS. Authorities can work towards providing and supporting home-based care, adequate means of nutrition, as well as primary health education and the promotion and care of orphans. Voluntary Counseling and Testing Centres, work-based policies for HIV/AIDS and work with local HIV/AIDS community groups supporting ARV therapy are all means to halt the spread of the disease. Local authorities can also work with National AIDS Control Councils and AIDS bodies to ensure HIV/AIDS issues are addressed at all levels and included in education curriculums.

For malaria and other diseases, local authorities can ensure that public education addresses prevention and care by reinforcing and promoting information messages, as well as by making curatives widely available, particularly to those who cannot afford them.

*Goal 7: Ensure environmental sustainability:*

At the local level, environmental sustainability is centred around basic sanitation and access to safe drinking water, particularly for those living in urban slums, the rapid growth of which presents an added challenge in addressing these most basic needs. The number of people living in slums without access to sanitation facilities and clean water is shocking, and this privation affects all areas of their lives. This goal cuts to the heart of the MDGs from the perspective of local governments and requires serious attention and commitment of resources.

Local governments can work to ensure that all communities, especially slums, have water and sanitation. This may mean a new approach to slums developed outside the legal parameters of city planning. Environmental planning and management should be developed in tandem with local communities. Informal settlements need to be legitimized so they can be covered by these essential municipal services.

Adequate drainage, tree cover, preservation of green spaces, fuel consumption and carbon dioxide emissions can be addressed through public education programmes and improved environmental governance. Emphasis should be placed on the relationship between livelihoods and sustainability to ensure renewal of the environment. Local governments will need to establish adequate regulation and control by carrying out environmental impact assessments for all new development.

### Resources and Costing

In the process of action planning, resources and budgets are discussed and their allocation agreed to, traditionally with technical officers within the municipality. This is a critical step in preparing an MDG Action Plan and the importance of linking resources with priority targets cannot be stated strongly enough. Too often, MDG strategies and action plans are not fully incorporated into budgets, or framework budgets are prepared first, with MDG priorities and strategies agreed upon after.

Once the MDG Action Plan is prepared, it is important to estimate the costs of realizing each target and indicator – this includes capital costs and operating costs. The UN Millennium Project has developed guidelines and tools for the estimated costs of, for example, upgrading slums, at $372 per beneficiary in Sub-Saharan Africa and $582 in Southeast Asia[14]. Included are ways to develop cost estimates for housing and community facility construction, land purchases, relocation, the provision of infrastructure, planning, oversight and capacity building. The World Health Organization has outlined the baseline costs of a scaled-up functioning health system at $30 - $40 per capita.[15] The UN Millennium Project identifies similar benchmarks for other sectors. The UN MP Handbook is an excellent resource for developing appropriate budgets to match any local MDG Action Plan.[16]

Within the MDG Action Plan, the projected financial, infrastructural and resource requirements can be matched with government expenditure, local resource mobilization (household contributions, private-sector investment, etc.), increased aid and debt relief. Within the MDG Action Plan, certain areas should be prioritized, both for the long term (to 2015) and in the medium term ( three to five years).

Municipal revenues can be increased by improving the existing financial administration within a municipality through local taxation, updating records and simplified procedures. Communities themselves are a rich source of resources, including social capital and expertise. Fortunately, "spending" the capital within a social network serves to increase and enrich it, and not the other way around. Resources from within the community can include public-private partnerships, micro-credit and credit groups and partnerships with NGOs and CBOs.

An important source of funding for a city is the national government, and a local MDG Action Plan, linked to national priorities and mechanisms such as the PRSP, can make a strong case for the transfer of funds. This is true for other development partners as the MDG framework provides a common language and clear goals and measurements. In any case it is also critical to establish transparent public accountability mechanisms.

External fund sources can include national, regional and international initiatives to support Action Plan implementation. Gaps between the Action Plan's projected costs and resources available at the local level and in country can be covered through increased aid and debt relief. Using the MDG framework should be a benefit in accessing funds from these higher levels.

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14   Source: "Preparing National Strategies to Achieve the Millennium Development Goals: A Handbook", October 2005, The UN Millennium Project: www.unmillenniumproject.org
15   WHO Commission on Macroeconomics and Health 2001.
16   www.millenniumdevelopmentproject.org

## Participatory Budgeting

The participatory approach to localizing the MDGs calls for more participatory decision-making in terms of the budgets and resources, as well. Participatory Budgeting has been used in many municipalities to achieve this and is growing in popularity as its success in various cities around the world grows.

The scale of Participatory Budgeting can vary in terms of the level of participation, the form, the proportion of the budget and who is responsible for the final decisions, etc. Its common goals, however, are to decentralize public investments, institute a method for citizen participation in the financial decision-making process and create a culture of participation[17].

### Participatory Budgeting in Porto Allegre

Porto Allegre has been involved in Participatory Budgeting since 1989 and is truly a success story about the involvement of the population in decisions about public resource allocation. It was designed to decentralize public investment and refocus the city's priorities on its neediest communities. By creating a citizens' commission to take part in decision-making and to follow the work being undertaken, the Participatory Budgeting process is an efficient mechanism for supervision, making the process transparent and concentrated on community priorities. More than 600 groups, including NGOs, unions, community associations and clubs, research institutions and others, have been involved. The Porto Allegre City Hall has staff exclusively dedicated to the task of coordinating the process of community participation and the technical elaboration of the budget. The process has contributed to "cleaning up" the City Hall financial process and has allowed a fairer distribution of urban infrastructure and public services. It has in fact transformed itself into a framework that guides all public policy in the city.[18]

### Demonstration Projects

Once key areas for action have been determined and resources made available, a possible next step is the design and implementation of demonstration projects. These are small-scale and meant to "demonstrate" a new approach. They can be developed and implemented rapidly and provide both an opportunity to test new ideas developed by the MDG Action Team and the City Consultation, as well as show visible results to the community.

Demonstration projects are deliberately small in scale and limited in scope, so that planning, financial and implementation are easier and the results and lessons can be gathered quickly. These projects should be monitored constantly, so that the lessons can be captured and replication and scaling-up can build on this foundation of understanding.

Through-out this process of action planning and Participatory Budgeting, the MDG Action Team will continuously report activities and MDG recommendations to the elected Council and keep them informed, involved and updated. This will involve the development of a communication plan to advocate and raise awareness of the broad MDGs as well as the city-specific plans and actions to make them real on the local level. They will also coordinate the structure and operation of the MDG framework to orient municipal operations around MDGs.

On-going activities of the team will also include continuously assessing progress, looking for obstacles, assessing effectiveness and supporting key partners. It is important to also relate the local MDG framework with larger initiatives such as the National initiatives PRSP and National Development plans and meet with other municipalities/government departments/development partners to provide or obtain guidance and advice on localising the MDGs.

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17  See 72 Frequently-Asked Questions about Participatory Budgeting, Urban Governance Toolkit Series, UN-HABITAT, 2004

18  Source: pg 71, "Tools to Support Participatory Urban Decision Making", Urban Governance Toolkit Series, UN-HABITAT, 2002.

*Goal 3: Promote Gender Equity and Empower Women*

During the city consultation process in Quetzaltenango, Guatemala, technical back-up was provided to local partners to help define the Action Plan, which would benefit and facilitate the inclusion of rural women traditionally excluded from decision-making at the city level. A key outcome was the creation of a municipal secretariat for women. The role of the secretariat is to promote both women's perspectives in the development process and inclusive processes to ensure that women's concerns and interests are integrated into municipal planning and management.[19]

In the Philippines, there have been great efforts to popularize and achieve the MDGs, and 14 cities have been selected to localize the MDGs through the local government units. The Philippines' "MDG Localization Toolkit" has 10 steps with clear outputs and timelines to guide municipal authorities through the process of localizing the MDGs and making them part of how the city functions. This way, the MDG framework is patently institutionalized in the city's legislative and budgetary processes. The first eight steps can be completed in less than six months.

| Philippines MDG Localization Toolkit | |
|---|---|
| STEPS | OUTPUTS |
| 1: Getting the Political Mandate | Executive Order designating the MDG focal person, the TWG members and the Secretariat (2 days); A Resolution mandating the integration of the MDGs in the city development programme and giving them priority in the allocation of the city's budgetary resources (3 weeks) |
| 2: Drafting targets and indicators | Working draft of local targets and indicators with matching programmes (10 days) |
| 3. Validating with beneficiary groups | Beneficiary-validated targets and indicators and suggested priority programmes of action (1 month) |
| 4: Formulating barangay MDGs | Barangay validated annual targets and indicators with corresponding PPAs; Barangay MDGs (1 month) |
| 5: Crafting the city MDGs | Consolidated city MDG and MDG programme matrix (2 weeks) |
| 6: Adopting the city MDGs by the City Development Council | CDC resolution adopting the city MDGs and the MDG programme matrix and endorsing the same to the sangguniang panlungsod for approval. (1 week) |
| 7: Legislating the city MDGs | Ordinance adopting the city MDG (1 to 3 weeks) |
| 8: Disseminating the city MDGs | Informed MDG actors, stakeholders, civil society and private sector partners through press releases and media events (1 week) |
| 9: Financing the MDGs | Annual programme and proposed budget of the departments and offices reflecting the MDG programmes and targets. Barangay annual budget with funding for their respective barangay MDG programmes (on-going; June to December every year) |
| 10: Monitoring implementation | Periodic monitoring reports with recommendations; citizens scorecards (year-round) |

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19    "Participation to Partnership: Lessons from UMP City Consultations" 2001, pg 35.

## FORMAT 3A: IMPLEMENTING A LOCAL MDG RESPONSE STRATEGY

Use the information from Format 2A to further develop the local MDG framework. This Format should elaborate on the MDG Action Plan and provide information on costing, funding sources, and responsible stakeholders.

| Local Targets | Local Indicators | Agreed MDG Action Plan | Costing Estimate | Source of funds (council budget, national level, community, private sector) | Programme / Stakeholders Responsible for implementation |
|---|---|---|---|---|---|
| For example Target 10: Halve, by 2015 the proportion of people without sustainable access to safe drinking water. | 1. Proportion of population with access to safe water | | | | |
| | 2. Proportion of population with access to improved sanitation | | | | |
| | 3. Price of water | | | | |
| For example Target 11: Have achieved by 2020 a significant improvement in the lives of at least 100 million slum dwellers. | 1. Proportion of people with secure tenure | | | | |
| | 2. Durable structures | | | | |
| | 3. Overcrowding | | | | |

**FORMAT 3B: LOCAL FRAMEWORK OF THE ACTION**

The "Logical Framework" approach is a tool that can be used in undertaking action planning.

### LOGICAL FRAMEWORK OF THE ACTION

| | Intervention logic | Objectively verifiable indicators of achievement | Sources and means of verification | Assumptions |
|---|---|---|---|---|
| **Overall objectives** | What are the overall broader objectives to which the action will contribute? | What are the key indicators related to the overall objectives? | What are the sources of information for these indicators? | |
| **Specific objective** | What specific objective is the action intended to achieve to contribute to the overall objectives? | Which indicators clearly show that the objective of the action has been achieved? | What are the sources of information that exist or can be collected? What are the methods required to get this information? | Which factors and conditions outside the Beneficiary's responsibility are necessary to achieve that objective? (external conditions) Which risks should be taken into consideration? |
| **Expected results** | The results are the outputs envisaged to achieve the specific objective. What are the expected results? (enumerate them) | What are the indicators to measure whether and to what extent the action achieves the expected results? | What are the sources of information for these indicators? | What external conditions must be met to obtain the expected results on schedule? |
| **Activities** | What are the key activities to be carried out and in what sequence in order to produce the expected results? (group the activities by result) | **Means:** What are the means required to implement these activities, e. g. personnel, equipment, training, studies, supplies, operational facilities, etc. | What are the sources of information about action progress? Costs What are the action costs? How are they classified? (breakdown in the Budget for the Action) | What pre-conditions are required before the action starts? What conditions outside the Beneficiary's direct control have to be met for the implementation of the planned activities? |

# PHASE 4: MONITORING AND EVALUATION[20]

This final chapter deals with the continuous monitoring and evaluation required once the process of institutionalizing the MDG framework and Action Plans is complete. This work will build on the earlier effort invested in preparing a baseline and MDG profile.

The baseline and MDG profile can be thought of as a snapshot of the current situation. The ongoing monitoring and management required now is more like a film that captures data, lessons learned and public opinion, and which provides feedback that can motivate and support adjustments and/or refinements in implementation, policy changes and public awareness.

The nine steps explained below are a guideline for the MDG Action Team for implementing a local performance monitoring and management system.[21] They focus on monitoring outcome and results – a key strength of the entire MDG process.

It is also important to measure the process, which involves measuring the quality of urban governance en route to achieving the outcomes and results. The UN-HABITAT Urban Governance Index (UGI), a tool of the UN-HABITAT Global Campaign on Urban Governance, focuses on the processes, institutions and relationships at the local level and is one of the only indices focused entirely on process. This can be very useful for monitoring as, when used with other indicators of outcome or output, measures both the means and the ends and gives a city a broader view of its governance. The UGI objectives are to support local action to improve the quality of urban governance and to demonstrate the important of good urban governance in achieving the MDGs and other broad development objectives.

The MDG Action Team will manage the development and functioning of the MDG monitoring and evaluation framework. Depending on the situation, a city can adopt some or all of them.

## Step 1: Determine the Scope of the Monitoring Effort

The MDG Action Team should identify and select the scope of programme coverage–preferably most, if not all–to be included in the performance measurement process. However, some local governments may prefer to initiate performance management on only some segments, such as water and sanitation provision to slum areas, or road rehabilitation in the transport sector. Or, performance could be measured for some of the projects; some of the locations that the programme serves; only part of the year; or only indicators that are new or that require substantial modifications to existing data collection procedures.

## Step 2: Establish a Core Working Group in Each Agency to Focus on the Performance Measurement Process

Core Working Groups are extremely helpful and are simply smaller (between 4 and 12 members, for example), focused groups devoted to specific areas or sectors of the MDG Action Plan. They should consist of the specific department head, members of that department, a representative from the financial department and a few other key representatives from groups affected by or that will benefit from the monitoring effort and action plan implementation. These core working groups inform the overall MDG Action Team.

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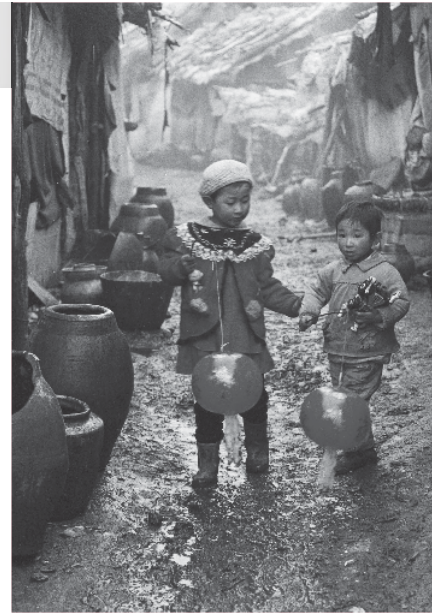
20  Source: Developing A Performance Management System For Local Governments: An Operational Guideline, UN-HABITAT/World Bank (expected publication in 2006),
21  For more information on the Urban Governance Index, visit http://www.unhabitat.org/campaigns/governance/activities_6.asp

### Step 3: Identify the Program's Goals, Objectives and Beneficiaries

For each action item in the MDG Action Plan, specify a goal and several objectives. The statement of goal and objectives identifies the outcomes and specific performance indicators that you will measure. Goals are typically general in nature, and specify the desired outcome and represent the ends the program wishes to attain. Objectives specify what is to be accomplished, for whom and by what date. A goal can be achieved through several objectives. Each objective can then be used to identify input, output, outcome and efficiency indicators. Outcome indicators define the results you hope to achieve. Outcome indicators should be stable over time and only their target should change from year to year.

Identify Categories of Beneficiaries. The goal and objectives help to identify the beneficiaries, but it is important to always consider who will benefit from the activities and who may be hurt by them. Bear in mind which demographic groups are particularly affected by the activities and goals (with a particular consideration for women), and whether the issue will be controversial and of major public interest.

### Step 4: Decide Which Outcomes to Measure

The MDG indicators are essentially "impact" indicators; to design policies and programmes that produce positive change in these indicators, local authorities need to have a good understanding of other types of indicators measuring "outcomes, outputs and inputs". The figure below illustrates this system of indicators using the theme of water.

| Impact | % of urban households with access to improved water supply |
|---|---|
| Outcome | % of piped water lost through leakage (supply)<br>Share of water expenditure in household budget (affordability) |
| Output | Infrastructure expenditure in water supply & delivery (supply)<br>Median price of water (affordability) |
| Input | Existence of a policy to ensure sustainability of water delivery system for all citizens, backed by resources and delivery plan |

In identifying which outcomes or results should be measured, look to a variety of sources, starting with the action plans and agreements that came out of the MDG City Consultation. These then need to be supplemented with all relevant legislation and regulations, community policy statements contained in budget documents, strategic plans, discussions with officials, legislators and their staff, meetings with customers (focus groups) and service providers, customer complaint information, etc..

As mentioned earlier, measuring the quality of urban governance while measuring outcomes can be very useful and positive, as it is possible to show results quickly. It is also important to ensure good governance for its own sake – and as a means to better implement local MDG Action Plans. An example of an indicator on equity within the UGI is as follows:

| Indicator 12: | Pro-poor pricing policies for water |
|---|---|
| Principle(s): | Equity |
| Definition: | Presence or absence of a pricing policy for water which takes into account the needs of the poor households, translated into lower rates for them compared to other groups and prices applied to business/industrial consumption. |
| Methodology: | The pro-poor policy can be evaluated in terms of its content and the actions undertaken through the policy. The following queries need to be addressed:<br><br>• Is there a pro-poor pricing policy for water? (Yes/No)<br>• Percentage households with access to water supply (within 200m)<br>• Median price of water (supplied by the local authority):<br> - Informal settlements (poor households) (Wi)<br> - Other residents (Wr)<br> - Difference in the median water price = Wr-Wi<br><br>• In the absence of data on water price the following information will be useful: Is the water price in informal settlements, same or cheaper than the other residential areas? (Yes/No)<br><br>Additional information:<br>• What is the water supply delivery mechanism?<br>• If yes, please explain the policy's key features (e.g. subsidy or cross-subsidy).<br><br>*Average price of water is the cost per hundred liters of water in US dollars, at the time of year when water is most expensive.* |

From there, it is possible to derive indicators to measure specific actions. Some examples are as follows:

**Sample Outcome Indicators**

| Drinking Water: | • Percentage of households with individual water connections, both metered and non-metered;<br>• Percentage of households who need to walk more than 100 meters to a water source;<br>• Percentage of water lost during transmission;<br>• Number of calls about interrupted service;<br>• Number of main breaks;<br>• Number of breaks, leaks, etc., per 100 miles of pipeline per year (by geographical area, by severity, and type of pipeline);<br><br>Percentage of breaks, leaks, and so forth, repaired within x hours of notification. |
|---|---|
| Solid-Waste Collection: | • Percentage of scheduled collections missed.<br>• Incidence of rodent sightings at selected locations in the city.<br>• Percentage of scheduled collections not completed on schedule.<br>• Percentage of streets rated acceptably clean.<br>• Percent of customers satisfied with the service.<br>• Number of customer complaints.<br>• Households covered under solid waste collection service as a percentage of total households. |

## Step 5: Select Performance Indicators

Not all outcomes are measurable, so it is necessary to translate each outcome into performance indicators that specify what will be measured. When selecting performance indicators, choose those that are relevant, important, available, easy to implement, valid, timely and easy to understand. They should not overlap with other indicators or interfere with confidentiality, nor should they be too costly to collect. The overriding criterion for the selection of performance indicators is that they should significantly contribute to the effectiveness and efficiency of implementing the MDG Action Plan and related programs.

| Illustrative Performance Indicators City of Bangalore, India | |
|---|---|
| **Water Supply** | **Health and Environment** |
| *Input*<br>Cost<br>Staff<br>Materials, equipment<br><br>*Output*<br>Average number of hours of water supply per day<br>Ratio of number of stand-posts in slums to total slum household<br>Daily consumption of water in litres per capita per day (LPCD)<br><br>*Outcome*<br>Percentage of water lost during distribution total water supply<br>Average citizen satisfaction rating with water quality<br>Percentage of households having safe or potable water source located within 200 meters of the dwelling<br><br>*Efficiency*<br>Cost of installing water harvesting equipment (per kilo litre)<br>Cost per metered household | *Input*<br>Cost<br>Staff<br>Materials, equipment<br><br>*Output*<br>Number of persons per hospital bed, including both government and private sector hospitals<br>Percentage distribution of waste water treated by method used<br>Percent of waste water treated and re-cycled for non-consumption purposes<br><br>*Outcome*<br>Noise pollution in decibels at selected locations<br>Percentage of population suffering from pollution-resultant respiratory diseases<br>Percentage of population suffering from pollution-resultant water-borne diseases<br>Pollution load per capita per day<br><br>*Efficiency*<br>Average cost, per kilolitre, of waste water treatment<br>Cost per person treated in hospitals by pollution-resultant diseases |

*Source: Adapted from "Bangalore City Indicators Programme." (December 2000). Government of Karnataka, Bangalore Metropolitan Region Development Authority*

Always keep in mind the potential use of the indicators data that will be collected. It should always inform and improve the implementation of the MDG Action Plan.

### Step 6: Identify data sources and collect the data (tools to collect performance indicators)

A major step is to identify data sources for each indicator and practical ways to collect the data. The main sources of data for performance indicators are administrative records, national statistical records, trained observer ratings, customer/citizen surveys and user surveys. Details on ways and means to do this are provided in Phase 1.

### Step 7: Compare Findings to the Baseline or MDG Profile

Once performance indicators for a particular time period are available, it is important to decide if the level of performance is good or bad. Compare the current data with the baseline MDG Profile developed as a first step in the process. This will show what progress has taken place; a more in-depth comparison will also result in a better understanding of the local picture. Compare the current performance to that of previous reporting periods. Compare different target groups (e.g. slum and non-slum). Set performance targets for each indicator at the beginning of the year and later report the actual values as compared to the targets. If possible, set targets for each reporting period during the year, as well as long-term targets—perhaps for the next five years.

Additional comparisons can be made by obtaining data from other governments or agencies or by examining the performance of similar organizational units in other local governments. Programmes periodically consider new, alternative methods of delivering services. Use performance indicators to assess the results of the new practices. For example, when new regulations, technologies, institutional staffing arrangements, policies, or providers (such as private contractors) are introduced, use performance data to track changes in results before and after introducing the new practice. This will provide useful insight about its effectiveness.

## Step 8: Reporting and Analysis

Analysis of performance information starts by choosing breakouts and making comparisons. The analysis should result in indicators showing that the programme has done better or worse than anticipated. It is important to try to explain why this has occurred. Sometimes the reasons for a performance shortfall or better-than-anticipated results will be fairly obvious; sometimes not.

Some suggestions on explanatory information are as follows:

- Provide explanatory information when comparisons show unexpected differences from the target or among operating units, categories of customers or other workload units;
- Examine responses from customer surveys where respondents explain their poor ratings of specific characteristics;
- Provide explanatory information from recent program evaluations;
- Consider both internal and external explanatory factors.
- Summarize and highlight important performance information so that readers can focus on these findings.

Discuss the findings with key stakeholders, starting with the core working groups and the Monitoring Working Group. Together, corrective measures can be suggested and evaluations undertaken around identified problems.

Make certain that the reporting process reaches all stakeholders. Different formats for reporting could be "actual outcomes versus targets", "comparisons across geographic locations", "outcomes by individual project or achievement level" and "breakouts of responses to a customer survey". Publish and disseminate the outcome reports. Making performance information public – for example publishing them in a newspaper – is a powerful measure to show concern for the opinions and satisfaction of citizens, demonstrate transparency, motivate staff and take major steps towards improving services. See page 22 for further information on performing a clear analysis of the results.

Comparing slum versus non-slum areas[22]



Figure 1: Percentage of births attended by skilled health personnel

Legend: Rural; Urban; One shelter deprivation; Non-slum; Three shelter deprivation; Two shelter deprivation
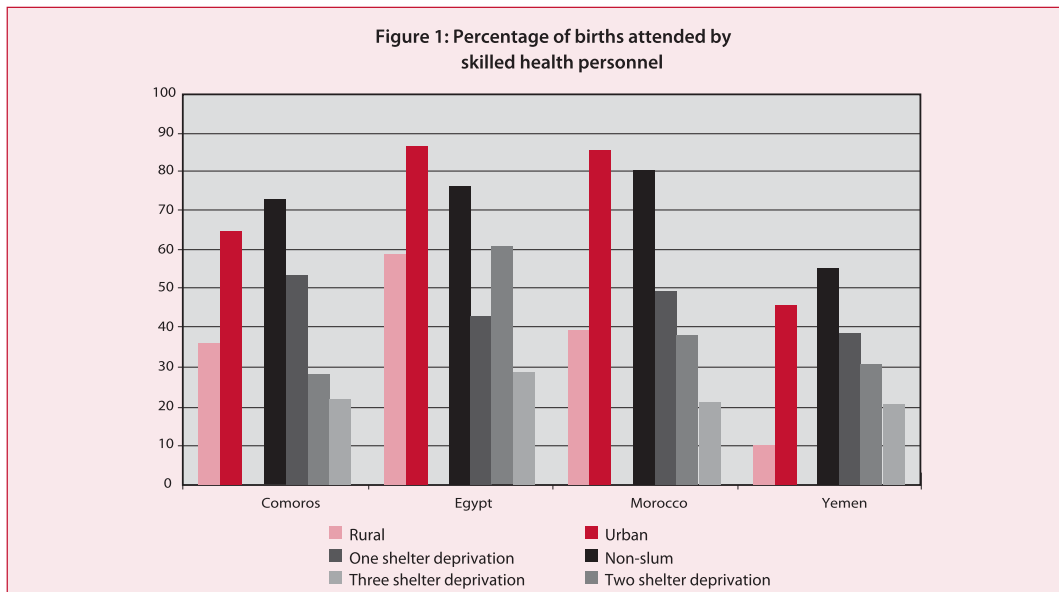
*Figure 1 compares health conditions between slum, non-slum and rural areas, in terms of percentage of births attended by skilled health personnel in Egypt, Morocco, Yemen and Comoros. The "shelter deprivations" indicate the severity of slums – with the most severe form of slums characterized as lacking three shelter deprivations[23]. While, on average, the situation is better in urban than in rural areas, it is evident that those living in slum areas are worse off than those in non-slum areas and that access to health personnel diminishes with increasing severity of slums.*

22   Source: GUO database.
23   Shelter deprivations include: lack of improved water, sanitation, sufficient living area and durability.

## Step 9: Use Performance Information to Improve the MDG Action Plan

The performance information indicates where there is still a problem in meeting the goals of the local MDG Action Plan and indeed in meeting the needs of the local community. To solve the problem, further action is needed. While this may sound obvious, applying the lessons and information to improving the actions often proves to be difficult.

The MDG Action Team now has the key task of incorporating into the MDG Action Plan the refinement or improvement of the activities and programme design. At the same time, managing and monitoring the performance in a city is an on-going activity, as is motivating local government staff, increasing accountability and improving service delivery.

Some examples of performance indicators in action are contained in the following example. Local governments may choose to use some or all of these:

**MDG Performance Management in Action:**
**Uses for Performance Indicators**

| Uses and Tools | Description |
|---|---|
| Use performance indicators in decision-making **Indicators in Budgets** | Using MDG performance indicators in budgets to improve decision-making and resource allocation can be done initially for one or more sectors. |
| Communicate with the public via independently published ratings of public services **Report cards** | Publish performance information to make both citizens and local governments aware of the impact of the MDG Action Plan and municipal services on its customers. |
| Evaluate the MDG action plans and programmes | Performance indicators can provide essential information about action plan and programme effectiveness for evaluation. |
| Compare performance data across jurisdictions **Comparisons across Governments** | Compare data by service sector across local governments. |
| Plan and prioritize service improvements Service Improvement Action Plans | Service Improvement Action Plans (SIAPs) are a pro-active sectoral approach through which a working group is constituted to develop a plan or prioritize *[?]* improvements, using indicators to identify and measure improvement targets. The SIAP is especially useful when just beginning to introduce performance management. |
| Integrate performance information into ongoing reviews of local services **How Are We Doing?** **The "Stat" process** | On a periodic or regular basis, performance data can be used to trigger in-depth examinations of why outcome problems exist, and why the program might be successful in some situations and not in others. The use of performance indicators must be integrated into the program in order to regular manage one or more service areas on a regular basis. |
| Use performance measures in contracts **Performance contracting** | Inclusion of outcome-based performance targets in contracts with the private sector for local government services. |
| Motivate local government staff **Employee motivation** | Indicators can be used both to orient employees to the city's principal MDG objectives (and to encourage them to be more responsive to citizens' needs) and in some cases to actually evaluate performance. |
| Identify training needs | Use performance information to identify needs for technical assistance and training for program personnel. |

*Note: Improving services is the overall purpose of performance information. The uses listed in the chart are more specific applications.*

## Using Citizen Report Cards in Bangalore, India

In 1993 and 1994, the Public Affairs Center, concerned about the deteriorating quality of public services, developed and implemented a citizen satisfaction survey that measured user perception on the quality, efficiency and adequacy of basic services extended by 12 municipal agencies. The results of the survey were translated into a quantitative measure of citizen satisfaction and presented in various media in the form of a 'report card.' The 1994 survey was followed up in 1999.

✓ Eight of the 12 agencies covered in the 1994 report card made attempts to respond to public dissatisfaction. The worst rated agency – the Bangalore Development Authority – reviewed its internal systems for service delivery, trained junior staff and began to co-host a forum for NGOs and public agencies to consult on solving high priority civic problems such as waste management.

✓ The report cards were also successful in generating political momentum for reform. Popular local and regional media carried regular stories on the report card findings. Citizens were also inspired to take initiative towards improving services and have subsequently engaged in the state-citizen Swabhimana partnership in Bangalore – a programme to arrive at sustainable solutions to longstanding urban problems. The Chief Minister of Karnataka has also established a Bangalore Agenda Task Force of prominent citizens to make recommendations as to how to improve the quality and delivery of basic services.

# FORMAT 4A: MONITORING AND EVALUATION

This Format help monitor the MDG Action Plan, with a particular focus on <u>outcomes</u> that can be used to measure progress in achieving the goals and objectives.

| Local Targets and Indicators | MDG Action Items agreed | Progress in achieving Action Items | Outcomes | Analysis and mid-course correction if necessary |
|---|---|---|---|---|
| | 1. | 1.<br>2.<br>3. | | |
| | 2. | 1.<br>2.<br>3. | | |
| | | | | |
| | | | | |
| | | | | |

## FORMAT 4B: MONITORING THE MDG INDICATORS

Use this format to keep track of the local results against the local indicators.

| Local MDG Indicators | Data Source | 2005 Actual | 2007 | 2009 | 2011 | 2015 Target |
|---|---|---|---|---|---|---|
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| Local MDG Indicators | Data Source | Slum | Non-slum | Women | Men | 2015 Target |
|---|---|---|---|---|---|---|
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# A FINAL WORD: PUTTING IT ALL TOGETHER

This guide has attempted to explain the importance for action at the local level to achieve the Millennium Development Goals. It is already possible to draw lessons from the work underway in many countries and cities. It is important to create awareness about the MDGs among local authorities, and particularly to stress that MDGs are an integral part of their mandate. Participation is key – local government must work actively with all stakeholders to identify priority goals from among the MDGs. Targets should be contextualized: they should reflect a way of life that is rooted in the local culture and traditions.

Benchmarking is mandatory in monitoring and assessment. Local authorities need to take the lead in preparing the baselines on MDG targets and benchmarking the city with other cities and national averages. Basic public investments should be scaled up through budgetary allocations in health, education and basic infrastructure. Critical investments need to be channelled to lagging areas, e.g. slums. It is essential to build capacity and strengthen management and delivery of services in policy areas for priority goals. Continuous monitoring and feedback mechanisms should be put in place that will ensure monitoring of MDG targets and provide feedback to city managers.

There will always be challenges involved in localizing the MDGs. It is not easy to improve equity in access to public services and in public expenditure, to align resources to strategic outcomes or to link nationally-defined strategic goals to sub-national planning and budgeting processes. Nor is it easy to undertake this while addressing significant gaps in capacity and available skills sets.

But countries have committed themselves to the Millennium Development Goals, and by doing so, they have committed to improving the lives of the urban poor. Local governments can and will make a major contribution to keeping that promise for 2015.

**The Habitat Agenda Indicators in the Millennium Development Goals Framework**

| Goals and Targets from the Millennium Declaration | MDG Indicators for monitoring progress (national level) | Habitat Agenda Indicators (Urban agglomeration level) |
|---|---|---|
| **Goal 1:** Eradicate extreme poverty and hunger | | |
| **Target 1:** Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day | 1. Proportion of population below $1 (PPP) per day<br>2. Poverty gap ratio [incidence x depth of poverty]<br>3. Share of poorest quintile in national consumption | indicator 9: poor households |
| **Target 2:** Halve, between 1990 and 2015, the proportion of people who suffer from hunger | 4. Prevalence of underweight children under-five years of age<br>5. Proportion of population below minimum level of dietary energy consumption | |
| **Goal 2:** Achieve universal primary education | | |
| **Target 3:** Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling | 6. Net enrolment ratio in primary education<br>7. Proportion of pupils starting grade 1 who reach grade 5<br>8. Literacy rate of 15-24 year-olds | indicator 10: literacy rates, 15 years and above<br>extensive indicator 6: school enrollment rates |
| **Goal 3:** Promote gender equality and empower women | | |
| **Target 4:** Eliminate gender disparity in primary and secondary education preferably by 2005 and to all levels of education no later than 2015 | 9. Ratios of girls to boys in primary, secondary and tertiary education<br>10. Ratio of literate females to males of 15-24 year-olds<br>11. Share of women in wage employment in the non-agricultural sector<br>12. Proportion of seats held by women in national parliament | extensive indicator 7: women councillors |
| **Goal 4:** Reduce child mortality | | |
| **Target 5:** Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate | 13. Under-five mortality rate<br>14. Infant mortality rate<br>15. Proportion of 1 year-old children immunized against measles | indicator 7: under-five mortality |
| **Goal 5:** Improve maternal health | | |
| **Target 6:** Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio | 16. Maternal mortality ratio<br>17. Proportion of births attended by skilled health personnel | |
| **Goal 6:** Combat HIV/AIDS, malaria and other diseases | | |

| Target/Goal | Indicators | |
|---|---|---|
| Target 7: Have halted by 2015 and begun to reverse the spread of HIV/AIDS | 18. HIV prevalence among 15-24 year old pregnant women<br>19. Condom use rate of the contraceptive prevalence rate<br>20. Number of children orphaned by HIV/AIDS | extensive indicator 5: HIV prevalence, 15-24 years old women |
| Target 8: Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases | 21. Prevalence and death rates associated with malaria<br>22. Proportion of population in malaria risk areas using effective malaria prevention and treatment measures<br>23. Prevalence and death rates associated with tuberculosis<br>24. Proportion of tuberculosis cases detected and cured under directly observed treatment short course (DOTS) | |
| Goal 7: Ensure environmental sustainability | | |
| Target 9: Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources | 25. Proportion of land area covered by forest<br>26. Ratio of area protected to maintain biological diversity to surface area<br>27. Energy use (kg oil equivalent) per $1 GDP (PPP)<br>28. Carbon dioxide emissions (per capita) and consumption of ozone-depleting CFCs (ODP tons)<br>29. Proportion of population using solid fuels | indicator 11: urban population growth<br>indicator 12: planned settlements<br>indicator 14: wastewater treated |
| Target 10: Halve, by 2015, the proportion of people without sustainable access to safe drinking water | 30. Proportion of population with sustainable access to an improved water source, urban and rural | indicator 4: access to safe water<br>indicator 13: price of water |
| Target 11 By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers | 31. Proportion of urban population with access to improved sanitation<br>32. Proportion of households with secure tenure | indicator 1: durable structures<br>indicator 2: overcrowding<br>indicator 3: secure tenure<br>indicator 5: access to improved sanitation<br>indicator 6: connection to services<br>check-list 2: housing finance<br>indicator 8: homicides<br>Indicator 16: travel time<br>indicator 20: local government revenue |