World Urban Campaign Secretariat

Fifth Steering Committee Meeting of the World Urban Campaign

Shanghai, 8-10 October 2010

Outcome Report

A. Executive Summary

The Fifth Steering Committee Meeting of the World Urban Campaign was held in Shanghai, China, 8-10 October 2010, during the UN-Habitat week at the World Expo 2010.The meeting was hosted- by the China Real Estate Chamber of Commerce and held at the Eton Hotel, Shanghai. The meeting was attended by 50 participants, representing a comprehensive range of UN-HABITAT Partners (see Draft Agenda, Annex A; and list of participants, Annex B).

This meeting marked an important transition. The Campaign graduated from a coalition of willing partners to a more institutionalised form. This includes an executive committee with elected co-chairs and representatives of major partner groups that will guide the decision making process and further strengthen cooperation between and amongst partners.

This transition brings with it unavoidable rules, procedures and other mechanisms to ensure legitimacy and transparency. It represents, nonetheless, a major opportunity to strengthen the role and contribution of partners in the work of UN-Habitat and thus to better inform its norm setting governing body – the Governing Council of UN-Habitat.

While the core business of the Steering Committee remains advocacy, as underscored by the decisions and recommendations contained in this report, one of the most encouraging and exciting aspects of the Campaign is that its partners are forging new avenues of collaboration amongst themselves. They are sharing their knowledge and expertise; they are also exploring new synergies and opportunities for doing business. This is, without a doubt, one of the most desired outcomes possible and one that merits being highlighted, however simply and succinctly, as it gives tangible expression to one of the desired outcomes of the Campaign, namely to promote the importance accorded to sustainable urban development in public policy and in public and private investment.

The meeting was opened by Mr. Nicholas You, the chairman of the Steering Committee since its establishment, who welcomed the participants and introduced the new coordinator of the World Urban Campaign, Ms. Axumite Gebre-Egziabher, Director of UN-Habitat's Global Division. She

expressed her appreciation for the warm welcome and congratulated Mr. Nicholas You and the partners for their good work done so far in promoting the Campaign.

The new coordinator informed that in the days preceding the Steering Committee meeting, the following Campaign related initiatives were organized in Shanghai:

- The *Expert Group Meeting on the 100 Cities Summit* held on 5-6 October 2010.
- The *Join the World Urban Campaign event*, held at the United Nations Pavilion on October 7, 2010.
- The *World Urban Campaign and CISCO Systems event*, held at the CISCO Pavilion on October 8, 2010.

The coordinator also requested the Steering Committee to consider a more specific inclusion of a reporting clause by partners in the Memorandum of Understanding (MoU). While a small amendment will be made for those that have already been signed, the clause will be inserted in all new MoUs.

Five new international partners signed a MoU with UN-HABITAT, namely the Commonwealth Association of Planners, GDF-SUEZ, the Penn Institute of Urban Research of the University of Pennsylvania, the World Business Council for Sustainable Development and the Green World Cities Organization.

In plenary sessions the two-day meeting received progress reports from the Secretariat on campaign activities since the last meeting, including a briefing on the outcome of the expert group meeting held two days earlier. Reports were also given by the partners on initiatives they had taken since the last meeting in Alicante, Spain. The meeting also elected office holders, including the Chair and Co-Chair, as well as members of the Standing Committee., and it also agreed on a framework for World Urban Campaign work plan for 2011.

The Steering Committee then constituted several Working Group to discuss in detail the following issues whose outcome is elaborated below:

1. Resource mobilization strategy;
2. Monitoring and evaluation;
3. Communications and outreach strategy;
4. The 100 Cities Summit;
5. Catalogue of tools and methods;
6. Global observatory of good policies and enabling legislation.

The Mexican Vice-Minister for Housing, Ms. Sara Topelsson attended the meeting briefly to express the commitment of the Government of Mexico to the World Urban Campaign. The U.S. Department of Housing and Urban Development (HUD) also attended the meeting to express the commitment of the U.S. Government to the Campaign and to present the outcomes of the work that they are doing on “Global Sustainable Urbanization Development Indicators” in collaboration with The Penn Institute of Urban Research of the University of Pennsylvania, the Ford Foundation, the American Planning Association, and the Joslyn Castle Institute for Sustainable Communities amongst others.

B. World Urban Campaign Progress Report

The World Urban Campaign Secretariat presented the progress report to the Steering Committee, which includes a description of progress on the follow-up of past decisions made by the Steering Committee (see progress report, Annex C).

The Secretariat explained that the World Urban Campaign Secretariat has been formally established in UN-HABITAT, as an interdivisional Secretariat, based in the Global Division. An internal UN-HABITAT World Urban Campaign Task force has also been established in order to advise and support the WUC Secretariat. The Secretariat also explained that the logo of the World Urban Campaign should always appear together with UN-HABITAT logo, as UN-HABITAT is the coordinator of the Campaign.

The Secretariat informed that UN-HABITAT's legal office was consulted on the Steering Committee's Terms of Reference (ToR). Those were adopted at the Fourth Steering Committee meeting in Alicante, Spain, and are coming into effect at this 5th session of the Steering Committee. The ToR will require some adjustments to better reflect the need for reporting. For the same reason, the Memorandum of Understanding that have been signed by the Partners so far also require an amendment UN-HABITAT has to report to its governing bodies and would like to ensure a strong reporting process to ensure accountability and transparency.

The Secretariat informed that UN-HABITAT will develop of Rules of procedures for the Campaign, in particular for the election of the Chair, Co-Chair and Standing Committee of the Steering Committee; and for the establishment of the sub-committees. The proposal will be based on the experience of other UN-HABITAT Committees (i.e., World Urban Forum) and will be presented at the next Steering Committee Meeting for approval.

C. Partners Progress Report

Some partners presented to the Steering Committee the work that they are doing to mainstream sustainable urban development within their constituencies. The U.S. Department of Housing and Urban Development (HUD) presented the outcomes of the work that they are doing on Global Sustainable Urbanization Development Indicators. The Penn Institute of Urban Research of the University of Pennsylvania, the Ford Foundation, the American Planning Association, and the Joslyn Castle Institute for Sustainable Communities have also contributed to this initiative on benchmarking for sustainability. After the 2010 World Urban Forum the U.S. Government has created a working group to develop indicators that demonstrate the progress that American cities are making toward sustainable urban development and inform supportive policy, planning and investment. This exercise should provide a strong foundation to define a comparable track of indicators to measure and monitor urban sustainability. The indicators should be evidence-based around the three dimensions of sustainability: social wellbeing, economic opportunity and environmental quality. A good understanding of benchmarking methodologies is needed in order to track the success of investments done in terms of sustainability. HUD proposed to the Steering Committee to contribute to its work with parallel initiatives.

The Commonwealth Association of Planners is implementing a similar initiative in the Commonwealth and expressed its interest in working with the U.S. Government. UNISDR is working on resilient indicators in the context of a check list format and offered to contribute to this initiative. UN-HABITAT urban indicators will also be taken into due account. This collaboration is

very important as one of the objectives of the World Urban Campaign is to map who is doing what and where, to create synergies, to build on what has been done so far.

Citistates Group presented their work with Citiscope, aimed at increasing the awareness of the global media on the World Urban Campaign. Through a network of independent journalists they are telling stories about cities that are focusing on innovation. Ford Foundation is supporting Citiscope through a grant.

D. Outcomes of the Expert Group Meeting on the 100 Cities Summit

The 100 Cities Summit will take place in Alicante, Spain, in April 2011. The Summit should not be a conventional meeting but a learning experience to build collaboration and action. It should enhance self learning through the process of sharing and exchanging. Its goals should be:

- Participating cities to exchange experiences
- Move the 100 Cities initiative to a new phase
- Create collaborative research practice
- Identify partners working on sustainable urbanization.

The summit will be designed based on the *Paris Principles* and on the following guiding principles:

- Learning
- Collaboration
- Follow-up actions

Instead of focusing on the event, we should focus on the process of enhancing learning and exchanges of experience, to enhance actions. The event should be interactive. The methods should be matched with the desired outcomes. It was suggested to take into consideration the governing council dialogue model, whereby different panelists give short presentations.

The Secretariat and the 100 Cities Working Group will identify the activities and tasks that the partners can undertake to contribute to the organization of the event. The partners, for instance, should provide inputs on which cities should come to the summit and why.

Based on the report, a concept note should be developed for the Summit, where it is clearly explained the added value of the Summit for the participating cities. To this end, we need to understand the expectations of the cities. We should also prepare guidelines for the cities to help them on how to contribute to the learning event. We have to clearly explain to the cities what they have to expect from the Summit, to motivate them to come.

E. Election of Chair and Co-Chair of the World Urban Campaign Steering Committee

The Steering Committee of the World Urban Campaign is the governing body of the Campaign with its permanent Secretariat and Coordinator based within UN-HABITAT. It is the catalyzing, action-planning and monitoring organ of the Campaign and seeks to guide on substantive and operational matters and to serve as an advisory body to the Executive Director of UN-HABITAT.

The Secretariat informed the Steering Committee that United Cities and Local Governments (UCLG) and Metropolis sent a joint letter to propose UCLG as a candidate for the post of Chair or Co-Chair of the Steering Committee with Metropolis as the alternate, as well as to be part of the Standing Committee. The candidatures of Nicholas You as Chair of the Steering Committee were proposed. Professor Eugenie Birch (Co-Director Penn IUR, University of Pennsylvania) was also presented for the post of Co-Chair of the Steering Committee. After a vote by acclamation, Nicholas You was elected as the Chair and Professor Eugene Birch as the Co-Chair of the Steering Committee. Due to the important role played by local authorities in the Campaign, partners discussed the possibility to elect UCLG as another Co-Chair of the Steering Committee. However, as UCLG was not represented at the meeting it was agreed that the final decision on the Vice Co-Chair should be further discussed and decided at the next Steering Committee meeting.

F. Election of the Standing Committee of the World Urban Campaign Steering Committee

The Standing Committee of the Steering Committee comprises 9 partners and strives to represent the broadest possible cross section of the Steering Committee. In addition, the Standing Committee has to ensure a gender balanced and regional balanced representation.

UN-HABITAT serves as an *ex officio* member of the Standing Committee.

The members of the Standing Committee were nominated, as follows:

- The representation of National Governments is under consultation;
- *United Cities and Local Governments* to represent the Local Governments;
- *Habitat for Humanity* to represent NGOs/CBOs;
- *World Business Council for Sustainable Development* to represent the Private Sector;
- *Huairou Commission* to represent Women Groups;
- *Building and Woodworkers International* to represent Trade Unions;
- *Habitat Professional Forum* to represent Professionals;
- *Joslyn Castle Institute for Sustainable Communities* to represent the Academia;
- *Global Parlamentarians on Habitat* to represent Parliamentarians.

UN-HABITAT shall ensure that youth groups are represented within the Standing Committee by nominating a youth group representative in consultation with UN-HABITAT Partners and Youth Section.

G. Working Groups

Six temporary working groups were constituted to address the following substantive issues relating to the World Urban Campaign in the coming months (see list of working groups' participants, Annex D):

1. Resource mobilization strategy;

2. Monitoring and evaluation;
3. Communications and outreach strategy;
4. The 100 Cities Summit;
5. Catalogue of tools and methods;
6. Global observatory of good policies and enabling legislation.

The partners have to formally confirm their participation to the various working groups. The working groups' members should be informed in advance about what they are expected to work on during the meeting and a concept paper should be prepared and distributed in advance. Each working group has to nominate a chair and the ToR should be developed to make sure that the work will be done. The chairs of the working groups will serve as chair until the working group accomplish the ToR assigned.

Once the Rules of procedures for the Campaign will be ready and approved, the temporary working groups will be formally constituted in sub-committees. Specific terms of reference will be prepared by the WUC Secretariat for the sub-committees and each of them will have a Chair and a Co-Chair.

At the Meeting, due to time constrictions, the six working groups mentioned above were combined into three working groups as follows (see list of working groups' participants at the SCM, Annex E):

1. Resource mobilization strategy, monitoring and evaluation, communications and outreach strategy;
2. Benchmarking tools and methods;
3. Global observatory of good policies and enabling legislation.

GROUP 1: RESOURCE MOBILIZATION STRATEGY, OUTREACH AND COMMUNICATIONS STRATEGY, MONITORING AND EVALUATION

Due to the specific tasks that were to perform, the group discussed the assigned topics separately:

a. Resource mobilization strategy

UN-HABITAT should lead resource mobilization efforts and should develop the resource mobilization strategy. To this end it is important to have a clear target of where the campaign is moving to.

It is necessary to mobilize external resources in support of the Campaign, for both direct (i.e., the WUC secretariat) and variable costs (i.e., promotional material, webpage, travel costs of partners coming from the South, and other expenses directly related to specific activities).

The partners' events should be used to promote the Campaign.

The WUC Secretariat should prepare a resource mobilization strategy for the Campaign that should include:

- Specific WUC Programmes (communications, monitoring, etc)

- Calendar

- Estimated Budget (per specific programme, and per activities within each programme).

The strategy should be circulated amongst Partners by December 2010, and approaved by February 2011.

Each specific WUC programmes should be considered as an independent element with its own calendar, budget and resources. Each activity could have different sponsors and the resources could be in kind or in cash. Resources must be operated/managed through the Secretariat by a vehicle that assures its efficiency and transparency in their use/application.

The partners can contribute through their activities (in-kind contribution). If partners approach other foundations to fund their activities, 15% overhead should be used for the Campaign. It was suggested that partners should pay a registration fee.

b. Communications strategy:

The starting point of the discussion was the "Framework of the World Urban Campaign Communications Strategy" which was prepared by the Secretariat for the Shanghai meeting as basis for the strategy (see Annex F).

The document was adopted by the group. However, the paragraph on target audience and messages should be rephrased in order to emphasize that the Campaign needs a diversity of messages due to the variety of partners.

Each WUC partner should select and provide a communication "point person", with responsibility for making sure that information, knowledge, and experience within the organization is sent on a regular basis to the WUC Secretariat, so that it can be shared among colleagues.

The Communications strategy has to estimate the costs of the following main lines of budget:

- Media (instruments and forms of communication, alternative platforms-NING and SWIFT-, and cloud computing type interaction

- Cost for content generation and production.

- Monitoring and evaluation of the process.

Immediate actions were recommended as follows:

- Organize a group of creative individuals selected from the present staff of members/partners interested in the WUC Communications strategy. It is necessary to broad the collaboration.

- Cleverly use the in-house available resources of members/partners

- Include the World Urban Campaign logo in partners' websites and the partners' logo in the Campaign website.

As part of the communications strategy, it is important to identify actions that are achievable, success stories, and results to tell quickly.

Resources do not have to be considered a limit. It is important to recognize also the in-kind contribution of the partners in the campaign (this has to be acknowledged and reported as part of the resource mobilization).

It was suggested to change the title from *Communications Strategy* to *Knowledge management & Networking Strategy*, in order to shift the focus of the Campaign to knowledge networking.

The Campaign should provide a platform to drive not only the dissemination of key messages, but to make the effort more interactive, by engaging with partners involved in the Campaign not directly but through the Campaign existing partners. It is important to leverage the communities and the networks that the partners may have.

The communications strategy will be prepared by December 2010. The period considered for both the resource mobilization and the communications strategy is 2011-2013.

c. Monitoring and evaluation

A matrix for monitoring and evaluating the Campaign was suggested as follows:

- Monitor and evaluate results-what?
- Monitor the process-how?
- Monitor the impact-so what?

For each goal of the Campaign (i.e., unite, enable, measure, and connect) we should define quantitative and qualitative indicators that should be measurable for short, middle and long terms.

A monitoring and reporting strategy should be prepared and circulated amongst partners by December 2010 and approaved before February 2011.

Immediate actions:

- All partners have to inform the Secretariat about their planned activities in relation to the WUC. Activities should be indicated in advance so that all partners are informed about what others are doing upfront. The Secretariat will circulate a standard template to provide the following information: intention; activities that you want to take, synergies with other partners activities, partnership.
- All partners have to produce a formal report informing the Secretariat on the activities that they are implementing or that have been completed in relation to the WUC.
- Partners that have signed a MoU with UN-HABITAT have to prepare a formal document to report to the Secretariat on their activities.
- The immediate actions shall be coordinated by the subgroup chair.

It is important to identify a way to measure if the partners are participating or not in the Campaign, in order to see if partners are committed and moving forward.

GROUP 2: BENCHMARKING TOOLS AND METHODS

This Committee's work can be described as an example of paradigm shifts we moved from working with lists, to working with matrices to using cloud computing concepts.

The task of the working group was defined in the Alicante minutes as being to "define and develop key components of a knowledge network system".

The starting point of the discussion was the 'Background and Progress report' which was prepared for the Shanghai meeting (see Annex C). A point was made at an early stage that maybe there could be no determination of this knowledge network system until we have some indication of what tools and methods are identified by the respondents to the questionnaire presented in the attached Annex C. The discussion quickly centered on what tools and methods we might be talking about and when we have to use them. A list was developed, the contents of which are not important at this stage, but which included issues such as indicators and case studies. The need to cluster the identified tools then became apparent, but before this could be taken forward, the issue of process and the stages at which tools could be used was raised.

The four key steps of the process were identified as

1. Snap shop / inventory = where
2. Strategies = how
3. Inventory/outcomes / implementation = what
4. Institutionalization = who

The need to cluster tools and methods then lead to the creation of a matrix, which could be used to capture the emerging multi–faceted aspects of this discussion. It was agreed that the preamble to the *Paris Principles* had to be stated as the context to the matrix. The matrix had as its vertical axis the 'Paris Principles' which remain central to the work of the WUC. The horizontal axis was then assumed to be the four stages of the process.

Catalogue of Tools and Methods – Classification of tools by cluster and type

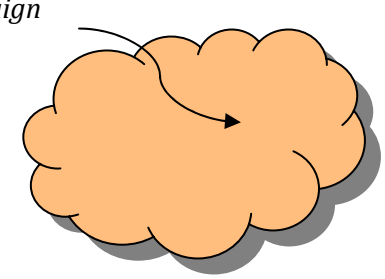
Area		Type of tool (as per its use at stages in the policy process)			
World Urban Campaign Principles	**Cluster**	**Inventory tool**	**Strategy tool**	**Implementa-tion tool**	**Institutionali-sation tool**
Empowering cities and communities to plan for and effectively manage adversity and change	Resilient cities				
Environmentally sound and carbon-efficient built environment	Green cities				
Socially inclusive, gender sensitive, healthy and safe development	Safe and healthy cities				
Socially inclusive, gender sensitive, healthy and safe development/ Accessible and pro-poor land, infrastructure, services, mobility and housing	Inclusive cities				

Participatory planning and decision making processes;					
Assurance of non-discrimination and equitable rights to the city	Equitable cities				
Participatory planning and decision making processes; Accessible and pro-poor land, infrastructure, services, mobility and housing	Planned, connected cities				
Vibrant and competitive local economies promoting decent work and livelihoods	Productive Cities				

There was a lot of discussion about how the matrix could be populated, with agreement that the boxes in the matrix could be of any size. There was then considerable discussion around the problems and limitations of using a pre determined matrix, and the problems of forcing organic information into boxes.

This lead in turn to a completely new approach – using the concept of cloud computing. New technology allows us to collect information without it being categorised in advance. It means that responses can be collected and users can source desired information by searching a key word. The key words would be drawn in the first instance from the *Paris Principles* and associated WUC documents. The intention is that once there has been some response to the questionnaire, this concept, how it is used and what the most searched issued and key words are, can be reconsidered.

World Urban Campaign haziness, torrents and raindrops



In order to develop the catalogue, the partners should use the survey questionnaire. During the discussion in plenary the following partners offered to test the questionnaire:

d. Habitat for Humanity – tools provided by other partners
e. Penn Institute – tools used for 100 Cities Initiative
f. Commonwealth Association of Planners
g. Veolia Environment – tools used in a city where they are supplying water
h. University of Naples – evaluation tool used for cultural heritage
i. UNISDR – tools submitted by the 80 cities that subscribed to their list of relisient cities

Each partner should test 1 or 2 tools and inform the other partners which tools they are using.

GROUP 3: GLOBAL OBSERVATORY OF GOOD POLICIES AND ENABLING LEGISLATION

The task of the working group was to define a strategic framework for policy and legislation, to be used as an overall guidance for policy and legislation review.

1. *Focus of the activity :* What is a good law

What are the key elements of success of a law – even if not necessarily properly interpreted, and implemented, issues of monitoring.

A good legislation should find the balance among the three pillars of sustainable urbanization (and 7 'Paris principles')

2. *Methodology being proposed*

j. Achieve guidance for policy review based on the 7 Paris principles.
k. Look at outcomes – not at cataloguing all, but select examplary practices.

The Group discussed on using a simpler methodology than the 'unpacking' one developed by Best Practices (Annex B).

The group debated on what level of policy and decided to work on all levels, but identify impacts at larger scales (i.e. local legislation that can influence national one, or national legislation).

Deconstruction of:

l. Legislation/standards
m. Institutional factors (context – culture, governance)
n. Implementation mechanism (resources, capacities)
o. Lessons/main elements/recommendations for review
p. Guidance framework/Communication

Simplified, looking from **outcomes** (scaling up) to principles of good law AND looking for **exemplary legislation**

NEXT STEPS:

q. Unpacking further the principles
r. Identify the law/ outcomes to work on

3. *Partnerships/actors*

The group noted that relevant actors/stakeholders need to be engaged. In particular the group identified the need for developing relation/expanding partnership with:

s. Parliamentarians (mainstream more) – support by UN-HABITAT
t. AMCHUD and others
u. Governments/ministries
v. Planners (at national level)

w. Lawyers (?)
x. Lobby groups
y. Mayors (?)

During the discussion in plenary the following issues were raised:

z. Link with leadership – and also with drivers (market drivers, for instance difficult to catch up)
aa. Legislation cannot address barriers for change (in isolation provides little help to achieve)
bb. 100 Cities as entry points for choosing initiatives for deconstruction/unpacking (use 4 cities and 4 laws)
cc. Key area of capacity – despite wonderful political will and law, lack of capacity blocks success

Conceptual model for legislative/policy review:

7 Paris principles

↓

Concrete examples: City, State, National (can be at any level but importance of replicability)

↓

Track A Focus on best practice outcomes: Initiatives/Projects	Track B Legislation Policy

↓

Deconstruction Analysis

dd. Legislation/standards
ee. Institutional framework (including governance, leadership, market environment)
ff. Implementation mechanisms (including resources, capacity)

↓

Lessons- Main elements

↓ .

Scaling up

Guidance framework for legislative/policy review – Communication

Matrix for selecting initiatives/projects

Sustainability 7Paris Principles	Initiative/Proj A	Initiative/Proj B	Initiative/Proj C	Initiative/Proj …
Social A B C				
Environmental A B				
Economic A B				
Replicability/Scale				
Resilience?*				

*This may be implicit within environmental criteria and need not be a criteria

Examples of initiatives may be drawn from the 100 Cities Initiative. Other indicative examples can be:

gg. IDP – South Africa
hh. My house, my life – Brazil
ii. Cities and climate change – Philippines, India
jj. Urban renewal mission – India

H. WORK-PLAN & EVENTS

The Work plan (see Annex G) was presented to the Steering Committee and the following inputs were provided:

- The Standing Committee should meet once a year. The next meeting should take place just before of after UN-HABITAT Governing Council in April 2011.

- The members of the Steering Committee attending UN-HABITAT Governing Council could meet at a parallel event.

- The 100 Cities Summit will be held on 25-27 April 2011 in Alicante, Spain. There will be two more preparatory meetings for the Summit. The dates and the venue should be decided in consultation with Pressgroup. The next preparatory meeting will be virtual.

- The Catalogues of Tools & Methods and the Global Observatory of Good Policies & Enabling Legislation should be launched at the 100 Cities Summit.

- In Alicante we could have a one day Steering Committee Meeting after the Summit designed to evaluate the Summit (lessons learned and way forward).

- ARCADIS offered to host the Steering Committee meeting to be held one month before the next World Habitat Day in 2011.

- The Work plan should include the deadlines for submission of Communication Strategy, Resource Mobilization Strategy; Monitoring and Reporting Strategy, Calendar for Policy and Legislation.

I. CONCLUSION

Participants agreed on the following tasks as a follow-up to the meeting:

WUC Secretariat:

- Circulate the WUC work plan so partners can incorporate their inputs (November 2010).

- Revise all Memorandum of Understanding in order to include 'reporting' as a key responsibility of all WUC Partners (November 2010).

- Develop the ToR for the Working Groups (December 2010).

- Carry out the survey questionnaire on Tools & Methods (December 2010).

- Prepare rules of procedure for the WUC Steering Committee to be presented and approaved at the next Steering Committee Meeting (September 2011).

Partners:

- Formally confirm their participation to the working groups and to nominate a chair for each of them (November 2010)

- Send their inputs to the WUC work plan (December 2010).

- Distribute information materials regarding activities of the Campaign, for example the 100 Cities Initiative and the forthcoming Summit, to their entire membership and contact databases, for the benefit of improving understanding of the Campaign and Campaign initiatives (ongoing).

- Send to the Secretariat in good time in advance a list of key events strategic for the Campaign, to be posted on the website. A short description of the event should also be sent, explaining why the event is strategic for the Campaign and how the Steering Committee can support it. The events should be a place for synergies to bring partners together (ongoing).

Working Groups:

- Finalize the Communications Strategy (December 2010).
- Finalize the Resource Mobilization Strategy (December 2010).
- Finalize the Monitoring and Reporting Strategy (February 2011).
- Prepare a calendar for policy and legislation (February 2011).

Fifth Session of the World Urban Campaign Steering Committee

8-10 Shanghai October 2010

ANNEXES

ANNEX A – MEETING AGENDA

BACKGROUND

The first session of the Steering Committee of the World Urban Campaign was convened by UN-Habitat and hosted by the Provincial Government of Barcelona, 12-14 October 2009. The meeting was attended by 44 participants representing the full range of the Habitat Agenda partners as well as the private sector.

Four committees and one commission were agreed upon, namely: (i) an Executive Committee to facilitate decision making during the inter-sessional periods; (ii) a Goals and Strategy Committee to agree on the over-arching goals, scope and statement of principles of the Campaign; (iii) a Communications Committee to focus on messaging, outreach and communications for the launch of the Campaign, and a (iv) Best Practices, Policies and Tools Committee to define and develop the key components of a knowledge network system. A Sustainable Cities Advisory Commission was proposed to guide the 100 Cities Initiative.

The second Steering Committee meeting of the World Urban Campaign was held in Paris, 7-9 December 2010, attended by 46 participants. The meeting was hosted by the Institut d'Aménagement et d'Urbanisme de la Région Ile de France (IAU Ile de France) of the regional government of Ile de France, and supported by Veolia Environment and ISTED.

This meeting served as a working group meeting on Goals, Strategy and Principles of the World Urban Campaign, the first of three tasks that need to be completed by the Steering Committee in preparation for the launch of the World Urban Campaign at the World Urban Forum in March 2010. The meeting was attended by 46 partners, five UN-Habitat staff, and two observers. The participants represented the full range of Habitat Partners. Eight new partners joined the Steering Committee including two UN agencies. Partners adopted a "statement of goals and principles".

An Expert Group Meeting on the 100 Cities Initiative was convened in Nairobi on 26-28 January 2010 gathering different types of partners and independent experts who are both experienced and knowledgeable about best practice systems and the use of the new media. At this meeting, criteria and commitments for the 100 Cities Initiatives were defined, as well as the modus operandi and review process, and cities were selected for the Initiative.

The Steering Committee also met in Rio de Janeiro before the fourth session of the World Urban Forum on 20 March 2010 at the *Brazilian* Institute of Municipal Administration (*IBAM*) in order to prepare for the launch of the World Urban Campaign and present the new partners. The meeting was attended by 43 participants representing the full range of the Habitat Agenda partners as well as the private sector.

The fourth Steering Committee meeting of the World Urban Campaign was held in Alicante, Spain, 30 May- 2 June 2010. The meeting was hosted by the Municipality of Alicante and co-sponsored by

Press Group and Aguas de Barcelona (Agbar). The meeting was attended by 51 participants, representing a comprehensive range of UN-Habitat Partners.

The main outcomes of the meeting were:

- Adoption of the WUC Steering Committee's Terms of Reference, in order to establish the Committee as an advisory body to the Executive Director of UN-Habitat.
- The establishment of a working group and road map for the organisation of the 100 Cities Summit taking place in Alicante, April 2011.
- Agreement on the way forward for a resource mobilization strategy, work plan and set of themes for the WUC.
- Kick-starting work on: a catalogue of tools and methods; policies and legislation; and 'the Habitat Business Award for Better Cities'.

It was decided that the next Steering Committee meeting would be held in Shanghai during World Habitat Week, October 2010.

DRAFT AGENDA

In view of the above, the following agenda is being proposed for the meeting:

Friday 8 October

19h00: **Networking dinner**
(Venue to be confirmed)
- Welcoming message
- Introduction of World Urban Campaign Partners

Saturday 9 October

09h00-10h30: **Introductory Plenary session**
- Welcoming
- Adoption of the meeting agenda
- Election of the Standing Committee, Chair and Co-Chair of the WUC Steering Committee
- Introduction of new World Urban Campaign Partners
- Briefing on the outcomes of the last Steering Committee meeting and the Expert Group Meeting on the 100 Cities Summit

10h30-11h00: Coffee break

11h00-13h00: **Working groups**
Three working groups will be formed to brainstorm on the following:
- Group A: Resource mobilization strategy, monitoring and evaluation
- Group B: Communication strategy
- Group C: Review of Tools and Methods, Good Policies and Enabling Legislation

13h00-15h00: Lunch

15h00-17h30: **Working groups (continued)**

Sunday 10 October

9h00-11h00: **Plenary session**
Working groups report to plenary

11h00-11h30: Coffee break

11h30-13h00: **Plenary session**
Partners agree on the WUC workplan for the next year

13h00-15h00: Lunch

15h00-17h30: **Conclusion and Way Forward**
- Final agreement reached
- Establishment of new working groups
- Conclusion on the way forward
- Closing remarks

ANNEX B – LIST OF PARTICIPANTS

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ANNEX C – BACKGROUND & PROGRESS REPORT TO THE 5TH STEERING COMMITTEE MEETING OF THE WUC

Introduction

This progress report is submitted by the World Urban Campaign Secretariat to the Fifth Steering Committee meeting. It includes a description of progress on the follow-up of past decisions made by the Steering committee.

The World Urban Campaign Secretariat has been formally established in UN-HABITAT, as an inter-divisional Secretariat, based in the Global Division where two previous Campaigns have been located[1]. The Coordinator of the World Urban Campaign is the Director, Global Division. An internal UN-Habitat World Urban Campaign Task force has also been established in order to advise and support the WUC Secretariat. Annex 1 outlines the governing structure of the World Urban Campaign.

The WUC Secretariat has initiated a number of new Memorandum of Understanding with new partner organizations. Annex 2 presents an updated list of official World Urban Campaign Partners.

1. The 100 Cities Initiative

The first Steering Committee meeting of the World Urban Campaign (WUC), held in Barcelona 12-14 October 2009, recommended the setting-up of the 100 Cities Initiative, a core component of the campaign to create a vehicle that can reach out to a broad cross-section of actors and constituencies that help shape policies and actions of cities. It was decided to hold an Expert Group Meeting in January 2010 to define the criteria for cities' inclusion in the initiative, identify the thematic focus of the initiative and outline how the Initiative will work including content, reporting and management. The objective would be also to agree on a selection process for national champions to manage, review and synthesize the city submissions to the 100 Cities Initiative.

An Expert Group Meeting was then held on 26-28 January 2010 in Nairobi gathering 21 experts both experienced and knowledgeable about best practice systems and the use of the new media. The reviewed the 100 Cities initiative concepts and objectives, selection criteria and process. They also selected a core set of 21 cities from a broader list of cities proposed by the WUC Partners.

Expert proposed that the 100 Cities Initiative be designed as an experimental phase lasting 12 to 18 months to test how best to appeal to and mobilize people, communities, municipal officials, service providers, and the political leadership of any city. It would do so by encouraging these actors to tell their story on how they are contributing to a better and more sustainable city. After this initial test phase to culminate in a 100 Cities Summit, the initiative would be opened to broader participation by all cities committed to open learning and sharing.

Expert further agreed that the 100 Cities Initiative would promote "living practices", as a holistic and forward looking approach to provide dynamic learning opportunities and be organized around principles of sharing and structured learning through partnering. The processes and outcomes of living practices would be documented, reported and measured over time.

The 100 Cities Initiative was launched in Rio de Janeiro at WUF5, on Tuesday 23 March in a parallel session, where 12 cities presented their commitment and interest in the initiative (Livinston, Guatemala/ Medellin, Colombia/ Makati, Philippines/ Ouagadougou, Burkina Faso/ Alicante, Spain/ Philadelphia, USA/ Pushino, Russia/ Rabat, Morocco/ Rosario, Argentina/ Rybnick, Poland/ Sao Jao da Barra, Brazil/ Vienna, Austria).

The 100 Cities website, hosting information on pilot cities, was also presented at the launch of the World Urban Campaign on Friday 26 March at the WUF5 closing ceremony. Additionally, the

[1] Global ***Campaign*** on Urban ***Governance*** and Global ***Campaign*** for ***Secure tenure (1999-2007)***

Mayor of Alicante, Mrs. Sonia Castedo Ramos, presented her city's commitment to the Initiative and to hosting the 100 Cities Summit in April 2011.

Pressgroup signed a Memorandum of Understanding with UN-HABITAT at WUF5 in Rio that defines their role as organizing partner of the 100 Cities. That entails creating the 100 Cities website in multiple languages for the pilot phase of the 100 Cities Initiative, collaborating with the city of Alicante as host city to launch the 100 Cities Summit, assisting in setting up a 100 Cities secretariat that will manage the flow of communications for the 100 Cities Initiative and assisting in the overall promotion of the 100 Cities Initiative.

At the fourth Steering Committee meeting of the World Urban Campaign held in Alicante, Spain on 30 May- 2 June 2010, WUC Partners have reviewed the initiative and made recommendations on the way forward. They recommended the establishment of a working group for the organisation of the 100 Cities Summit that will meet in three preparatory sessions prior to the Summit. It would initially include the following institutions: WIEGO (Alison Brown), Commonwealth Association of Planners (Christine Platt), University of Pennsylvania (Eugenie L Birch), Nomadeis Associés/Veolia Environnement (Cedric Baecher), International Union of Architects (Louise Cox), ENDA RUP (Malick Gaye), Huairou Commission (Sarah Silimann), Pressgroup (Angus McGovern), ISOCARP (Pablo Vaggione), Green World City Organization (Sein-way Tan), World Future Council (Stefan Schurig).

In Alicante, the WUC partners also proposed the following:

- The 100 Cities website would be modified (agreed structure included in Annex V of WUC SCM4 Outcomes Report). The final structure of the website would be endorsed at WUC SCM6 in Shanghai.
- The 100 Cities Initiative first contact/expression of interest Questionnaire for cities and the Nominating Template for champions would be finalized at the Meeting in Shanghai (Annex VI of WUC SCM4 Outcomes Report).
- Elements of the 100 Cities Initiative would be finalized at the Expert Group Meeting on the 100 Cities Summit. In particular, the following would be defined:
    - Number of cities to be involved up to the 100 Cities Summit;
    - Modalities of interaction between cities up to the 100 Cities Summit in order to generate a critical mass of knowledge;
    - Ways to consolidate this knowledge before the summit in order to launch a global message;
    - Ways to involve the local media from the start in disseminating the initiative and mobilizing the international media and a worldwide audience;
    - Editorial and production support to the Champions and leading partners;
    - Promotional material to be developed.

Pressgroup, as the organising partner of the 100 Cities, has made progress on the above and will report to the WUC SCM5. Conclusion of the Expert Group Meeting on the 100 Cities Summit (held in Shanghai on 5-6 October) will also be reported at WUC SCM5.

2. Best Practices, Policies and Tools

The first Steering Committee meeting of the World Urban recommended the establishment of a Best Practices, Policies and Tools Committee. This committee would define and develop the key components of a knowledge network system to take full advantage of the diversity and wealth of knowledge, tools and methods of the WUC network. UN-Habitat would develop a draft template to be expanded upon and reviewed by the partners. Partners would leverage their networking capability to build an enhanced knowledge management network. Some major points for consideration in building the knowledge network system included: maximizing internet capability

to identify, review and share stories from partners; create an easy format and consider a dash board approach; build on lessons learned from UN-Habitat's Best Practices Program; Establish an IT sub group.

This core WUC component to be undertaken by the WUC Steering Committee was reinforced by the WUC goals agreed at the WUC SCM2 (Paris, Dec 2009): 'To Enable: provide the necessary tools to achieve creative, resilient and sustainable cities and communities' (Goal 2); 'To Measure: establish benchmarks, monitor progress and share knowledge worldwide'(Goal 3); 'To Connect: create synergies and lasting linkages between stakeholders and facilitate the coherent and strategic coordination of partners' (Goal 4).

At WUC SCM4 in Alicante, WUC partners further defined three elements to address this core component of the Campaign:

- The Catalogue of Tools and Methods,
- The Observatory on good policies and enabling legislation,
- The Habitat Business Award for Better Cities.

2.1 Catalogue of Tools and Methods

The catalogue is defined as a user-driven catalogue that would provide a one-stop shop for tools and methods on sustainable urbanization. Such a catalogue would not only promote the sharing of knowledge on tools and methods, but also help match problems with solutions. WUC partners in Alicante (WUC SCM4) recommended the following:

- It should be hosted on an open source platform;
- It should be open to user reviews and (moderated) comments;
- Tagging would either be user driven or would require further unpacking of the sustainable urbanization theme;
- Multiple platforms should be used to allow different levels of access, including the option of contacting the owners/authors of a tool.

It was further recommended that the first phase focus on tools and methods developed and applied by the WUC partners. Before the next SCM, a group would be formed and be provided with a draft questionnaire as a basis for the tools reporting template, to be used for soliciting information on tools and methods. UN-Habitat will then extract partners' tools and methods before 31 December 2010 to begin the design of the on-line catalogue. In April 2011, the catalogue will launch at the 100 Cities Summit.

A draft questionnaire has been developed by UN-Habitat. See Annex 4 and 5, which is in two parts: the questionnaire as well as a completed sample using the Good Policies and Enabling Legislation assessment methodology as a test.

2.2 Observatory on good policies and enabling legislations

For this element, WUC partners at WUC SCM4 agreed that the focus should be placed initially on the themes of good governance, decentralisation and social inclusion (the right to the city). Given the Brazilian experience of the "Right to the City Charter", the Ministry for Cities of Brazil would be invited as a partner for this endeavour. UN-Habitat would initiate the process by circulating the existing methodology for information. The WUC-SC would then nominate laws for documentation in the agreed themes. Up to 10 model laws/policies would be agreed upon in Shanghai and work starting thereafter to be reviewed at the 100 Cities Summit.

The goal is to have a platform to launch the 10+ unpacked laws and policies at WUF6 in Bahrain.

UN-Habitat would present the policies and enabling legislation initiative to the Governing Council to mobilize high-level support and funding. A template would be developed by the UN-Habitat Best Practices and Local Leadership Programme (BLP), for further comment and adoption. A dedicated working group for this activity should be established.

The template developed by UN-Habitat (BLP) has been revised including reviewing the thematic categories for alignment with the WUC Paris Principles. See Annex 3.

2.3 UN-Habitat Business Award for Better Cities

At the WUC SCM4, Partners agreed that the World Urban Campaign will provide a platform for the future business awards. The WUC Partners acknowledged the important role played by many private sector companies in promoting and disseminating business practices and technologies, aimed at addressing urbanization issues within a framework of partnerships. The prize will be awarded to private sector entities for outstanding practices that prove their commitment towards achieving sustainable urbanization either as part of their core business goals, or as part of initiatives that address sustainable urbanization.

It was recommended that the driving principles on which the UN-HABITAT Business Award for Better Cities should be those of the World Urban Campaign, with an additional two: 1/ Mass reduction of environmental impacts of human activities (construction, energy and water consumption, waste generation and others) in urban areas. 2/ Dramatic improvement of urban living conditions and entrepreneurship at the bottom of the pyramid.

UN-Habitat will the convening partner, supported by organizing partners, supporting network partners, research & expert partners, media partners and corporate sponsors. UN-HABITAT as the Secretariat shall select impartial and regionally representative jury members. In addition to the jury, an expert group will define selection criteria, with the assistance of research & expert partners and review applications.

It was also agreed that there should be five regions with five awards within each region with the best from each as decided by the jury given a global award in Bahrain in 2012. Regional award ceremonies shall be held in Americas, Asia and Europe. The regional award ceremonies for Africa and Arab State will be held along with the Global Award ceremony during the Sixth Session of the World Urban Forum in 2012. A thoughtful media campaign must be conducted from the beginning.

An Expert Group Meeting was held on line from 6 to 30 September 2010 in order to agree on the selection criteria, application form and process with the following partners: University of Pennsylvania, London School of Economics, Tongji University, ESSEC Business School, as well as three former jury members for the Habitat Business Award (2008-09 cycle). The Habitat Business Award website, which incorporated elements defined by experts, will be launched before the end of this year. The award website is operational in four languages (English, French, Spanish, Chinese), with online application form in English/French.

3. WUC Communication

The WUC SCM1 recommended the establishment of a Communication Committee to focus on messaging, outreach and communications. It was advised that the initial focus of the work of this committee be on preparing and implementing an effective outreach and brand recognition strategy for the 5th session of the World Urban Forum to be held in Rio de Janeiro, 22-16 March 2010. A dedicated logo for the World Urban Campaign would also be commissioned. It was strongly suggested that the launch of the WUC be a main feature of the closing ceremony of the World Urban Forum.

At WUC SCM2, partners defined the overarching mission of the campaign, its goals and principles. These core statements were understood as the driving elements for elaborating the future messages of the campaign.

The WUC was launched at the World Urban Forum in Rio on 26 March 2010, and the logo unveiled at the ceremony, in the presence of WUC partners.

The last WUC SCM in Alicante further advised that the Communication Committee develops the WUC website, as well as take the lead on the establishment of a communications strategy that has a range of messages for different target groups.

Proposed members of the WUC Communications working group are Davina Jackson (DCity Pty Ltd), Toby Johnson (Telecommunication Standardization Bureau) and Cemil Giray Alyanak

(mondofragilis group). Additional members will take part in the committee and make further progress at the WUC SCM5 in Shanghai.

4. Resource mobilization

At the WUC SCM4, Partners agreed on key elements of resource mobilization in order to provide the basis for a sustainable campaign. The working group dedicated to the matter made the following conclusions:

- Partners are generally in the best position to mobilize resources. However, the support of by UN-HABITAT has been critical to success. In some cases, UN-HABITAT should lead resource mobilization efforts.
- WUC partners have so far only mobilized internal funds in support of the Campaign. It is now necessary to mobilise external resources.
- Effective outreach to potential funding sources from partners is essential. In part, this involves formulating a simple communications strategy; procedures could include the assignment of someone to coordinate fund-raising outreach to potential donors.
- The WUC will need to coordinate with other related campaigns in helping to avoid the perception that it has been competing with partners for resources.
- The WUC needs to mobilize resources for both fixed and variable costs and to develop a business plan accordingly.

5. Workplan and theme

At the WUC SCM4, Partners agreed on a preliminary workplan for 2010-12. The WUC Secretariat will update the workplan as new activities arise. It should include all Partners activities, as per their commitment in their agreements (Memoranda of understanding) with UN-HABITAT. The WUC workplan will be uploaded on the WUC website.

As mentioned above, an internal UN-Habitat WUC Task force has been established in order to advise and support the WUC Secretariat. The WUC Task force will contribute to the workplan through specific UN-HABITAT programmes and activities that can reinforce the campaign. Several elements of the World Urban Campaign's workplan were also included in UN-HABITAT's work programme.

The WUC Secretariat has also initiated a number of new Memorandum of Understanding with new partner organizations (attached list, Annex 2). Their contributions will be taken into account in the workplan.

WUC Partners have also engaged in activities and organised events, in particular:

- ISOCARP (Isocarp Congress, Nairobi, Sept 2010)
- Siemens (Future Dialogue, Beijng, Sept 2010)
- Pressgroup (100 Cities Initiative, Habitat Business Award)
- Arcadis (support to Haiti, Sudan, Senegal, Cities and Climate Change Initiative)
- CISCO WUC Event at the Cisco Pavilion, Shanghai WE, 8th October
- ISTED and IAU Ile de France: event at the French Pavilion, 14 July
- ENDA networking projects in local urban observatories at the grass root level in West Africa.

The WUC Secretariat has been requested by several partners to set-up a mechanism for endorsement of all new WUC activities and the workplan. This mechanism shall be discussed at the WUC SCM5.

The theme of the World Urban Campaign has been discussed in Alicante where partners agreed at the WUC SCM4 that working under different annual themes could help focus the campaign and allow it to highlight particular aspects of sustainable urbanization. However, one year may not be enough time to adequately prepare and develop a theme. Four recommendations were made:

- All WUC themes should be chosen in accordance with the Paris principles;
- UN-Habitat should also consider the Paris principles when selecting themes for WUF, World Habitat Day etc., so that the WUC and other UN-Habitat programs and products can have mutually reinforcing messages;
- The theme of WUF5 *Bridging the Urban Divide* was very well received by most participants and continues to inspire. The group proposes that this be the WUC theme for 2010-2012, thus linking WUF5 and WUF6.
- Should the theme of World Habitat Day 2011 be decided before October 2010, the SCM in Shanghai will consider whether to adopt the WHD theme on its own or as a sub-theme of *Bridging the Urban Divide*.
- Given that WUF6 will be held in Bahrain, the theme of inclusiveness with a focus on migrant workers should be considered, under the general theme of bridging the urban divide.

The theme should be confirmed at the WUC SCM5 as a key element for the communication strategy to be discussed in working group B.

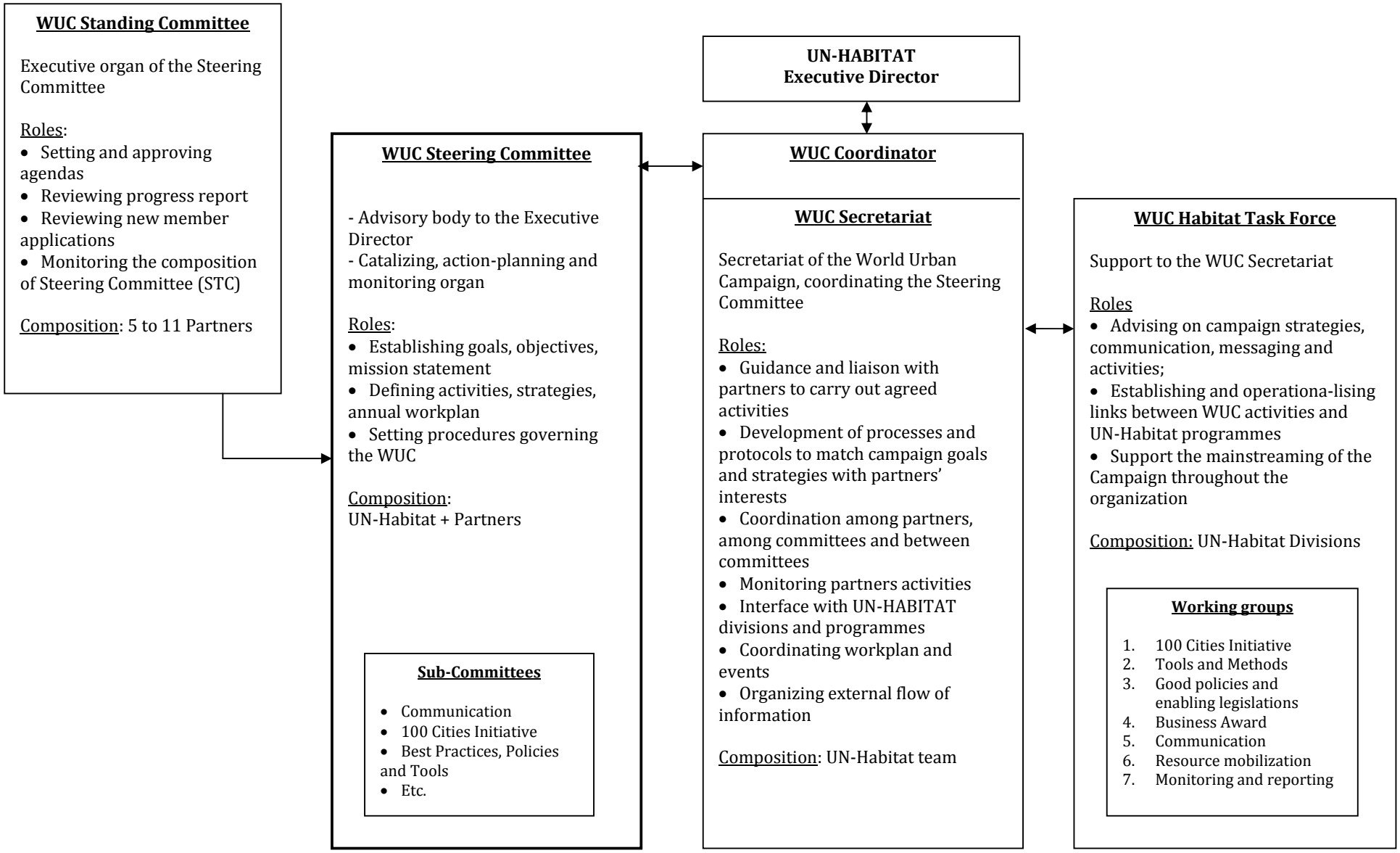
6. Monitoring and evaluation

In relation to the above activities, a mechanism for monitoring and evaluation shall be put in place to account for WUC Partners activities for the Campaign, evaluation progress and adjusting the workplan, activities and budget over time.

A rigorous reporting mechanism shall be followed, as emphasized by WUC partners. The Committee of Permanent Representatives to UN-HABITAT, which was consulted on the Campaign activities at several occasions, has also requested that a reporting mechanism be in place in order to monitor the WUC achievements.

The WUC Secretariat has reviewed the terms of reference of the Steering Committee with UN-HABITAT's legal office. Some issues need to be addressed and clarifications made by the Steering Committee, particularly on paragraphs 14 and 18. On the basis of this review, the WUC Secretariat has also revised the format of Memoranda of Understanding with UN-HABITAT's legal office. A few changes were requested in order to take into reflect elements of the WUC Steering Committee's terms of reference.

ANNEX 1
The World Urban Campaign Governing Structure



ANNEX 2 – The World Urban Campaign Partners

List of Official World Urban Campaign partners

Institutions below have signed memoranda of understanding with UN-Habitat in order to work jointly on the World Urban Campaign. They are de facto members of the WUC Steering Committee.

Organization	Agreement signed on
1. **Arcadis**	24-Mar-10
2. **Building and Wood Workers International (BWI)**	15-Sept-10
3. **China Real Estate Chamber of Commerce & Beijing Elite Found. for Housing Technol.**	24-Mar-10
4. **DCity Pty Ltd**	31-May-10
5. **ENDA RUP**	31-May-10
6. **Global Urban Development**	31-May-10
7. **IAU lle de France**	24-Mar-10
8. **International Union of Architects (UIA)**	31-May-10
9. **Isocarp**	23-Sept-10
10. **ISTED**	24-Mar-10
11. **mondofragilis group**	31-May-10
12. **Practical Action**	31-May-10
13. **Pressgroup Holdings Europe SA**	24-Mar-10
14. **Siemens**	24-Mar-10
15. **Siemens Stiftung**	24-Mar-10
16. **Veolia**	24-Mar-10
17. **Zerofootprint**	24-Mar-10

In addition, the following institutions have expressed interest to sign an MOU in Shanghai:

Organization	Agreement to be signed on
1. **Cisco Systems**	8-Oct-10
2. **Commonwealth Association of Planners**	7-Oct-10
3. **GDF SUEZ**	7-Oct-10
4. **Penn Institute for Urban Research of the University of Pennsylvania**	7-Oct-10
5. **WBCSD**	7-Oct-10
6. **World Green Cities Organization**	7-Oct-10

List of Habitat Agenda Partners

The following groups are the official Habitat Agenda Partners:

1. National Goverments
2. Local authorities
3. Non-Governmental organizations and community-based organisations
4. Private Sector
5. Trade Unions
6. Foundations
7. Professionals and Researchers
8. Academia
9. Human Solidarity Groups
10. Youth
11. Women

Institutions below are official platforms representing the Habitat Agenda Partners. They are de facto official partners of the World Urban Campaign and members of the WUC Steering Committee upon their request.

Organization	Representation
1. **Global Parliamentarians for Habitat**	Parliamentarians
2. **Habitat Professionals Forum**	Professionals in human settlements
3. **Huairou Commission**	Women
4. **United Cities and Local Governments (UCLG)**	Local authorities
5. **Metropolis**	Local authorities
6. **Habitat International Coalition (HIC)**	Non-governmental organizations
7. **Youth Advisory Board**	Youth
8. **Partner Universities**	Academia
9. **Global Research Network on Human Settlements**	Researchers

ANNEX 3: Submission guide and reporting format for good urban policies and enabling legislation

A. Background and Goals

In 1996 the second United Nations Conference on Human Settlements (Habitat II) addressed the issues of improving the living environment for all people, and adopted the *Habitat Agenda.* Documented "best practices" were identified as one of the two main tools together with indicators, for monitoring the implementation of the Agenda. As a result, UN-HABITAT established in 1997 the Best Practices and Local Leadership Programme, comprised of a global network of partners, which has documented to date over 4000 good and best practices from 140 countries. These practices are included in the Best Practices Database, available on the Internet: www.bestpractices.org.

In June 2001, the Special Session of the United Nations General Assembly for the review of progress made in the implementation of the Habitat Agenda organized a Thematic Committee. This Committee featured 16 examples of best practices, enabling policies, legislation, and proven action plans in the areas of Shelter and Services; Environmental Management; Urban Governance; and Eradication of Poverty. The contribution of the Thematic Committee to the substantive debate and led the Special Session to adopt in paragraph 63 of its final declaration: "A further goal is to translate best practices into policies and permit their replication. In this respect, the international community should ensure the effective formatting and dissemination of proven best practices and policies."

As a follow up to this declaration, UN-HABITAT convened an Expert Group Meeting in November 2001 to develop a framework for documenting and disseminating lessons learned form good urban policies and enabling legislation to further the exchange of expertise and experience in support of the implementation of the Habitat Agenda. To this end, the Meeting adopted the following terms of reference:

(a) Define what constitutes a good urban policy and enabling legislation including specific criteria;

(b) Propose a reporting format that would enable government officials, practicing professionals and the informed public to better understand the essence of documented policies and legislation;

(c) Propose additional information that would enable the international community, researchers and policy analysts to understand and differentiate between the contextual and generic elements of the documented policies and legislation, including the socio-economic and political rationale for the policy;

(d) Propose the thematic scope or entry points for documenting good urban policies and enabling legislation;

(e) Propose means of dissemination and applications in policy development and capacity-building;

Accordingly, the Meeting designed the attached reporting format enabling policy makers, legislators and other partners to document both the process and content of good urban policies and legislation.

B. Checklist of Criteria

In order to properly assess the effectiveness in the scope and design of good urban policies and legislation the following evaluation criteria are proposed. These criteria address a wide range of issues concerning the intended impact, the decision making process and governance structures. While it is unlikely that any single policy or legislation will meet all of these criteria, they provide a checklist for improved understanding of how a policy or law supports the goals and strategic objectives of sustainable urbanization.

a/ Criteria pertaining to social, spatial, economic and environmental impact

- Promotes gender equality
- Enhances social inclusion
- Recognizes cultural sensitivity and diversity and promotes non-discrimination
- Empowers all stakeholders, particularly women, civil society organisations, local authorities and the urban poor
- Improves urban sustainability particularly through integrated, holistic and comprehensive approaches to social, spatial, economic and environmental issues
- Demonstrates flexibility in accommodating different conditions, groups and needs

b/ Criteria pertaining to institutional roles and responsibilities

- Provides a clear definition/assignment of roles and responsibilities including appropriate institutional frameworks and governance structures and appropriate levels of centralisation and decentralization
- Promotes the use, availability and accessibility of research findings and information
- Is simple and clear
- Is realistic in terms of scope and implementation
- Provides for measurable impact and/or results
- Supports the participation of all stake holders including disadvantaged groups in decision making monitoring and evaluation

C. Institutional Framework and Governance Structures

A key concern is the institutional framework and governance structure for creating and implementing good urban policies and legislation. Experience has shown that there needs to be a clear definition and assignment of roles between various actors, entities and jurisdictions responsible for oversight and regulation, coordination and implementation and evaluation and follow-up. In general, approaches that decentralise authority and responsibility lead to improved service delivery and responsiveness to local development priorities. This is especially the case for addressing the needs of the poor, particularly women, and other disadvantaged groups. Such forms of decentralisation must involve genuine reallocation of power, resources and responsibilities to local levels, not just the reshuffling or reassignment of administrative duties. Experience has demonstrated that in many situations, decentralization can foster more effective responses for reducing poverty – a key concern and priority for developing countries.

D. Gender Equality and the Empowerment of Women

An important and cross cutting issue in good urban policy and enabling legislation is gender equality.[2] In order to attain gender equality, the political, social and economic empowerment of women is crucial. Specific focus on gender equality also means that good policies and enabling legislation need to be gender aware; they need to distinguish between men and women in the issues they seek to address. For example, a policy or law seeking to help the urban poor to obtain security of tenure should spell out how this can be done for both women and men. A critical contribution to gender equality and the empowerment women is to ensure that policies and legislation are based on the assessment of the different needs, concerns, roles and responsibilities of men and women.

E. Reporting Format

The attached reporting format is intended to provide detailed information regarding who developed the policy or legislation, its content and substance, how it was formulated and is being implemented, what are the measurable results and impacts. It also addresses the issue of how policies and laws are being monitored and evaluated, and most importantly, what are the lessons learned for replication and transfer. The complete reporting format, is self-explanatory. However, it is worth noting several key points regarding the purpose and rationale for the reporting categories.

(i) It is important to explain the governmental context in terms of which agencies are responsible for various aspects of the process and anticipated outcomes. With respect to legislative initiatives, in addition to the date of adoption, it is important to record the date the law entered into force.

(ii) The reporting format requests that each policy and law identify the key aspects of *sustainable urbanization* that are addressed..

(iii) In recognition of the fact that each country and community is different, the reporting format asks for contextual information regarding the policy and legislative circumstances to enable others to assess the degree of relevance to their situation.

(iv) Detailed information is requested regarding the purpose and intent of the policy or law as well as its substantial elements.

(v) A premium is placed on describing the processes of policy and legislative formulation, implementation, monitoring and evaluation. At each stage it is vital to provide accurate information regarding the full involvement of all stakeholders in the process, and their ability to participate in decision making and to obtain access to information, particularly by disadvantaged and marginalised groups.

(vi) The reporting format calls for a detailed explanation and enumeration of measurable results and impacts of the policy or legislation, including positive as well as negative outcomes. Finally it is critical that the documentation includes an analysis of lessons learned and other implications.

Urban policies and enabling legislation that are being submitted should, in principle, have been in existence and fully enforced for a <u>minimum</u> of three years. This time frame is deemed necessary to assess effectiveness and impact and to illustrate the contribution to sustainable urbanization.

[2] Gender equality is one of the seven commitments in the Habitat Agenda and was reaffirmed by the Declaration on Cities and Other Human Settlements in the New Millennium. It is recognized in the various non-discrimination provisions of international covenants and is one of the principles laid down in the Millennium Declaration.

F. Review by Stakeholders

Two or more stakeholders should review documented examples prior to submission; in particular by those directly affected by the policies and laws. The active engagement and involvement with public, private and community partners in the preparation of these reports will contribute to the quality of the information and improve the learning dimension for all. Differing views on the effectiveness of the policy or legislation should be incorporated in the report so as to provide a more complete account of lessons learned, intended and unintended outcomes and remaining challenges. The diversity of views and opinions will further enhance the learning experience for those who are directly involved and affected by the policy/law and other end users of the database.

ANNEX 4: Reporting Format for Good Policies and Enabling Legislation

1. **TITLE OF POLICY/LAW**
2. **COUNTRY**
3. **STATE:**

   PROVINCE:

   DISTRICT:

   CITY:

   OTHER (Please specify):
4. **LANGUAGE** of original policy document/bill
5. **LEVEL/SPHERE OF APPLICATION** (eg. national, regional, city, local, etc.)
6. **DATE OF ADOPTION:**

   DATE THE POLICY WAS PUT INTO EFFECT:

   DATE OF ENTRY INTO FORCE (for legislation):
7. **ADOPTED BY:**
   - National level
     - Office of the President
     - Cabinet
     - National legislature (e.g. Parliament, House of Representatives)
     - Ministry/agency
     - Other....
   - Regional level
     - Regional authority
     - Department/agency
     - Other.....
   - Local level

- Metropolitan Council
- Municipal/Community Council
- Ward Council
- Village Council
- Department/agency
- Other.....

8. AGENCY/BODY RESPONSIBLE FOR:

- Formulation/Revision
- Adoption
- Implementation
- Monitoring and evaluation

9. OBJECTIVE/PURPOSE OF POLICY/LAW

Please describe briefly the purpose of the policy or law. In doing so, please try to provide information on the following; addressing gender issues where applicable:

- the problem/issue that led to adoption of the policy/law, considering its political, economic, social, cultural and physical background;
- consistency of policy/law with other related policies and national and international law;
- was compliance with any international conventions and agreements, in particular the MDGs a rationale for adopting the policy/law? If so, which law or convention?
- Is this policy/law linked to previously adopted policy/legislation? If yes, to which main national regional or local policy or legislation?
- Does this policy or law override any previous policies or legislation?

10. AREAS

Please tick up to three main categories and as many sub-categories that are being addressed by the policy/law:

- **Poverty Reduction**: income generation; job creation; vocational training; access to credit; equal access to jobs; credit and training.
- **Economic Development**: industrial development; enterprise development (formal & informal sectors); investment development; capital formation; entrepreneurship training; cooperative opportunities; micro-credit; equal access to economic resources; economic competitiveness and innovation.
- **Social Services**: education; recreation; health and welfare; HIV/AIDS awareness and prevention; public safety; crime reduction and prevention; justice system reform; equal access to social services (especially by women); vulnerable groups including women.
- **Environmental Management**: pollution reduction; urban greening; environmentally sound technologies; environmental remediation;

environmental health; impact assessment, monitoring and control; indicators for sustainability; ecological sustainability; "green" accounting; incentives for sound management; resource management; eco-tourism.

- **Infrastructure, Tele-communication, Transportation**: energy use, conservation and production; transportation and mobility; communication and media; safe-water provision; waste-management and treatment; drainage and sanitation; infrastructure technology; gender specific needs and safety.
- **Housing:** affordable housing; homelessness; land tenure and security; access to housing finance; slum and settlement upgrading and improvement; housing rights; construction industry; building materials and construction technology; equal access to housing resources and ownership (especially by women).
- **Land Use Management**: land use planning; geographical information systems; development incentives; open space conservation; land development; urban/suburban renewal; estate management; women's ownership and inheritance.
- **Urban Governance**: Urban management and administration; partnership development with civil society; partnership development with private sector; participatory budgeting and decision-making; human resources and leadership development; decentralization; resource mobilization; institutional reform; management and information systems; auditing; visioning; transparency and accountability; monitoring and evaluation; metro/urban-wide government; women in leadership roles.
- **Civic Engagement and Cultural Vitality**: community participation; social and cultural vitality; expression and animation; civic awareness and education; the arts and cultural development.
- **Gender Equality**: gender roles and responsibilities; gender specific needs; women empowerment; access to resources; control of resources.
- **Social Inclusion**: removing barriers to equity; ethnicity; social integration; non-discrimination.
- **Disaster and Emergency**: reduction of vulnerability; civic awareness and preparedness; contingency planning; early warning systems; response capacity; hazard reduction and mitigation; life-line systems; rehabilitation/reconstruction; risk assessment; gender specific risks and needs.
- **Production and Consumption Patterns**: waste reuse and recycling; energy efficiency; clean energy production; water use and consumption; resource conservation; consumer awareness; producer responsibility; production/consumption cycles.
- **Urban and Regional Planning**: localizing Agenda 21; capital investment programming; budgeting; community-based planning and development; urban renewal; conflict management and mediation; consultative process; cultural heritage; conservation planning; regional planning; regional

economic development; metro/urban-wide (integrated) planning; improved urban forms and structure.

- **Technology, Tools and Methods**: Software; hardware; management tools and systems; technology transfer; research and development; planning tools and techniques; networking; information and communications technology and systems; appropriate technologies; training and capacity building.
- **Children and Youth**: 0-9 years; 10 years to adult; health and nutrition; education and vocational training (including day care, after school care); environmental programmes with a youth focus; children's participatory planning and leadership development; recreational/cultural programming; legislation/advocacy; community support programmes; especially difficult circumstances (abuse, child labour, war); youth at risk; urban liveability.
- **Architecture and Urban Design**: affordable/ecological design; green building; sustainable community design; landscape design; historic preservation; special needs.
- **Older Persons and Special Needs**: safe/accessible dwelling design; participation; health; employment; multi-generational activities; transportation; group homes; financial security; needs of disabled people.
- **Use of Information in Decision Making**: Indicators and statistics; mapping (GIS); management (MIS); use of ICT; Use of media and awareness-building; improved access and participation; research; gender dis-aggregated data and analysis.

11. CONTEXT

The information requested below is designed to provide users of the good policies database with contextual information that will allow them to better understand the circumstances and reasons underlying the policy or legislation.

- population and relevant urban statistics, including percentage of urban poor and/or percentage living in informal settlements;
- constitutional and government system (federal/unitary, tiers of government)
- short description of executive structure (office of the president, ministries, commissions, councils, etc.);
- short description of legislature (approval and amendment authority/process);
- short description of the judiciary system (court system including systems for arbitration/mediation, etc.);
- FOR LEGISLATION ONLY: have there been particularly important events such as court decisions or legislative debate that have contributed to the interpretation of the law?

12. SUBSTANCE

Please provide information in response o the lead questions below. *Please note that not all of these questions may be relevant to a particular policy or law.*

- What is the *spirit/intent* of the policy/law?

- Is there a specific target group covered by the policy/law? If so, please provide details.
- What specific needs, demands, challenges are being addressed by the policy/law?
- POLICY: what specific strategies and/or action plans have been included/foreseen to achieve the objectives of the policy?
- LEGISLATION: which norms, rights, responsibilities, enforcement mechanisms and/or incentives are laid down to achieve the objectives of the law;
- Does the policy/law address gender equality and the specific needs of women? If so, how and in which areas?
- Were cultural values, traditions and customary laws taken into account in the substance of the policy/law? What measures were taken to build on positive aspects of or to eliminate potential discriminatory effects (e.g. exclusion of women and minority groups) of customary laws or traditions?
- Which measures were used to make the substance of the policy/law simple, clear, understandable and as specific as possible?

13. PROCESS OF FORMULATION

Please describe the chronological sequence of events, steps taken and actors involved in the formulation of the policy/law. For example:

- Which actor(s) initiated the policy/law, when and how?
- Which actor(s) formulated the initial draft policy/bill, when and how?
- Was a budget or other sources of support provided? By whom?
- Did other stakeholders participate in the process? At what stage? Which stakeholders?
- What special interest groups petitioned or lobbied for or against the policy/law and how? How was consensus achieved?
- How was the process made transparent to all stakeholders, including civil society organisations, minority groups, etc.?
- To what extent was appropriate research findings, knowledge and information made available to all stakeholders?
- To what extent were gender dis-aggregated data used as background information?
- At what stages were other stakeholders consulted? Which stakeholders?
- What specific measures were taken to ensure the active participation of women in the formulation process?
- How were cultural sensitivities and diversity taken into account in the process? How was the inclusion of women ensured in the process? How were minority groups included in the process?

14. PROCESS OF IMPLEMENTATION

Please describe what steps have been taken to implement the policy/law, addressing gender issues where applicable. For example:

- How was the policy/law disseminated? By which actor(s) and means?
- What specific measures were taken to inform the general public about the law/policy and its implications? By whom and with what means (eg. newspaper, radio, TV, posters, theater plays, T-shirts etc. etc. etc.)?
- What resources (human, technical, financial) were made available to support the implementation and dissemination of the law/policy? By whom?
- Were the resources adequate and taking into consideration gender disparities? If not, why?
- Was there an implementation strategy/action plan and was it followed? If not, why?
- Describe the favorable as well as mitigating circumstances encountered in the implementation of the law/policy? How were they taken into account?
- Was the policy/law made available in local languages, where applicable?
- What training and/or capacity building are foreseen to ensure effective implementation of the policy/law, and for which actors/institutions?
- Have any training/capacity building activities been undertaken for local authorities? If so, please describe.
- Have any training/capacity building activities been undertaken for civil society organisations including marginalised groups? If so, please describe.
- How does implementation (inter alia by dissemination) of the policy/law contribute to the empowerment of local authorities?
- How does implementation (*inter alia* by dissemination) of the policy/law contribute to the empowerment of civil society groups, women and marginalised groups?
- LEGISLATION ONLY: have any regulations been passed to implement the law? If yes, what are their titles and scope, and what roles and responsibilities do they confer or regulate?

15. OUTCOMES

15.1. MEASURABLE RESULTS

Please describe in concrete terms results of the implementation of the policy/law. Where applicable and available disaggregate by sex. For example:

- Changes in management and decision-making systems
- Changes in use and allocation of resources, including budget allocations, grants, loans and inter-governmental transfers
- Improved environmental conditions (air, water or soil quality)
- Improved fiscal and financial performance
- Improved coverage of services. eg. sanitation, health, water supply
- Percentage and number of slum dwellers having obtained secure tenure (including tenancy and occupancy rights and alternative forms of tenure)
- Percentage and number of women appointed/elected to leadership positions
- Substantial shift between modes of transport

15.2 IMPACT

Please describe the positive and the negative impact (intended and unintended) of the policy/law. In particular delineate the impacts by sex. For example, if you mention figures on any of the below mentioned aspects, ensure that you use sex dis-aggregated data (that shows the impact on men and women). Please use qualitative and quantitative indicators for all impacts, where possible and applicable. For example:

- impact at the social, economic, environmental level;
- impact in terms of social, economic and environmental sustainability;
- impact on institutions and decision-making processes;
- impact on marginalised groups;
- impact on gender equality;
- impact on the use and allocation of financial, human and technical resources
- impact on the capacity, roles and responsibilities mandate) of local authorities
- impact on the capacity, roles and responsibilities of civil society organisations, in particular women's organisations and marginalised groups
- impact on quality of life and improved community livability
- Was the policy/bylaw replicated in other parts of the country or in other countries?

16. MONITORING

- Who is involved in the monitoring process and in what role/capacity?
- Please describe the monitoring process that is being followed;
- What is being monitored and how often?
- Please list the indicators/parameters that are used for monitoring;
- What levels of detail and aggregation do the indicators/parameters entail?
- To what extent are gender-disaggregated data used?
- To what extent can civil society exercise a right to participate in monitoring?
- Who has access to monitoring information and how is the information disseminated?
- What constraints were encountered and how could they be overcome?

17. EVALUATION

- Is the policy/law still operational?
- Who is involved in the evaluation process and in what role?
- What evaluation methods were used?
- To what extent was/were the objective(s) reached?
- What constraints (eg. legal, institutional, financial) in the implementation of the law/policy were revealed by the evaluation? What measures are needed/recommended to overcome these constraints?
- To what extent does the policy/law respond to current social issues and trends?

- How is the efficiency and effectiveness of the policy/law assessed?
- How often is the policy/law evaluated?
- How are the evaluation results acted upon and by whom?

18. LESSONS LEARNED AND CHALLENGES

Please describe any lessons learned that could be taken into consideration in the amendment of the existing policy/law or in the formulation of future urban policy or legislation. Please specify lessons learned for each stage of the process (formulation, adoption, implementation, etc.). How have these lessons been documented and disseminated and to what extent have they been incorporated in other initiatives, action plans, policies, laws and regulations?

FURTHER CHALLENGES

Describe any anticipated challenges to effective implementation based on changes in situation or context

19. RECOMMENDATIONS

- proposed amendments to the policy/law
- proposed amendments to other relevant policies/laws
- other recommendations (e.g., proposed institutional changes, proposals to improve inter-agency coordination, etc)

20. GOOD PRACTICES

- What good practices have resulted from policy/legislation?
- What good practicesinspired the making of the policy/legislation?
- What other laws/policies influenced the formulation of this law/policy?

21. OTHER IMPLICATIONS

Please provide a brief description of any other implications of the policy/law, including unforeseen effects, necessity to adopt other policies/laws or by-laws or standards etc.

22. AUTHOR OF THE SUBMISSION

Please provide the name and contact address of the person/organisation submitting the policy/law.

23. CONTACT NAME AND ADDRESS OF STAKEHOLDERS INVOLVED IN THE REVIEW OF THE SUBMISSION

Please provide the names and addresses of people/organisations that have reviewed this submission.

24. CONTACT NAMES AND ADDRESSES OF PEOPLE/ORGANISATIONS INVOLVED IN THE VARIOUS STAGES OF THE PROCESS

Please provide the name and contact address (including ohone, fax email) of the organizations that could be contacted for additional information on:

- The substance and interpretation of the policy/law
- The implementation and enforcement of the policy/law

- The monitoring and evaluation of the policy/law

ANNEX 5: Catalogue of Tools and Methods in Support of Sustainable Urbanisation: Survey questionnaire (Sample)

1. **Name or Title of the tool:** Participatory assessment of urban policies and legislation
2. **Please provide a brief description (50 words or less) of the tool.**

The tool is a participatory four-stage methodology for reviewing and assessing policy and legislation, involving a spectrum of stakeholders. It includes a reporting format for documenting policies/legislation, and a checklist and criteria for selection and assessment.

3. **Please underline applicable keyword/s in questions 3-6, that best describe the tool:**

Domains	**Sectors**
Social/cultural	Advocacy, information and partnerships
Economic	Land and housing
Environmental	Planning, governance and management
Public policy	Infrastructure and basic services
Technology	Urban/municipal finance
Other (please specify)	

4. **Who is the intended end-user/beneficiary of the tool?**
   - National Government
   - Regional Government
   - Local government
   - Other public authority institution/utility (please specify)
   - Private sector
   - Civil society
   - Professional/managerial
   - Other (please specify)

5. **What is the intended outcome/result of applying the tool?**
   - Policy development/dialogue/change
   - Decision making/management
   - Capacity building
   - Institutional reform
   - Performance enhancement

- Investment programming
- Awareness/advocacy
- Other (please specify)

6. (i) How is the tool administered/applied?

- Self-administered
- Self-administered with training/guidance
- Expert administered
- Other (please specify)

ii) What are the key steps involved in applying the tool?

Step 1: Mobilising key stakeholders' commitment to a participatory assessment of a given policy/law

Step 2: Unpacking the policy/law by a group of national/local experts resulting in a concise version in readily accessible and understandable language of the original intent, key provisions and scope of the policy/law.

Step 3: Review (SWOT analysis) by key stakeholders of the effectiveness of the policy/law and public hearings/discussions of what measures need to be taken to render the policy/law more effective.

Step 4: Presentation by key stakeholders of the outcome to local leaders, parliamentarians, national leaders, as appropriate

7. Who developed the tool, and who owns/is repository of the tool?

Name, address, telephone, email

UN-Habitat, Best Practices and Local Leadership Programme

P.O. Box 30030, Nairobi, Kenya ; 254-20-7623342

Wandia.Seaforth@unhabitat.org

bestpractices@unhabitat.org,

8. Where and when was the tool tested and applied and who was the client?

Tool was applied in nine countries in Africa, Asia and Latin America to assess the adequacy of existing policies and legislation in the areas of decentralisation and local governance, access to basic services (health), urban and regional planning, slum upgrading and regularisation of informal settlements.

9. What was the estimated cost of applying the tool? (work months, resources, or US dollar equivalent)

In 2005, the application of the tool to one policy/law, involved approximately $35,000 in cash and $25,000 in-kind or a total of $60,000 per country/context. Estimated cost today would be approximately $100,000. This was a pilot test and the institutions involved contributed significantly in kind – time, expertise, institutional infrastructure etc.

10. How much time did it take to obtain the intended results and what were the results of the application?

On average, the tool required minimum 6 months from start to finish. Results obtained: a user friendly description of the law/policy, including information on gaps, duplications and conflicts; implementation challenges and consensus/conflict among stakeholders on the efficacy of the law/policy. Higher level results on how the nine countries have used the results have not been systematically collated. Two known results are: the Philippines Local Government Academy uses the resulting documentation and knowledge for training local government officials.

11. What, in your view, are the strengths and weaknesses of the tool?

The tool is cost effective and participatory. It involves local stakeholders in a participatory process of assessing the adequacy of the law or policy in responding to the MDGs. One of the value-added outcomes is the unpacking of complex laws and policies that enable all stakeholders to understand the original intent and the scope of the law/policy. Another outcome is the involvement of stakeholders in identifying the impediments (institutional, capacity, etc.) to the full application or enforcement of the law/policy. It is useful for intra/inter-institutional dialogue. The principles and steps can be applied in formulation of new policies/laws.

12. When was the last time the tool was revised or updated?

In 2005 it was applied in Brazil, Colombia, Peru, Mexico, Burkina Faso, Senegal, Tanzania, Uganda, Philippines; and updated based on feedback received.

13. Is the tool readily available?

- **In printed form:** yes
- **In electronic form:** yes
- **On-line:** yes at www.unhabitat.org/wuc
- **Free** yes
- **If available for a fee, please provide relevant information**

What are the key issues/challenges addressed by the tool? What motivated the development of the tool?

Laws and policies are often couched in legal jargon and refer to many other laws/policies that make it very confusing for the general public to understand. Over time, various stakeholders refer to very specific provisions of the law and tend to lose sight of the original intent and scope of the law. Also impediments to application and enforcement are rarely identified and documented to provide feedback to follow-up measures such as capacity building to make the law/policy truly effective.

14. (Optional)

Please provide the name and address of a client who can give feedback on the tool:

The Principal, Local Government Academy

8th and 9th Floors Agustin I Bldg., F. Ortigas Jr. Road *(formerly Emerald Avenue)*

Ortigas Center, Pasig City, 1601, Philippines

Telephone: 633-6134/ 637-1672/ 634-6416/ 638-9649, 634-1881 to 83

ANNEX D – LIST OF WORKING GROUPS PARTICIPANTS

GROUP 1: RESOURCE MOBILIZATION STRATEGY,

Ismael Fernandez Mejia, ISOCARP

Philip Karp, World Bank Institute

Sein-Way Tan, Green World City Organization

GROUP 2: MONITORING AND EVALUATION,

Martha Patricia Herrera Gonzalez, CEMEX

Sri Husnaini Sofjan, Huairou Commission

GROUP 3: COMMUNICATIONS AND OUTREACH STRATEGY

Cemil Giray Alyanak, mondofragilis group

Davina Jackson, D-City

Farley Peters, Citiestates Group

Gopalan Prema Huairou Commission

Martha Patricia Herrera Gonzalez, CEMEX

Neal Peirce, Citiestates Group

Philip Karp, World Bank Institute

Pressgroup

Sein-Way Tan, Green World City Organization

Theo Schilderman, Practical Action

Toby Johnson, Telecommunication Standardization Bureau

GROUP 4: THE 100 CITIES SUMMIT

Ana Marie Argilagos, HUD

Don Chen, Ford Foundation

Cecil Steward, Joslyn Castle Institute for Sustainable Community

Cedric Baecher, Nomadeis-France

Eugene Birch, Penn IUR

Helena Molin Valdes, UNISDR

Iris Gust, Commission on Cities and Climate Change

Khady Diagne, ENDA Tiers Mondes

Nicholas You, Strategic Planning & Knowledge Management for Sustainable Development

Pablo Vaggione, ISOCARP

Philip Karl, World Bank Institute

Prema Gopalan, Huairou Commission

Sein-Way Tan, Green World City Organization

Sofian Sri Husnaini, Huairou Commission

Vicente Carbona, Pressgroup

GROUP 5: CATALOGUE OF TOOLS AND METHODS

Ana Marie Argilagos, U.S. Department of Housing and Urban Development

Christian Kornevall, WBCSD

Christine Platt, Commonwealth Association of Planners

Dominique Héron, Veolia Environnement

Don Chen, Ford Foundation

Eugenie L. Birch Penn IUR University of Pennsylvania

Luigi Fusco Girard, University Naples, Italy

Mansha Chen World Bank Institute

Omri Stern, Zerofootprint

Pablo Vaggione ISOCARP

Patrick Lau, Asian Habitat Society

W. Cecil Steward Joslyn Castle Institute for Sustainable Communities

GROUP 6: GLOBAL OBSERVATORY OF GOOD POLICIES AND ENABLING LEGISLATION

Gopalan Prema Huairou Commission

Iris Gust World Future Council

Jerko Rosin GPH

Jin Sook Lee Building and Woodworkers International

Louise Cox International Union of Architects

Ramin Keivani, Oxford Brookes University

Theo Schilderman, Practical Action

ANNEX E – LIST OF WORKING GROUPS PARTICIPANTS AT 5th SCM

GROUP 1: RESOURCE MOBILIZATION STRATEGY, MONITORING AND EVALUATION, OUTREACH AND COMMUNICATIONS STRATEGY

Charlito Sarias Ayco, Habitat for Humanity

Davina Jackson, D-City

Farley Peters, Citiestates Group

Gerald Gietzen, Lafarge

Gregory Scruggs, Penn Institute for Urban Research

Ismael Fernandez Mejia, ISOCARP (Chair)

Martha Patricia Herrera Gonzalez, CEMEX

Mohamed Halfani, UN-HABITAT

Neal Peirce, Citiestates Group

Nie Meisheng, CRECC

Philip Karp, World Bank Institute

Sara Candiracci, UN-HABITAT

Sein-Way Tan, Green World City Organization

Sri Husnaini Sofjan, Huairou Commission

GROUP 2: TOOLS AND METHODS

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Christine Platt, Commonwealth Association of Planners (Chair)

Dominique Héron, Veolia Environnement

Don Chen, Ford Foundation

Eugenie L. Birch Penn IUR University of Pennsylvania

Luigi Fusco Girard, University Naples, Italy

Mansha Chen World Bank Institute

Omri Stern, Zerofootprint

Pablo Vaggione ISOCARP

Patrick Lau, Asian Habitat Society

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GROUP 3: GLOBAL OBSERVATORY OF GOOD POLICIES AND ENABLING LEGISLATION

Bernard Barth, UN-HABITAT

Gopalan Prema Huairou Commission

Iris Gust World Future Council

Jerko Rosin GPH

Jin Sook Lee Building and Woodworkers International

Laura Petrella, UN-HABITAT

Louise Cox International Union of Architects

Ramin Keivani, Oxford Brookes University (Chair)

Theo Schilderman, Practical Action

ANNEX F – SUGGESTED FRAMEWORK FOR THE WORLD URBAN CAMPAIGN COMMUNICATION STRATEGY (2011-2013)

A. BACKGROUND

The World Urban Campaign is a global coalition of public, private and civil society partners united by the common desire to promote sustainable urbanization policies, strategies and practices.

Launched in Rio de Janeiro at the fifth Session of the World Urban Forum in March 2010, the campaign is coordinated by UN-HABITAT and governed by a Steering Committee of partners.

UN-HABITAT, the United Nations agency for human settlements, helps the urban poor by transforming cities into safer, healthier, greener places with better opportunities where everyone can live in dignity. UN-HABITAT works with organizations at every level, including all spheres of government, civil society and the private sector to help build, manage, plan and finance sustainable urban development. Our vision is cities without slums that are livable places for all, which do not pollute the environment or deplete natural resources.

At the dawn of a new urban era, with most of humanity now living in cities, UN-HABITAT is at the frontline of the battle against fast growing urban poverty and the scourge of climate change that is caused by poorly planned urbanisation and threatens the lives and livelihoods of entire cities and communities. As the United Nations gateway for cities, UN-HABITAT is constantly improving its focus and responsiveness to the aspirations of cities and their residents. Our flagship publications are widely acknowledged as premier works of reference on the built environment, city trends and urban issues. At the same time, UN-HABITAT works with hundreds of cities and communities around the world to achieve tangible improvements in the living conditions and livelihoods of the urban poor. A key area of focus is in supporting the efforts of governments and of civil society in attaining the Millennium Development Goals on water and sanitation in urban areas and slum upgrading.

The World Urban Campaign is a new tool in this quest and it seeks to ensure that the world stays alert to the problems of rapid urbanization and all its ramifications, especially in the developing countries. The campaign is also intended to promote learning from one another and gain insight into what works well for our future in a world that is irreversibly growing more and more urban. And it is intended to keep us alert on urban matters.

The primary target of the campaign must be cities, even though they are like complex organisms which no single social or political entry can claim to represent in their entirety. For this reason, the campaign needs a strategy – or a vehicle – that can reach out to a broad cross-section of society.

It is important to remember that the campaign will live or die by the language in which its messages are communicated.

World Urban Campaign partners represent the main principal Habitat Agenda partners (see Annex I) and a broad cross-section of society in general.

Our partners seek to campaign for these **goals**:

- To **unite**: convince public, private and social stakeholders that investing in creative, resilient and sustainable cities and communities is essential to our future.
- To **enable**: provide the necessary tools to achieve creative, resilient and sustainable cities and communities.
- To **measure**: establish benchmarks, monitor progress and share knowledge worldwide.
- To **connect**: create synergies and lasting linkages between stakeholders and facilitate the coherent and strategic coordination of partners.

This document was tabled at the 4th session of the campaign Steering Committee. Held in Alicante, Spain, in May 2010, the meeting sought to develop guidelines for campaign partners to work together on a **joint communication strategy aimed at**:

- Raising the visibility of the campaign, both at country and global levels, to enhance public awareness and understanding of sustainable urbanization trends and issues;
- Facilitating a continuous and systematic process of sharing information on partners' activities in support of the campaign and of the *Paris principles* in particular;
- Developing and sharing promotional materials, outreach strategies and monitoring/feedback mechanisms.

B. PRINCIPLES AND OBJECTIVES

Principles of the campaign communications strategy

The principles that underscore the communication strategy are:

a) Build on and engage the existing constituencies which are said to number some 20 million who include policy makers, professionals, academics and researchers, and members of the grass roots and civil society organizations.

b) Reinforce, at all times, the goals and principles adopted at the Paris steering committee meeting, henceforth referred to as the *Paris Principles*.

c) Build on and add value to the existing core activities of the campaign.

Sustainable urbanization is understood by all WUC partners as a process which promotes an integrated, gender-sensitive and pro-poor approach to the social, economic and environmental pillars of sustainability. Let's call it smart urbanization. Thus the communication strategy based on the *Paris Principles*, should include:

- Accessible and pro-poor land, adequate housing, infrastructure, services, mobility;
- Socially inclusive, multi-cultural, gender sensitive, healthy and safe development;
- Environmentally sound and energy efficient built environments;
- Consulting ordinary people and their communities in planning and decisions;

- Vibrant, resilient and competitive local economies promoting decent work and livelihoods;
- Conditions of non-discrimination and equitable rights to the city; and
- Governance structures that will empower cities and communities to plan for effectively manage adversity, resilience and change.

The Target Audience

The campaign can best succeed if is clear about its target audience, and tailors its messages accordingly. It cannot address all audiences at the same time. To do so would spread resources so thinly as to risk very limited impact.

It is therefore proposed that the campaign set annual targets for its message aimed at a wide audience of Parliamentarians, local authorities, professionals, academia and research, civil society, the private sector; women and youth, the donor community, international, regional, national policy making bodies, the media and the public.

The provision of accurate data and information are key components of the strategy.

Message Development

The campaign will live or die by its messages, and the way they are communicated. As a general rule, messages must be clear, crisp, and assertive so as to contribute to a positive vision of urbanization and show that action can and should be taken. Each needs to be tailored to its language group or cultural and national context.

The messages should project optimism in community development with regard to sustainable urbanization and its potential for stimulating economic growth, enhancing social inclusion and protecting the environment.

No single message can interest all target groups, but they should be broad enough to include elements that galvanize multiple groups. However, they should not be so broad as to become meaningless. Each campaign partner may propose key messages more relevant to their areas of priorities, and to the target group on whom they focus. The messages should be examined in terms of their significance and timing, the target audience, the values conveyed and the action required.

UN-HABITAT themes and key messages developed around the various international days and events (i.e., World Habitat Day and World Urban Forum) should always take the campaign into account. Those involved should always consult the communications advisory group if in doubt about a message.

Leveraging resources with partners and using existing outreach mechanisms

The communication activities must utilize and build upon partnerships. After all, the wide range of campaign partners represents a gold mine of expertise, experience and resources.

In the implementation of the Communication Strategy, the campaign will regularly look for opportunities to collaborate directly with partners so as to leverage resources and add value. One example is the way in which the campaign organized its logo competition. Over 100 design professionals, design schools and design studios from over 40 countries participated in the logo competition. This enabled the campaign to engage a constituency not represented thus far on its steering committee. The cost of the competition was no more than the cost of contracting a professional design studio to come up with a logo.

This same principle should be applied to most if not all communication products whereby one or more partners are enabled to mobilize resources that are used in such a way as to expand the circle of interest and engagement.

Another key communications area is the numerous congresses, conferences, seminars, workshops and other special events that partners are organizing on a recurrent or ad hoc basis. These, according to a guest estimate total some 10 events a year (see Annex II).

In conclusion, the campaign should avoid inventing new means of communication, especially where these already exist. This implies making maximum use of existing newsletters; existing recurrent reports and publications; existing web-pages, blogs and social spaces; and existing advertising campaigns.

Monitoring & Feedback

To assess the effectiveness of their communication, monitoring tools and strategies should be adopted by all partners. Monitoring will enable campaign groups to assess response and to chart future directions wisely.

Indicators of progress in meeting the objectives of the communication strategy will be both quantitative and qualitative. It is proposed that the first step involve a compilation and analysis of the monitoring tools and methods that are already being used by partners and to build on that knowledge to develop a menu of options for partners to apply and work towards a unified reporting system.

A unique opportunity for obtaining feedback is provided by the numerous events that are organized by partners. Other indicators would include, most notably, increases in levels of participation of partners/stakeholders with the WUC; increases in number of new partners and contacts; recognition given to WUC in other venues and media vehicles; sustained and increased levels of financial support from partners.

Feedback and comments shall be synthesized annually in the WUC's management reports and be treated as a vital input to its learning and innovation process in delivering the overall corporate objectives.

C. IMPLEMENTING THE STRATEGY

Immediate follow-up actions

- Identify a communication "point person[3]" to be part of the campaign Communication Working Group.
- Identify ways to contribute to the Strategy – it is up to each partner to determine its own goals, resources, and interest in this shared WUC communication process.

Set up a communications working group

To put this strategy into operation, a campaign Communication Working Group of the 'point persons' can help formulate priorities for a joint action plan each year, outlining major events, deciding on core messages and the materials required. They can devise an annual target plan and budget, help monitor progress, and advise on new ways forward.

ANNEXES

Annex I: The World Urban Campaign Partners

[3] Each WUC partner will select a communication "point person", with responsibility for making sure that information, knowledge, and experience within the organization is sent on a regular basis to the WUC Secretariat, so that it can be shared among colleagues. This might entail sending brief regular updates to the WUC Secretariat on what people are working on, and what SUD efforts are underway.

Annex II: A sample of Events Calendar of WUC Partners

WUC Partners	Title of Event	Date	Links
International Telecommunications Union (ITU)	ITU Plenipotentiary Conference 2010	04 - 22 Nov 2010, Guadalajara, Mexico	http://www.itu.int/plenipotentiary/2010/index.html
United Cities and Local Governments (UCLG)	3rd UCLG World Congress	17 - 20 Nov 2010, Mexico City, Mexico	http://www.uclgcongress.com/
Metropolis	Metropolis World Congress	04 - 07 Apr 2011, Cairo, Egypt	http://www.metropolis.org/meetings/cairo-2011
International Union of Architects (UIA)	24th UIA World Congress of Architecture	25 Sept - 1 Oct 2011, Tokyo, Japan	http://www.uia-architectes.org/texte/england/Congress/Tokyo2011/2sommaire.html

ANNEX G – DRAFT WORLD URBAN CAMPAIGN WORK-PLAN

SEE EXCEL FILE