

# *Urban Indicators Guidelines*

*“Better Information, Better Cities”*

*Monitoring the Habitat Agenda and the  
Millennium Development Goals- Slums Target*

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# Part I: The MDG and Habitat Agenda Urban Indicators

## Why MDG and Habitat Agenda Urban Indicators?

The Millennium Development Goals (MDG) adopted by the UN member states in the year 2000 are broad goals for the entire world. They address essential dimensions of poverty and their effects on people's lives attacking pressing issues related to poverty reduction, health, gender equality, education and environmental sustainability. By accepting these goals, the international community has made a commitment to the world's poor, the most vulnerable, in precise terms, established in quantitative targets.

In order to assist Member States realize the eight goals of the Millennium Declaration, the United Nations System has set numerical targets for each goal. Further, it has selected appropriate indicators to monitor progress on the goals and attain corresponding targets. A list of 18 targets and more than 40 indicators corresponding to these goals ensure a common assessment and appreciation of the status of MDGs at global, national and local levels.

The United Nations System assigned UN-HABITAT the responsibility to assist Members States monitor and gradually attain the "Cities without Slum" Target, also known as "[Target 11](#)." One of the three targets of Goal 7 "Ensure Environmental Sustainability," [Target 11](#) is: "*By 2020, to have achieved a significant improvement in the lives of at least 100 millions slum dwellers*". However the revised version of the MDG monitoring framework, made effective January 2008, renumbered Target 11 as Target 7D.

The Slum Target is only a piece of the larger development framework. Improving the lives of slum dwellers will be achieved by considering the overall picture. The Slum Target deals more specifically with the issue of slums and the improvement of the lives of slum dwellers. However, in order to face the challenge of slum dwellers, one needs to consider the other facets of the problem through the other goals and targets. The conditions of slum dwellers will not improve worldwide if no action is taken in order to eradicate poverty and hunger (goal 1), to reduce child mortality (goal 4), combat HIV-AIDS (goal 6) and develop a partnership for development Official development assistance (goal 8).

That is why UN-HABITAT has adopted a more holistic approach by integrating the Habitat Agenda (HA) indicators in the overall MDG framework. The Habitat Agenda indicators have been developed on the basis of the Habitat Agenda and on Resolutions 15/6 and 17/1 of the United Nations Commission on Human Settlements. They comprise of 19 indicators which measure performances and trends in selected key areas of the Habitat Agenda. ([list of indicators is provided on page 6](#)). Together, they should provide a quantitative, comparative base for the condition of cities, and show progress towards achieving the Habitat Agenda.

## Towards a Global Urban Indicators Database III

UN-HABITAT has been a pioneer organization in the collection of urban indicators. In 1991, it initiated the Housing Indicators Programme, focusing on monitoring shelter performances. It then became Urban Indicators Programme in 1993 in order to focus on a larger range of urban issues. The programme produced two main databases in 1996 and 2001 (Global Urban Indicators Databases I and II), presented at the Habitat II Conference and the Istanbul +5 which helped establishing regional trends in key urban issues. In the Habitat Agenda (result of the 1996 Habitat II Conference) , Member

States and the Habitat Agenda Partners have requested that UN-HABITAT continue monitoring urban conditions worldwide. They have also committed themselves to monitor their own urban conditions overtime and report on their trends regularly. The Global Urban Indicators Database produced in 2003 and updated annually addresses the Habitat Agenda key issues, with a specific focus on the Millennium Development Goals, particularly, its Target 7D on the improvement of slum dwellers.

For this new phase, data will be collected through different mechanisms. For the Africa Region, workshops will be held in order to gather experts to agree on key results for the region using a sample of urban agglomerations. Data experts will be selected from National Statistics Offices, Ministries responsible for urban issues at the National level, Municipal and Metropolitan authorities representing urban agglomerations.

## The data collection process

It is expected that data collection and analysis be a collaborative effort between National Statistics Offices, Ministries responsible for urban issues, City and Metropolitan authorities and the Research community. Some results can be completed solely by reference to secondary materials. Others will require consultation with small group of experts. Also, it is vital to get knowledgeable experts to interpret the data and provide their most informed judgment on the values of the indicators.

The experience with the indicators programme to date has demonstrated that in order to obtain good data:

- Highly qualified experts and officials in each country need to be consulted for the collection and estimation of the indicators; small groups of experts should be gathered in the different specialised areas (tenure, shelter, environment, governance, etc)
- These experts should be in direct communication with UN-HABITAT when necessary, and work should be reviewed and commented on at different stages.

## 4. Sources and accuracy

The suggestions given vary between using “hard” data, i.e. published data which is desirable but not readily available for all indicators, and using “soft” data, i.e. indirect evidence or the informed opinion of experts. The preferred option should always be to use published data (adjusted for year, definition, etc.) whenever it is available and recent enough. For all data collected, the guiding principles are that it should be the best available, the latest available, and that it should be fully documented. When possible, it is better to provide the original tables and data sources used for the calculation and estimates.

## 5. Area of reference

For city level data, the standard area of reference is the urban agglomeration. When data for the Urban Agglomeration is not available, data for the Metropolitan Area might be used. This should be indicated in a note page attached to the results. However, using the city proper as an area of reference is not suitable as it does not represent the total built-up area of the city.

### 5.1 Definitions

*The **urban agglomeration** is defined as the built-up or densely populated area containing the city proper; suburbs, and continuously settled commuter areas. This may be smaller or larger than the metropolitan area. Other similar UN definition: Comprises a city or town proper and the suburban fringe or thickly settled territory lying outside, but adjacent to, its boundaries. A single large urban agglomeration may comprise several cities or towns and their suburban fringes<sup>1</sup>*

*The **metropolitan area** is the set of formal local government areas which are normally taken to comprise the urban area as a whole and its primary commuter areas.*

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<sup>1</sup> United Nations. 1998. Principles and Recommendations for Population and Housing Censuses.

The **city proper** is the single political jurisdiction which contains the historical city centre.

## 5.2 Reasons for using the urban agglomeration

Countries have different definitions of cities and we need to have comparable areas of reference to be able to make international comparisons;

Our interest is to analyse cities as a whole that is the built-up area comprising the city center and the suburbs forming a continuous settlement that may be called the city (we called it the urban agglomeration);

In many cases (typical: Paris - region Ile de France), the metropolitan area is larger than the built-up settlement and comprise rural parts with very low density settlements that cannot be qualified as part of an urban settlement;

In some cases (typical: Australian cities), the metropolitan area is smaller than the actual urban agglomeration. It has been defined administratively very long time ago and since that time, the urban settlement has spread beyond the metropolitan border.

## 5.3 Challenges

The urban agglomeration, although defined by UNSD for reporting on cities (*World Urbanisation Prospect*: reports on total population and growth rate of urban agglomerations of 750 k and more), is not often used by cities for urban aggregates;

Cities rely mostly on data at different levels which vary according to each country's geographical administrative divisions: municipalities (ex: municipal budget data, birth, death records, etc), districts (police records, etc), metropolitan areas (transport data), enumeration areas (Census) and others linked to administrative divisions. The challenge is to aggregate data from the different types of areas. Municipalities and enumeration areas are used by all countries. Their size vary though (Madras has more than 20 municipalities, some cities have only 2 or 3);

For the data collectors, most important is the task consisting in deciding on what will be the most convenient and reliable area for the urban agglomeration in order to be able to assemble the requested indicators.

## 5.4 How to define the urban agglomeration's boundaries

### 5.4.1 Obtain the following maps:

- Map of the different administrative boundaries (municipalities, districts, agglomeration, etc.);
- Map of the Census divisions (enumeration areas or higher level subdivisions);
- Maps, aerial photographs or satellite images representing the built-up area;
- Other technical maps in use for the city.

### 5.4.2 Identify the urban agglomeration area

Identify with a group of urban experts what is meant to be the urban agglomeration area. Criteria may include the following:

- Minimum density to be considered for *built-up or densely populated area*.
- Minimum size of the urban land and distance between urban lands to be considered as part of the same continuous settlement. A rule recommended by the United Nations and used by a number of members states is that areas of urban land of 20 or more hectares that are less than 200 metres apart are linked to form a continuous urban area;
- Minimum functional relations of the urban land to the city. Some free-standing settlements may be lying outside the urban area together with tracts of surrounding rural land. However, they may functionally depend of the urban areas in terms of employment and services. Also, they may be well connected by good road and transportation system to the main urban area because of that functional relation.

### 5.4.3 Select the enumeration areas

Select the enumeration areas or higher level subdivisions used for the Census which, together, form the urban agglomeration area (UAA). This selection will be used to aggregate all selected data for the UAA.

## List of Habitat Agenda Indicators

Chapter/ Goals	Indicators
<b>1. Shelter</b>	
<b>Goal 1:</b> Promote the right to adequate housing	<b>Indicator 1.1: durable structures</b> <b>Indicator 1.2: overcrowding</b> <b>Indicator 1.3: housing price and rent-to-income</b> <b>Indicator 1.4<sup>2</sup>: right to adequate housing</b>
<b>Goal 2:</b> Provide security of tenure	<b>Indicator 1.5: secure tenure</b> <b>Indicator 1.6: authorized housing</b> <b>Indicator 1.7: evictions</b>
<b>Goal 3:</b> Provide equal access to credit	<b>Indicator 1.8<sup>2</sup>: housing finance</b>
<b>Goal 4:</b> Provide equal access to land	<b>Indicator 1.9: land price-to-income</b>
<b>Goal 5:</b> Promote access to basic services	<b>Indicator 1.10: access to safe water</b> <b>Indicator 1.11: access to improved sanitation</b> <b>Indicator 1.12: connection to services</b>
<b>2. Social development and eradication of poverty</b>	
<b>Goal 6:</b> Provide equal opportunities for a safe and healthy life	<b>Indicator 2.1: under-five mortality</b> <b>Indicator 2.2: homicides</b> <b>Indicator 2.4: HIV prevalence</b> <b>Indicator 2.3<sup>2</sup>: urban violence</b>
<b>Goal 7:</b> Promote social integration and support disadvantaged groups	<b>Indicator 2.5: poor households</b>
<b>Goal 8:</b> Promote gender equality in human settlements development	<b>Indicator 2.6: literacy rates</b> <b>Indicator 2.7: school enrolment</b> <b>Indicator 2.8: women councilors</b> <b>Indicator 2.9<sup>2</sup>: gender inclusion</b>
<b>3. Environmental Management</b>	
<b>Goal 9:</b> Promote geographically-balanced settlement structures	<b>Indicator 3.1: urban population growth</b> <b>Indicator 3.2: planned settlements</b>
<b>Goal 10:</b> Manage supply and demand for water in an effective manner	<b>Indicator 3.3: price of water</b> <b>Indicator 3.4: water consumption</b>
<b>Goal 11:</b> Reduce urban pollution	<b>Indicator 3.5: wastewater treated</b> <b>Indicator 3.6: solid waste disposal</b> <b>Indicator 3.7: regular solid waste collection</b>
<b>Goal 12:</b> Prevent disasters and rebuild settlements	<b>Indicator 3.8: houses in hazardous locations</b> <b>Indicator 3.9<sup>2</sup>: disaster prevention and mitigation instruments</b>
<b>Goal 13:</b> Promote effective and environmentally sound transportation systems	<b>Indicator 3.10: travel time</b> <b>Indicator 3.11: transport modes</b>

<sup>2</sup> This indicator gives an assessment of areas which cannot be easily measured quantitatively. They are audit questions generally consisting of checkboxes for yes or no answers.

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**Goal 14:** Support mechanisms to prepare and implement local environmental plans and local Agenda 21 initiatives *Indicator 3.12<sup>2</sup>: local environmental plans*

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## 4. Economic Development

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**Goal 15:** Strengthen small and micro-enterprises, particularly those developed by women *Indicator 4.1: informal employment*

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**Goal 16:** Encourage public-private sector partnership and stimulate productive employment opportunities *Indicator 4.2: city product*  
*Indicator 4.3: unemployment*

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## 5. Governance

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**Goal 17:** Promote decentralisation and strengthen local authorities *Indicator 5.1: local government revenue*  
*Indicator 5.2: decentralization*

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**Goal 18:** Encourage and support participation and civic engagement *Indicator 5.3: voters participation*  
*Indicator 5.4: civic associations*  
*Indicator 5.5<sup>2</sup>: citizens participation*

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**Goal 19:** Ensure transparent, accountable and efficient governance of towns, cities and metropolitan areas *Indicator 5.6<sup>2</sup>: transparency and accountability*

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## The Millennium Development Goal- Slum Target

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**Goal 7:** Ensure environmental sustainability *Target 7D : By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers*

*Indicator 7.10: Proportion of urban population living in slums*

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## Chapter 1: Shelter

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**Goal 1:** Promote the right to adequate housing

**Indicator 1.1: durable structures**  
**Indicator 1.2: overcrowding**  
**Indicator 1.3: housing price and rent-to-income**  
**Indicator 1.4: right to adequate housing**

**Goal 2:** Provide security of tenure

**Indicator 1.5: secure tenure**  
**Indicator 1.6: authorized housing**  
**Indicator 1.7: evictions**

**Goal 3:** Provide equal access to credit

**Indicator 1.8: housing finance**

**Goal 4:** Provide equal access to land

**Indicator 1.9: land price-to-income**

**Goal 5:** Promote access to basic services

**Indicator 1.10: access to safe water**  
**Indicator 1.11: access to improved sanitation**  
**Indicator 1.12: connection to services**

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### Indicator 1.1: Durable structures

*Habitat Agenda Goal 1: Promote the right to adequate housing*

#### **Rationale:**

Households which live in slums usually occupy non durable dwelling units that expose them to high morbidity and then mortality risks. Durable structures is part of the five key components of the agreed definition of slum<sup>3</sup>.

Generally, a housing structure is considered durable when certain strong building materials are used for roof, walls and floor. Even though some houses may be built with materials classified as durable, the dwellers may still not enjoy adequate protection against weather and climate due to the overall state of a dwelling. Alternatively, a material may not look durable, in the modern sense, but is, in the traditional sense, when combined with skills of repair. Such cases are vernacular housing made of natural materials in villages, maintained by its residents annually.

#### **Definition:**

**Proportion of households living in a housing unit considered as 'durable', i.e. built on a non-hazardous location and has a structure permanent and adequate enough to protect its inhabitants from the extremes of climatic conditions such as rain, heat, cold, humidity.**

The following locations should be considered as hazardous:

- Housing settled in geologically hazardous zones (landslide/earthquake and flood areas);
- Housing settled on garbage-mountains;
- Housing around high-industrial pollution areas;
- Housing around other high-risk zones, e.g. railroads, airports, energy transmission lines.

The following durability factors should be considered when categorizing housing units:

- Quality of construction (e.g. materials used for wall, floor and roof);
- Compliance with local building codes, standards and bye-laws.

#### **Methodology:**

##### **Data collection and sources:**

Data sources are mainly household surveys and censuses.

##### **Computation:**

The number of households living in a house considered as 'durable' should be divided by the number of households.

#### **Gender:**

Households headed by women tend to have lower incomes and are therefore more likely to lack durable dwellings to accommodate all the members. Divorced, separated or widowed women are more likely to head household with their children with limited resources for home improvement. In certain situation, they become homeless.

#### **Comments and limitations :**

Data on houses built on hazardous locations is difficult to collect and is not available for most countries. Therefore the result for this indicator is mostly based on the permanency of structures,

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<sup>3</sup> UN-HABITAT, Expert Group Meeting on 'Defining Slums and Secure Tenure', Nairobi, November 2002

looking at the quality of materials used for dwellings. Durability of building materials is to a very large extent subject to local conditions as well as to local construction and maintenance traditions and skills. Which materials are considered durable under local conditions has to be determined by local experts. This is also true for the common problem that dwellings in the semi-urban outskirts of cities of developing countries often follow rural construction patterns by using materials, which can be considered non-durable under urban conditions. In addition, compliance with local regulations and the quality of the location form part of the definition. These two indicators cannot be easily observed as they require specific knowledge about the legal condition and the land use plan as well as skills to determine hazardous areas.

**Level:** City, national urban

## Indicator 1.2: Overcrowding

*Habitat Agenda Goal 1: Promote the right to adequate housing*

**Rationale:** This is an indicator measuring the adequacy of the basic human need for shelter. Reduced space per person is often associated with certain categories of health risks and therefore considered as a key criteria to define the slum. Overcrowding is associated with a low number of square meters per person, high occupancy rates - number of persons sharing one room - and a high number of single room units. Examples of slums worldwide show that dwelling units are often overcrowded with five and more persons sharing a one-room unit used for cooking, sleeping, and other households activities. Several local definitions of slums include minimum thresholds concerning the size of the area, the number of structures in a settlement cluster, the number of households or people or the density of dwellings units in an area. Examples are the municipal slum definition of Kolkata with a minimum of 700 sq. m. occupied by huts, Bangkok with a minimum of 15 dwelling units per rai (1600 sq. m.) or the Indian Census definition with at least 300 people or 60 households living in a settlement cluster.<sup>4</sup> This indicator is part of the five key components of the agreed definition of slum<sup>4</sup>.

**Definition:** **Proportion of households with more than three persons per room.**  
A house is considered to provide a sufficient living area for the household members if three or less people share the same room.

**Methodology:** **Data collection and sources:**  
Data sources are mainly from censuses or household surveys. A room is defined as a space in a housing unit or other living quarters enclosed by walls reaching the floor to the ceiling or roof covering, or to a height of at least two meters, of an area large enough to hold a bed for an adult, that is at least four square meters. The total number of types of rooms therefore includes bedrooms, dining rooms, living rooms, studies, habitable attics, servants room, kitchen and other separate spaces intended for dwelling purposes.  
**Computation:**  
The number of households with more than three persons per room should be divided by the number of households.

**Gender:** Households headed by women tend to have lower incomes and are therefore more likely to lack enough rooms to accommodate all the members. Divorced, separated or widowed women are more likely to head household with their children with limited resources for home improvement. In certain situation they become homeless.

**Comments and limitations :** Additional indicators of overcrowding can be used : average in-house living area per person or the number of households per area; the number of persons per bed or the number of children under five per room may also viable measures.

**Level:** City, national urban

## Indicator 1.3: Housing price and rent-to-income

*Habitat Agenda Goal 1: Promote the right to adequate housing*

<sup>4</sup> UN-HABITAT, Expert Group Meeting on 'Defining Slums and Secure Tenure', Nairobi, November 2002.

<b>Rationale:</b>	In a responsive and efficient housing market, the range of housing prices and rents have to be such that they respond to all sections of the population and reach the lowest segments. This indicator is based on the assumption that, for households, access to adequate housing means that housing expenditures do not take up an undue portion of their income. Housing price and rent to income ratio provide a good measure of housing affordability at the city level. They also convey the greatest amount of information on the overall performance of housing markets.
<b>Definition:</b>	<ul style="list-style-type: none"> <li>■ <b>Ratio of the median free-market price of a dwelling unit and the median annual household income, and;</b></li> <li>■ <b>Ratio of the median annual rent of a dwelling unit and the median annual household income of tenants.</b></li> </ul>
<b>Methodology:</b>	<p>This information is usually collected using several indirect sources collected through public housing boards, housing finance institutions, real-estate agencies, non-governmental organisations.</p> <p><b>Results should be obtained as per the following definitions and methods:</b></p> <p><b>Median housing price:</b> Housing price is defined as the price at which a house would sell if placed on the market for a reasonable length of time by a seller who is not under pressure to sell. The median-priced house in the urban area is that house which has 50% of the houses priced below it, and 50% of the houses priced above it. The calculation of the price of the median-priced house should, therefore include all housing, both new and old, and both formal and informal. If, for example, the majority of the housing stock is informal, and the informal housing stock is generally cheaper than the formal housing stock, then the median priced house will probably be an informal unit. For blocks of apartments or multiple-family dwellings which are usually sold as a single building, the value of one dwelling unit should be estimated as a pro rata share of the total sale price. This is particularly relevant for countries in Africa where the majority of housing is of this type.</p> <p><b>Median rent:</b> Rent should be contract rent or the amount paid for the property alone and not for utilities such as electricity, heating etc. If median rent data cannot be located, then an estimation procedure has to be used, with ranges of rents estimated separately for different categories such as public housing, controlled rents, one bedroom and two bedroom furnished and unfurnished apartments, and single family houses of different types. The median price will be part way up the price ranges of the median dwelling types.</p> <p><b>Median household income:</b> Household income is defined as the gross income from all sources, which include wages, salaries, incomes from businesses or informal sector activities, investment income, and where information is available, income in-kind such as consumption of agricultural produce which might have been sold.</p> <p>For the calculation of the rent to income ratio, incomes should be <b>median gross income of private and public renter households</b>. Where renter household income data do not exist, median income of all households can be used.</p>
<b>Gender:</b>	This indicator can address gender through disaggregation by sex of the household head. The question will be: how much would cost a median house for a female-headed household ? The result will use the same numerator than in the calculation explained above but will have a different denominator, being the median income of a female-headed household.
<b>Comments and limitations</b>	Given the fact that this indicator is based on median values (housing price and rent), it will only indicate the median situation. It will not inform about the range of different sub-markets and their extreme values. Other measures have to be carried out for this purpose, based on quintiles, looking at the top and bottom quintiles for instance and the difference between them.
<b>Level:</b>	City

## Indicator 1.4: Right to adequate housing

*Habitat Agenda Goal 1: Promote the right to adequate housing*

<b>Rationale:</b>	Since the adoption of the Universal Declaration of Human Rights in 1948, the right to adequate housing has been recognized as an important component of the right to an adequate standard of living. Part of the actions that Governments are committed to providing, in the matter of housing, that the law shall prohibit any discrimination and guarantee to all persons equal and effective protection against them. Also, by ratifying the International Covenant on Economic, Social and Cultural Rights (1966), one of the core international legal instruments, members of the United Nations, accept the most significant foundation of the right to housing. Article 11.1 of the Covenant declares that: <i>The States Parties to the present Covenant recognize the right of everyone to an adequate standard of</i>
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living for himself and his family, including adequate food, clothing and housing, and to the continuous improvement of living conditions.

**Definition:** Achievements of the right to adequate housing in the Constitution or National law for all citizen (questions below).

1. Has the country ratified the International Covenant on Economic, Social and Cultural Rights?  yes  no
- 2a. Does the Constitution or national law promote the full and progressive realisation of the right to adequate housing?  yes  no
- 2b. If yes, is this right mentioned as one to which everybody is entitled?  yes  no
- 2c. If yes, is this right mentioned for particular groups?  yes  no
- 2d. Which particular groups?
3. Are there any laws affecting the realization of the right to housing?  yes  no
4. Is the Constitution or national law promoting the full and progressive realisation of the right to adequate housing applied?  
 fully applied  
 applied with exceptions  
 applied in some cases  
 not applied
- 5a. Are there impediments to women owning land?  considerable  some  none
- 5b. Are there impediments to particular groups owning land?  considerable  some  none
- 5c. Which particular groups?
- 6a. Are there impediments to women inheriting land and housing?  considerable  some  none
- 6b. Are there impediments to particular groups inheriting land and housing?  considerable  some  none
- 6c. Which particular groups?

**Methodology:** This information should be verified in the Constitution or national law with some specialised Lawyers. Other information should be verified through groups of non-governmental organisations and community-based organisations. If possible, answers should be documented. Any notable change which has occurred during the last five years should be mentioned and explained.

**Gender:** While law often gives a number of rights to women, traditional barriers impede them from benefiting. This Indicator is proposed in order to identify the various kinds of impediments women face in a given national context.

**Comments and limitations** The existence of rights in the law does not necessarily mean that they are applied. This Indicator will not be able to inform about the implementation of the law. Deviations from the law can be measured by the number of unlawful evictions for instance, when the data is available.

**Level:** National

## Indicator 1.5: Secure tenure

**Habitat Agenda Goal 2: Provide security of tenure**

**Rationale:** Secure Tenure is *the right of all individuals and groups to effective protection by the State against unlawful evictions*<sup>5</sup>. *Secure tenure can be considered as the first component of the progressive realization of the right to housing (...). The granting of secure tenure will not, in and of itself, solve the problem of homelessness, poverty, unsafe living environments and inadequate housing. However, secure tenure is one of the most essential elements of a successful shelter strategy*<sup>6</sup>. A high risk of eviction in many circumstances constitutes an indicator of poor tenure security. Eviction should be

<sup>5</sup> Expert Group Meeting on 'Defining Slums and Secure Tenure', UN-HABITAT, Nairobi, November 2002.

<sup>6</sup> UN-HABITAT Global Campaign for Secure Tenure

enshrined in the law. Also, the law shall be enforced. The incidence of evictions can only be verified by checking the number of unlawful evictions (*Indicator 1.7: evictions*).

**Definition:** Level at which secure tenure is ensured for households and individuals as measured by the questions (below) on the legal framework related to eviction.

1. Does the Constitution include protections against eviction?	<input type="checkbox"/> yes <input type="checkbox"/> no
2. Does the national law include protections against eviction?	<input type="checkbox"/> yes <input type="checkbox"/> no
3. Are the followings steps undertaken during eviction ? a. <u>Consultation</u> (the future evictees are consulted through formal meetings)	<input type="checkbox"/> always <input type="checkbox"/> always, with exceptions <input type="checkbox"/> sometimes <input type="checkbox"/> never <input type="checkbox"/> less likely to be applied for women
b. <u>Notification</u> (the future evictees are formally notified in writing about the date and process of eviction)	<input type="checkbox"/> always <input type="checkbox"/> always, with exceptions <input type="checkbox"/> sometimes <input type="checkbox"/> never <input type="checkbox"/> less likely to be applied for women
c. <u>Recording</u> (the eviction case is formally recorded by the police, local authority or any government institution)	<input type="checkbox"/> always <input type="checkbox"/> always, with exceptions <input type="checkbox"/> sometimes <input type="checkbox"/> never <input type="checkbox"/> less likely to be applied for women
d. <u>Compensation</u> (compensation is provided to the evictee in the form of property or funds)	<input type="checkbox"/> always <input type="checkbox"/> always, with exceptions <input type="checkbox"/> sometimes <input type="checkbox"/> never <input type="checkbox"/> less likely to be applied for women
e. <u>Relocation</u> (the evictee is relocated in a new safe accommodation)	<input type="checkbox"/> always <input type="checkbox"/> always, with exceptions <input type="checkbox"/> sometimes <input type="checkbox"/> never <input type="checkbox"/> less likely to be applied for women
4. Is there <u>legal aid</u> support to evicted people ?	<input type="checkbox"/> full support to any citizen <input type="checkbox"/> support to some extend <input type="checkbox"/> no support at all <input type="checkbox"/> less likely to be applied for women
5. Is there <u>legal aid</u> support to family-related evictions (result of domestic violence, eviction by family members, etc) ?	<input type="checkbox"/> full specific support <input type="checkbox"/> specific support to some extend <input type="checkbox"/> no specific support at all <input type="checkbox"/> less likely to be applied for women
6. Are spouses living in the same dwelling as the owner automatically recognised as <u>co-owners</u> in the law ?	<input type="checkbox"/> yes <input type="checkbox"/> no

**Methodology:** This information should be verified in the Constitution and the national law and checked through experts from Lawyers associations, non-governmental organisations and community-based organisations working in the area of shelter security. Any important change which has occurred during the last five years should be mentioned and explained.

**Gender:** It is important to verify if men and women are equally treated in the various steps of eviction. It is also crucial to check whether women and men are equally legally assisted in case of eviction. The particular case of family-related eviction should be considered. Problems of evictions of women as a result of domestic violence for instance remain unsolved in many countries.

**Comments and limitations** This indicator can only inform about the overall legal context and general application of tenure regulations in a country. A more in-depth legal and institutional assessment is necessary in order to get a full picture of secure tenure in a given national context<sup>7</sup>. Also, the perception which citizens have of their own security of tenure is an important dimension to be recognised in the measure of secure tenure. This can only be measured through direct interviews with individuals from different types of neighborhoods.

**Level:** National

## Indicator 1.6: Authorized housing

*Habitat Agenda Goal 2: Provide security of tenure*

**Rationale:** This indicator measures the extent to which the urban population is housed legally. Only housing which both has a clear title to the land on which it stands, and which is constructed with all required building, land use, or land subdivision permits should be regarded as in compliance. A low value for

<sup>7</sup> UN-HABITAT has prepared a detailed questionnaire to assess the secure tenure legislative/institutional framework. It can be obtained upon request to the Global Urban Observatory.

	this indicator is a sign that housing development is proceeding without proper government controls, and that government is either tolerant of housing which does not comply with its regulations or is unable to prevent trespasses.
<b>Definition:</b>	<b>Percentage of the total housing stock in compliance with current land and building regulations.</b>
<b>Methodology:</b>	Authorized housing excludes all housing which does not conform to land and main building regulations. Small additions or modifications to a unit in compliance should not change the status of a unit to unauthorised. Unauthorised housing is not recorded in Census and other household surveys. An estimation must be established through experts opinions of builders, surveyors, developers, officials or researchers in the area of land and housing. Maps or aerial photographs can be used in order to locate areas which are more likely to have unauthorized developments. Percentage of unauthorized housing can be established for each area and a general estimation can be made on the basis on the estimated housing stock per area.
<b>Gender:</b>	In some countries, women have a lower access to secure housing and are more likely to live in unauthorised areas. This status weakens their general conditions and exposes them mostly to high risk of evictions.
<b>Comments and limitations</b>	Data for this indicator might be difficult to obtain. However, crude estimations on the extent of unauthorised housing in the different areas of the city may assist policy makers in planning future priorities, in particular in targeting possible regularization programmes. This indicator may be analysed in relation with indicator 12 (planned settlements) which addresses strategic planning of settlements at the city level.

## Indicator 1.7: Evictions

*Habitat Agenda Goal 2: Provide security of tenure*

<b>Rationale:</b>	Whether legal or illegal, eviction has generally a negative social impact on populations. This indicator measures the degree to which this practice is still in force. Because eviction is usually irregular and intermittent, the value for this indicator is an average over the last five-year period. In developed countries the indicator will refer to evictions during large public works projects but mostly to evictions for non-payment of rent, and will measure affordability conditions and the availability of legal recourse by landlords. In developing countries the major component of this indicator will be squatter evictions. In many countries, Governments have chosen to allow long-term squatter settlements to remain in place. In other countries, however, eviction continues unabated.
<b>Definition:</b>	<b>Average annual number of men-headed and women-headed households evicted from their dwellings during the past five years (1998-2003 five-year period).</b>
<b>Methodology:</b>	This information might not be available as official information. It is usually collected through specific studies on the subject. However, non-governmental organisations dealing with housing rights issues, including consumer associations, usually have estimates on the number of evicted person per year.
<b>Gender:</b>	Eviction is perhaps the most dramatic manifestation of the fight for land and housing. Women-headed households, are more likely to be part of disadvantaged groups and therefore to experience evictions. Women and children suffer the most when such events occur.
<b>Comments and limitations</b>	Data for this indicator might be difficult to obtain through secondary sources. Another sustainable way to obtain such information for the long-term is to investigate on the issue of eviction through up-coming households survey by asking individuals, men and women, if they have been evicted in the last five years, and under which circumstances.
<b>Level:</b>	City

## Indicator 1.8: Housing Finance

*Habitat Agenda Goal 3: Promote equal access to credit*

**Rationale:** Because housing is an expensive purchase beyond the reach of the majority of households, the availability of mortgage facilities is a necessary part of ensuring access to owner-occupancy, and where such credit is not adequately available to particular groups, housing ownership will be severely restricted. In countries which have no mortgage available, households can either go for commercial loans, which are generally too expensive for the majority of the population, or, when available, can obtain other loans from the non-formal financial sector, generally in the form of micro-credits. A developed housing finance system is a prerequisite to an efficient shelter sector able to respond to households' demand for new housing. In order to do so, if they exist, mortgage institutions should be able to propose attractive interest rates and finance solutions to most households.

**Definition:** Level of development of the housing finance system, as measured in the questions below.

1. Existence of mortgage lending institutions in the country?	<input type="checkbox"/> yes <input type="checkbox"/> no
2. Lowest interest rate granted by the mortgage lending institutions?	%
3. Highest interest rate granted by the mortgage lending institutions?	%
4. When there is no mortgage lending institution, what is the minimum interest rate proposed by other financial institutions for housing loans?	%
5. Difference between the lowest interest rate in mortgage institution and the lowest interest rate in commercial banks?	%
6. Can economically qualifying women obtain a mortgage loan in their own name?	1 <input type="checkbox"/> all women 2 <input type="checkbox"/> some women 3 <input type="checkbox"/> none
7. Are there special interest lowest rates granted to low income groups?	<input type="checkbox"/> yes <input type="checkbox"/> no special interest rate: %
8. What is the minimum down-payment necessary to obtain a loan for the low income groups, in percentage of the total credit?	%
9. What the maximum proportion of the monthly household income accepted by mortgage institutions for the monthly service (repayment) of the housing loan?	%

**Methodology:** This information should be verified through experts in housing finance from the Central Bank and other financial institutions, Ministries of Housing and Finance.

**Gender:** In some countries, women still do not have the same level of access to housing loans, affecting their access to decent housing. This particularly affects women-headed households.

**Comments and limitations** This indicator should be analysed together Indicator 1.4 (house price and rent to income ratio).

**Level:** National

## Indicator 1.9: Land price-to-income

*Habitat Agenda Goal 4: Provide equal access to land*

**Rationale:** Land price is one major key to revealing land availability and development in cities. A responsive urban environment should be able to have land accessible and available at a reasonable range of prices in order to respond to the demand of individual households and the private sector. The ratio of the price of land to household income not only indicates if affordable land is available to cater the needs of the different segments of the population. It also shows if the local government is able to respond to the growing needs by developing infrastructure in undeveloped parts of the city or providing incentives for new developments.

**Definition:** Ratios between the median price of **1 square meter** of highly-developed, developed and raw land and the median household income per month.

- **Highly developed land** refers to plots serviced with at least roads, water and electricity and possibly drainage and sewerage.
- **Developed land** refers to plots serviced with roads only.
- **Raw land** refers to unserviced plots with or without planning permission.

<b>Methodology:</b>	<p>This information is usually collected using several secondary sources collected through public housing boards, housing finance institutions, real-estate agencies, non-governmental organisations.</p> <p>The <b>median price of 1 m2 of land</b> can be calculated using the following options:</p> <ol style="list-style-type: none"> <li>1. Where the informal sector is small and data is reliable, median house price can be determined directly from published (formal) sales figures or from recent surveys.</li> <li>2. If no direct data are available, then prices need to be estimated for each type of land, using the method suggested for the estimation of the housing price.</li> <li>3. The ultimate solution is to use averages prices when median prices are not available.</li> </ol> <p>Please indicate in the results which method was used for this indicator.</p> <p>The <b>median household income per month</b> refers to the gross income from all sources, which include wages, salaries, incomes from businesses or informal sector activities, investment income, and where information is available, income in-kind such as consumption of agricultural produce which might have been sold.</p>
<b>Gender:</b>	<p>This indicator can address gender through disaggregation by sex of the household head. The question will be: how much would cost a piece of land for a female-headed household? The result will use the same numerator than in the calculation explained above but will have a different denominator, being the median income of a female-headed household.</p>
<b>Comments and limitations</b>	<p>Given the fact that this indicator is based on median values, it will only indicate the median situation. It will not inform about the range of different land sub-markets and their extreme values. Other measures have to be carried out for this purpose, based on quintiles, looking at the top and bottom quintiles for instance and the difference between them.</p>
<b>Level:</b>	City

## Indicator 1.10: Access to safe water

*Habitat Agenda Goal 5: Promote access to basic services*

<b>Rationale:</b>	<p>Water is one of the great necessities of human life, which is taken for granted in the developed world. A supply of clean water is absolutely necessary for life and health, yet almost 2 billion people lack access to adequate water supply or can only obtain it at high prices. In many cities, households in informal settlements are rarely connected to the network and can only rely on water from vendors at up to 200 times the tap price. Improving access to safe water implies less burden on people, mostly women, to collect water from available sources. It also means reducing the global burden of water-related diseases and the improvement in the quality of life.</p> <p>This indicator monitors access to improved water sources based on the assumption that improved sources are likely to provide safe water. Unsafe water is the direct cause of many diseases in developing countries.</p>
<b>Definition:</b>	<p><b>Proportion of the population with sustainable access to an improved water source, urban, is the percentage of the urban population who use any of the following types of water supply for drinking:</b> piped water into dwelling, plot or yard; public tap/standpipe; borehole/tube well; protected dug well; protected spring; rainwater collection and bottled water.<sup>8</sup></p> <p>The water should be <u>affordable</u> and at a <u>sufficient quantity</u> that is available <u>without excessive physical effort and time</u>.</p> <p>Improved water sources do not include unprotected wells, unprotected springs, water provided by carts with small tanks/drums, tanker truck-provided water and bottled water (if a secondary source is not improved) or surface water taken directly from rivers, ponds, streams, lakes, dams, or irrigation channels.</p>
<b>Methodology:</b>	<p>This indicator requires definitions adapted to the local context for several elements:</p>

<sup>8</sup> Bottled water is considered an “improved” source of drinking water only where there is a secondary source of improved water for other uses such as personal hygiene and cooking. Source: *Water for life: making it happen* (World Health Organization and UNICEF, 2005).

	<ul style="list-style-type: none"> <li>- <u>Affordable</u>: water should not take an undue proportion of the household income, i.e. less than 10%;</li> <li>- <u>Sufficient quantity</u>: water should be available at a quantity of at least 20 liters per person per day;</li> <li>- <u>Without excessive efforts and time</u>: obtaining water for the households should not take an undue proportion of the household's time (less than one hour a day for the minimum sufficient quantity of at least 20 liters per person per day).</li> </ul> <p><b>Data collection and sources:</b> Two data sources are common: administrative or infrastructure data available from public, parastatal or private companies in charge of water supply, that report on new and existing facilities, and data from household surveys, including DHS, MICS, and LSMS.</p> <p><b>Computation:</b> The indicator is computed as the ratio is the number of urban population who use piped water, public tap, borehole or pump, protected well, protected spring or rainwater to the total urban population, expressed as a percentage.</p>
<b>Gender:</b>	Women and men usually have different roles in water and sanitation activities. Women are most often the users, providers and managers of household hygiene. If the water system breaks down, women are more likely to be affected than men because they have to use other means and travel in order to meet the household's water needs.
<b>Comments and limitations :</b>	<p>When data from administrative sources are used, they generally refer to existing water sources, whether used or not. The judgment about whether a water source is safe is often subjective. Also, the existence of a water supply does not necessarily mean that it is safe or that local people use it. For these and other reasons, household survey data are generally better than administrative data, since survey data are based on actual use of sources by the surveyed population rather than the simple existence of the sources.</p> <p>While access is the most reasonable indicator for water supply, it still involves severe methodological and practical problems. Among them: the data are not routinely collected by "the sector" but by others outside the sector as part of more general surveys; and water quality is not systematically addressed.</p>
<b>Level:</b>	City, national urban

## Indicator 1.11: Access to improved sanitation

*Habitat Agenda Goal 5: Promote access to basic services*

<b>Rationale:</b>	Lack of sanitation is a major public health problem that causes disease, sickness and death. Highly infectious, excreta-related diseases such as cholera still affect whole communities in developing countries. Diarrhoea, which is spread easily in an environment of poor hygiene and inadequate sanitation, kills about 2.2 million people each year, most of them children under five. Inadequate sanitation, through its impact on health and environment, has considerable implications for economic development. People miss days at work due to sickness resulting from excreta-related diseases. Moreover, lack of excreta management poses a fundamental threat to global water resources. Good sanitation is important for urban and rural populations, but the risks are greater in slum areas where it is more difficult to avoid contact with waste.
<b>Definition:</b>	<p><b>Proportion of the population with access to improved sanitation</b> or percentage of the population with access to facilities that hygienically separate human excreta from human, animal and insect contact.</p> <p>Facilities such as flush/pour-flush toilets or latrines connected to a sewer, septic tank, or pit; ventilated improved pit latrines; pit latrines with a slab or platform of any material which covers the pit entirely, except for the drop hole; and composting toilets/latrines are assumed to be improved, provided that they are not public.</p> <p>To be effective, facilities must be correctly constructed and properly maintained, and not shared by more than two households.</p> <p>This indicator requires definitions for several elements:</p> <ul style="list-style-type: none"> <li>- Shared: the facilities should be shared by a maximum of two households;</li> <li>- Sufficient capacity: the septic system should have a sufficient capacity in order not to be clogged.</li> </ul> <p>These definitions can be adapted to the local contexts.</p>
<b>Methodology:</b>	<p><b>Data collection and sources:</b> Since the late 1990s, data have routinely been collected at national and sub-national levels in more than 100 countries using censuses and surveys by national governments, often with support from international development agencies. Two data sources are common: administrative or infrastructure data available from public, parastatal or private companies in charge of sanitation, and data from</p>

	household surveys including Multiple Indicator Cluster Surveys (UNICEF), Demographic and Health Surveys and Living Standard Measurement Surveys. Before these population-based data were available, provider-based data were used. <b>Computation:</b> The indicator is computed as the ratio of the number of people in urban areas with access to improved excreta-disposal facilities to the total urban population, expressed as a percentage.
<b>Gender:</b>	Women and men usually have different roles in sanitation activities. Women are most often the guardians of household hygiene. If a sanitation system breaks down, women are more likely to be affected than men in order to meet the household's sanitation needs.
<b>Comments and limitations :</b>	When data are from administrative sources, they generally refer to existing sanitation facilities, whether used or not. Household survey data are therefore generally better than administrative data, since survey data are based on actual use of facilities by the surveyed population rather than the simple existence of the facilities. While access is the most reasonable indicator for sanitation facilities, it still involves severe methodological and practical problems. First, data are generally not routinely collected by "the sector" but by others outside the sector as part of more general surveys. Second, the quality of facilities is usually not systematically addressed.
<b>Level:</b>	City, national urban

## Indicator 1.12: Connection to services

*Habitat Agenda Goal 5: Promote access to basic services*

<b>Rationale:</b>	The quality and reliability of local services are taken for granted in highly industrialized countries, but limited access to, or poor quality of, infrastructure services in developing countries can be major impediments to business productivity, and major sources of frustration to the population. The poorest households in developing countries generally cannot afford household connections of telephone and electricity, and often only have access to primitive or communal water supply and sewage and solid waste disposal systems. As well as reducing the quality of life in settlements, the absence of connection to basic services makes communities living in informal settlements particularly vulnerable to disease and epidemics.
<b>Definition:</b>	<b>Percentage of households which, within their housing unit, are connected to:</b> <b>a) piped water; b) sewerage; c) electricity; and d) telephone.</b>
<b>Methodology:</b>	<b>Data collection and sources:</b> This information is usually collected through the census or households surveys, or directly from the utility providers. Other sources might be specific surveys carried out for urban infrastructure studies and urban development projects. In developing cities where informal settlements occupy a relatively important part of the city, it will be useful to get the results for households living in these particular settlements. Household connection will probably greatly differ from other settlements and results might suggest that specific policies should be undertaken in informal areas.
<b>Gender:</b>	This indicator can address gender through disaggregation by sex of the household head. The question will be: What is the percentage of men and women-headed households which have access to basic services? In situations where there is no water in the house, it is normally women and girls who have to provide it. Providing readily available clean water reduces the burden for women and girls, and increases the time women have for productive work. It is a factor of human resource productivity. This also applies to solid waste collection and electricity. Indicators of access to infrastructure in general already measure the level of services which have an impact on women's quality of life.
<b>Comments and limitations :</b>	When data are from administrative sources, they generally refer to existing sanitation facilities, whether used or not. Household survey data are therefore generally better than administrative data, since survey data are based on actual use of facilities by the surveyed population rather than the simple existence of the facilities.
<b>Level:</b>	City, national urban

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## Chapter 2: Social development and eradication of poverty

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**Goal 6:** Provide equal opportunities for a safe and healthy life

**Indicator 2.1: under-five mortality**  
**Indicator 2.2: homicides**  
**Indicator 2.4: HIV prevalence**  
**Indicator 2.3: urban violence**

**Goal 7:** Promote social integration and support disadvantaged groups

**Indicator 2.5: poor households**

**Goal 8:** Promote gender equality in human settlements development

**Indicator 2.6: literacy rates**  
**Indicator 2.7: school enrolment**  
**Indicator 2.8: women councilors**  
**Indicator 2.9: gender inclusion**

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### Indicator 2.1: Under-five mortality

*Habitat Agenda Goal 6: Provide equal opportunities for a safe and healthy life*

**Rationale:**

Under-five mortality is a powerful indicator of quality of life in cities. High child mortality is directly correlated to low environmental indicators such as the level of wastewater treatment and sewerage and sanitation facilities.

**Definition:**

**Probability, expressed as a rate per 1,000 live births, of a child born in a specified year dying before reaching the age of five.**

**Methodology:**

**Data collection and sources:**

Age-specific mortality rates are calculated from data on births and deaths in vital statistics registries, censuses and household surveys in developing countries. Estimates based on household surveys data are obtained directly (using birth history, as in Demographic and Health Surveys) or indirectly (Brass method, as in Multiple Indicator Cluster Surveys, UNICEF). The data are then summed for children under five, and the results are expressed as a rate per 1,000 live births.

**Computation:**

At the city level, the best source of data is a complete vital statistics registration system—one covering at least 90 percent of vital events in the population. Such systems are uncommon in developing countries, so estimates are also obtained from sample surveys or derived by applying direct and indirect estimation techniques to registration, census or survey data. A wide variety of household surveys, including Multiple Indicator Cluster Surveys and Demographic and Health Surveys, are used in developing countries.

**Gender:**

Under-five mortality rates are higher for boys than for girls in countries without significant parental gender preferences. Under-five mortality better captures the effect of gender discrimination than infant mortality, as nutrition and medical interventions are more important in this age group, while biological differences have a higher impact during the first year of life. There may be gender-based biases in the reporting of child deaths.

**Comments and limitations :**

Data on under-five mortality is more complete and more timely than data on adult mortality. The under-five mortality rate is considered to be a more robust estimate than infant mortality rate if the information is drawn from household surveys.

In developing countries household surveys are essential to the calculation of this indicator, but there are some limits to their quality. Survey data are subject to recall error, and surveys estimating under five deaths require large samples, because such incidences are uncommon and representative households cannot ordinarily be identified the sampling. Moreover, the frequency of the survey is generally only every three to five years. Therefore, when using household surveys it is important to take sampling errors into account. Also, indirect estimates rely on estimated actuarial ("life") tables that may be inappropriate for the population concerned.

**Level:** City, national urban

## Indicator 2.2: Homicides

*Habitat Agenda Goal 6: Provide equal opportunities for a safe and healthy life*

**Rationale:** Crime rates provide useful information on the level of security in a city. However, the number of reported murders only represents the apparent crime. Crime rates should be taken with caution and reporting should mention the possible gaps between the official figures and the reality.

**Definition:** Number of reported homicides (male and female victims) annually per 10,000 population.

**Methodology:** **Homicide** includes intentional and non-intentional homicide. Intentional homicide refers to death deliberately inflicted on a person by another person, including infanticide. Non-intentional homicide refers to death non-deliberately inflicted on a person by another person. This includes manslaughter but excludes traffic accidents that result in the death of a person. This definition is the one used by the United Nations Statistics Division.

The data may be obtained from the police or other law enforcement agencies. Information may also be checked with security experts and NGOs dealing with human rights.

**Gender:** Women and men are differently affected by crimes. Therefore, indicators should be disaggregated by sex of the victims. Also, homicides have different causes, one of them being domestic violence. This particular issue may be examined by looking at the number of homicides by cause, if this is reported by the police and other law enforcement agency.

**Comments and limitations** Homicides are not always accurately reported by the police. In particular, domestic homicides are sometimes reported as suicides or accidents.

**Level:** City

## Indicator 2.3: HIV prevalence

*Habitat Agenda Goal 6: Provide equal opportunities for a safe and healthy life*

**Rationale:** HIV infection leads to AIDS. Without treatment, average survival from the time of infection is about nine years. Access to treatment is uneven, and no vaccine is currently available. About half of all new HIV cases are among people 24 years old or younger. In generalized epidemics (with prevalence consistently at less than 1 percent among pregnant women), the infection rate for pregnant women is similar to the overall rate for the adult population. Therefore, this indicator is a measure of spread of the epidemic. In low-level and concentrated epidemics, HIV prevalence is monitored in groups with high risk behaviour (because prevalence among pregnant women is low). High HIV prevalence usually has heavy socio-economic implications in countries affected by the pandemic. The increase in mortality because of HIV-AIDS strips families of breadwinners, field labor, and parents and also produces AIDS orphans to take care of. Recent studies also show that the situation of extreme deprivation in some cities, particularly in slums, traps residents into engaging in risky sexual behaviour for economic survival. Studies reveal that HIV-induced declines in gross domestic product levels in Sub-Saharan Africa are severely undermining poverty alleviation efforts in developing countries. The pandemic shave off up a substantive proportion of annual economic growth in the worst affected countries. On the whole, Africa's income growth per capita is being reduced by about 0.7 percent per year because of HIV/AIDS<sup>9</sup>.

**Definition:** Percentage of women ages 15–49 whose blood samples test positive for HIV.

**Methodology:** **Data collection and sources:** Data on HIV among women come from tests on leftover blood samples taken for other reasons during

<sup>9</sup> UNAIDS and World Bank, *AIDS Poverty Reduction and Debt Relief: Implications for Poverty Reduction*, March 2001

pregnancy. These samples come from selected antenatal clinics during routine sentinel surveillance, chosen to reflect urban, rural and other socio geographic divisions in a country. HIV prevalence data in groups with high risk behaviour are collected in serosurveys that are part of the surveillance system or in ad hoc prevalence surveys.

**Computation:**

The number of pregnant women whose blood samples test positive for HIV expressed as a percentage of all pregnant women in that age group whose blood is tested.

**Gender:**

Pregnant women are not chosen for clinical surveillance because of gender issues but because they offer a unique opportunity to monitor HIV/AIDS.

Throughout the world, the unequal social status of women places them at higher risk for contracting HIV. Women are at a disadvantage when it comes to access to information about HIV prevention, the ability to negotiate safe sexual encounters and access to treatment for HIV/AIDS once infected. As a result of these inequities and epidemic dynamics, the proportion of women among people living with HIV/AIDS is rising in many regions.

**Comments and limitations :**

Only the results of unlinked, anonymous screening of blood taken for other purposes should be used in calculating this indicator of HIV prevalence. Refusal and other forms of participation bias are considerably reduced in unlinked, anonymous HIV testing compared with other forms of testing, such as in programmes that offer counseling and voluntary HIV testing for pregnant women to reduce mother to child transmission.

**Level:**

City, national urban

## Indicator 2.4: Urban violence

*Habitat Agenda Goal 6: Provide equal opportunities for a safe and healthy life*

**Rationale:**

Since crime rates provide only a partial picture of the level of urban violence, this Indicator provides complementary information at the city level. Whether or not the city has areas considered as dangerous or inaccessible to the police and children experiencing violence at school are good indication of the level of urban violence. Major policies and programme against crimes and violence include official policy against domestic violence, crime and weapon control prevention policy and victim of violence assistance programmes.

**Definition:**

**Policies in place and level of implementation in order to fight urban violence (questions below).**

1. Existence of areas considered as inaccessible or dangerous to the police:	<input type="checkbox"/> yes, in many areas, representing more than 20% of the city's population <input type="checkbox"/> yes, in a number of areas, representing 10 to 20% of the city's population <input type="checkbox"/> yes, in some areas, representing less than 10% of the population <input type="checkbox"/> yes, in very few areas <input type="checkbox"/> none
2. Existence of violence at school, among children:	<input type="checkbox"/> recurrent violence with injuries at least on a monthly basis requiring police intervention <input type="checkbox"/> some occasional violence with injury <input type="checkbox"/> some occasional violence without injury <input type="checkbox"/> none
3. Existence of official policy against domestic violence:	<input type="checkbox"/> yes, fully implemented, with detention of offenders and protection of victims <input type="checkbox"/> yes, somewhat implemented, with support to victims <input type="checkbox"/> yes, rarely implemented <input type="checkbox"/> yes, not implemented because of various constraints <input type="checkbox"/> none, but planned <input type="checkbox"/> none and not planned yet
4. Existence of assistance programme(s) for victims of violence	<input type="checkbox"/> yes, fully implemented, with official shelters available for the victims <input type="checkbox"/> yes, fully implemented, with official legal and psychological available to the victims <input type="checkbox"/> yes, somewhat implemented, with support to victims <input type="checkbox"/> yes, rarely implemented <input type="checkbox"/> yes, not implemented because of various constraints <input type="checkbox"/> none, but planned <input type="checkbox"/> none and not planned yet
5. Existence of assistance programme(s) for offenders of domestic violence	<input type="checkbox"/> yes, fully implemented, with psychological programmes for offenders <input type="checkbox"/> yes, somewhat implemented, with support to offenders <input type="checkbox"/> yes, rarely implemented <input type="checkbox"/> yes, not implemented because of various constraints <input type="checkbox"/> none, but planned

	6 <input type="checkbox"/> none and not planned yet
6. Existence of weapons control policy (yes/no);	1 <input type="checkbox"/> yes, fully implemented 2 <input type="checkbox"/> yes, somewhat implemented 3 <input type="checkbox"/> yes, rarely implemented 4 <input type="checkbox"/> yes, not implemented because of various constraints 5 <input type="checkbox"/> none, but planned 6 <input type="checkbox"/> none and not planned yet

<b>Methodology:</b>	This information should be checked with security experts, police officials, NGOs dealing with human rights and domestic violence. Answers should be documented if possible.
<b>Gender:</b>	This indicator addresses gender by checking whether programme to victims of violence are already in place to assist women and men and whether an official policy has been implemented to fight against domestic violence which primarily affects women and children.
<b>Comments and limitations</b>	This Indicator only provides an overview of the policies in place and their level of implementation. An overview of urban safety programmes in place and their achievements may help to provide a complementary assessment of the overall level of security in place at the city level.
<b>Level:</b>	City

## Indicator 2.5: Poor households

*Habitat Agenda Goal 7: Promote social integration and support disadvantaged groups*

<b>Rationale:</b>	The right to development and the right to a life free from poverty are basic human rights. The UN Charter, the Universal Declaration of Human Rights, the World Summit on Social Development and many other multilateral declarations and conferences have recognized and reconfirmed economic, social, political, civil, and cultural rights with the goal of eradicating poverty and its consequences. Among these rights are an adequate standard of living, food, housing, education, health, work, social security and a share in the benefits of social progress. The number of poor, measured through the number of households below the poverty line, provides a traditional measure of the general level of poverty. It indicates the relative number of people in poverty which constitute the major part of disadvantaged groups. Progress in this area is achieved through general socioeconomic development, alleviation and eradication programmes and special support measures to disadvantaged groups. Reduced poverty is also a guarantee to improved social integration and inclusion.
<b>Definition:</b>	<b>Percentage of women and men-headed households situated below the poverty line (national or locally-defined poverty line).</b>
<b>Methodology:</b>	Traditionally, poverty has been defined in terms of shortfalls of consumption or income. Income poverty lines are set against the cost of a basic diet for a group and/or the combination of dietary needs and a few non-food essential items. The poverty line should be an 'absolute' poverty line, taken as the income necessary to afford a minimum nutritionally adequate diet plus essential non-food requirements, for a household of a given size. The common method for setting the poverty line proceeds by fixing a food intake in calories, and then finding the consumption expenditure or income level at which a person typically attains that food intake, then applying a multiplier to account for non-food items. Data may be available from Statistics department who regularly update poverty lines values for poverty assessment. It can be obtained from specific studies carried out on poverty for targeted projects.
<b>Gender:</b>	Urban households headed by women are generally poorer than those headed by men. A gender perspective is necessary for understanding the characteristics and processes of urban poverty, and for effectively addressing poverty reduction policies. Poverty of female-headed households can be measured using the poverty-line. It can also be measured through indicators of access to employment, resources, housing and services.
<b>Comments and limitations</b>	This indicator, being tailor-made to the city level, needs to be based on the locally-defined poverty-line, not the national poverty line, as it may be higher or lower.
<b>Level:</b>	City, national urban

## Indicator 2.6: Literacy rate

*Habitat Agenda Goal: Promote gender equality in human settlements development*

<b>Rationale:</b>	During the course of history, urbanization has been associated with economic and social progress, the promotion of literacy and education, the improvement of the general state of health, greater access to social services, and cultural, political and religious participation (The Habitat Agenda). As a measure of the effectiveness of the primary education system, it is often seen as a proxy measure of social progress and economic achievement. By measuring the difference between male and female in a particular city or country, the level of gender equality in human settlements can also be evaluated in order to assess what progress remains to be made. Adult literacy is also a significant indicator of the meaningfulness of public participation, therefore an important indicator of governance. The capacity to understand and communicate local issues is vital to influence the outcome of decision-making processes.
<b>Definition:</b>	<b>Percentage of the population, male and female, aged 15 years-old and over who can both read and write with understanding a short simple statement on everyday life.</b>
<b>Methodology:</b>	<b>Data collection and sources:</b> Literacy data may be derived from population censuses, household surveys and literacy surveys, and total population is derived from national censuses or sample surveys. However, not all censuses or surveys include specific questions for assessing literacy. In some countries where literacy questions are not included, a person's educational attainment (years of schooling completed) is used to assess literacy status. A common practice is to consider those with no schooling as illiterate and those who have attended grade 5 of primary school as literate. Many household surveys, including the Multiple Indicator Cluster Surveys, Demographic and Health Surveys, Core Welfare Indicators Questionnaire Surveys in Africa and Living Standards Measurement Studies, collect literacy data, which can provide complementary data for countries without a recent census. However, definitions are not necessarily standardized <b>Computation:</b> The usual method of computation is to divide the number of people ages 15 and over who are literate by the total population in the same age group and to multiply the total by 100. Since literacy data are not always available for all countries and all censuses, the United Nations Educational, Scientific and Cultural Organization (UNESCO) Institute for Statistics uses modeling techniques to produce annual estimates based on literacy information obtained from national censuses and surveys.
<b>Gender:</b>	Higher illiteracy rates for women are the result of lower school enrolment and early drop-outs. Moreover, because women generally have less access to information and training and literacy programmes, estimates based on enrolments often overestimate literacy for girls.
<b>Comments and limitations :</b>	Measurements of literacy can vary from simply asking "Are you literate or not?" to testing to assess literacy skills. In some cases, literacy is measured crudely in population censuses, either through self-declaration or by assuming that people with no schooling are illiterate. This causes difficulty for international comparisons. Comparability over time, even for the same survey, may also be a problem because definitions of literacy used in the surveys are not standardized. The latest UN <i>Principles and Recommendations for Population and Housing Censuses</i> advises countries against adopting a proxy measurement based on educational attainment. It recommends that literacy questions be administered as part of national censuses and household surveys, or as part of a post-census sample enumeration.
<b>Level:</b>	City, national urban

## Indicator 2.7: School enrolment

*Habitat Agenda Goal 8: Promote gender equality in human settlements development*

<b>Rationale:</b>	By measuring equality of educational opportunity in terms of school enrolment, this indicator addresses the issue of gender equality in human settlements development. Education is one of the most important aspects of human development. Eliminating gender disparity at all levels of education will help to increase the status and capabilities of women.
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<b>Definition:</b>	<b>Percentage of female and male enrolled at primary, secondary and tertiary levels in public and private schools.</b> UNESCO defines education at the primary level as usually beginning between the ages of 5 and 7 and lasting for about five years. Education at the second level is defined as beginning at about age 10-12 and lasting for about three years at the first stage and as the beginning at about age 13-15 and lasting for about four years at the second stage. Education at the third level, including universities and colleges, is defined as beginning at about age 17-19 and lasting for at least three or four years.
<b>Methodology:</b>	<b>Data collection and sources:</b> Data on school enrolment are usually recorded by the ministry of education or derived from surveys and censuses. If administrative data are not available, household survey data may be used, although household surveys usually measure self-reported attendance rather than enrolment as reported by schools. Among international surveys, Multiple Indicator Cluster Surveys and Demographic and Health Surveys (and sometimes also Living Standards Measurement Studies and Core Welfare Indicators Questionnaire Surveys in Africa) provide school attendance data.
<b>Gender:</b>	In situations of limited resources, families make difficult choices about sending their children to school. They may perceive the value of education differently for boys and girls. Girls are more likely than boys to suffer from limited access to education, especially in rural areas. But where basic education is widely accepted and overall enrolment is high, girls tend to equal or outnumber boys at primary and secondary levels. The pattern is similar in higher education, but with larger differences between the two genders.
<b>Comments and limitations :</b>	For countries for which administrative data are not available, household survey data may be used to assess school attendance rather than enrolment. Among international surveys, Multiple Indicator Cluster Survey and Demographic and Health Surveys (and sometimes Living Standards Measurement Surveys and the Core Welfare Indicators Questionnaire Surveys in Africa) provide school attendance data.
<b>Level:</b>	City, national urban

## Indicator 2.8: Women Councilors

*Habitat Agenda Goal 8: Promote gender equality in human settlements development*

<b>Rationale:</b>	A number of countries have passed ground-breaking legislation facilitating women's participation in decision-making processes. It is important to assess the progress in their actual participation as women councilors in local governments. However, it is important to bear in mind that access alone to the political process does not solve the problem of participation. While actual numbers of women in local government have increased, they may not be able to participate effectively and make an impact in terms of gender equality. There is a need to increase capacity-building opportunities for women, and to strengthen the capacities of local authorities, including the incorporation of gender-budgeting in the planning process.
<b>Definition:</b>	<b>Proportion of women who are elected and nominated councilors at the local level.</b>
<b>Methodology:</b>	Information may be obtained from the local authorities and municipalities themselves. This information may also be verified in the Ministry responsible for the advancement of women and the Ministry in charge of local authorities.
<b>Gender:</b>	Gender balance in local governments is the core issue addressed in this indicator.
<b>Comments and limitations</b>	Although women may have positions of councilors in local governments, they may not have high positions. Among women councilors, it would be also important to measure the share of women in the different levels of councilors, and their actual level of responsibility.
<b>Level:</b>	City

## Indicator 2.9: Gender inclusion

*Habitat Agenda Goal 8: Promote gender equality in human settlements development*

**Rationale:** Many of today's local government systems continue to exclude women from formal local governance structures. Procedures, structures and functions of governance often remain heavily skewed in favour of men. This unequal sharing of power leads to an unequal sharing of resources between men and women. In terms of planning, priorities of women are not sufficiently reflected in policies and implementation. Redressing these inequalities requires a gender analysis of the processes and structures of governance. For that purpose, it is crucial to realise the share of women in position of leadership in local authorities.

**Definition:** Proportion of women in position of leadership in local authorities:

1. Proportion of women Mayors in the country	%
2. Proportion of women Urban Planners working in the local authorities	%
3. Proportion of women Engineers working in the local authorities	%
4. Proportion of women Architects working in the local authorities	%
5. Proportion of women Lawyers working in the local authorities	%

**Methodology:** This information should be verified in the Ministry responsible for the advancement of women and the Ministry in charge of local authorities.

**Gender:** Gender balance in local governance is the core issue addressed in this indicator.

**Comments and limitations** Although women may have responsibilities in local authorities as having been recruited or nominated for their qualifications, they may not have high positions. Also, in some cases, women hold high positions but they are not able to effectively contribute because of limiting cultural and behavioural factors.

**Level:** National, city

## Chapter 3: Environmental Management

<b>Goal 9:</b> Promote geographically-balanced settlement structures	<b>Indicator 3.1: urban population growth</b> <b>Indicator 3.2: planned settlements</b>
<b>Goal 10:</b> Manage supply and demand for water in an effective manner	<b>Indicator 3.3: price of water</b> <b>Indicator 3.4: water consumption</b>
<b>Goal 11:</b> Reduce urban pollution	<b>Indicator 3.5: wastewater treated</b> <b>Indicator 3.6: solid waste disposal</b> <b>Indicator 3.7: regular solid waste collection</b>
<b>Goal 12:</b> Prevent disasters and rebuild settlements	<b>Indicator 3.8: houses in hazardous locations</b> <b>Indicator 3.9: disaster prevention and mitigation instruments</b>
<b>Goal 13:</b> Promote effective and environmentally sound transportation systems	<b>Indicator 3.10: travel time</b> <b>Indicator 3.11: transport modes</b>
<b>Goal 14:</b> Support mechanisms to prepare and implement local environmental plans and local Agenda 21 initiatives	<b>Indicator 3.12: local environmental plans</b>

### Indicator 3.1: Urban population growth

*Habitat Agenda Goal 9: Promote geographically-balanced settlement structures*

<b>Rationale:</b>	Bringing the development of the urban area into harmony with its environment and the overall system of settlements is one of the basic tasks to be undertaken in order to achieve the general goal of sustainable human settlements in an urbanizing world. Geographically-balanced structures form part of this goal, achieved through monitoring the growth of urban populations. Population growth in urban areas needs to be monitored and harmonized so that it does not create unmanageable densities and population concentrations. High population growth without accompanying infrastructure development, adequate supply of basic services, accessible and affordable land and shelter, sufficient employment and economic opportunities is conducive to urban disorders and environmental degradation.
<b>Definition:</b>	<b>Average annual growth rate of population in the urban agglomeration or in national urban areas during the last five years (1998-2003 reference period).</b>
<b>Methodology:</b>	<b>Data collection and sources:</b> The growth rate should be calculated for a specific reference period (here 1998-2003). For countries that lack recent census-based population data, population figures should be estimated by national statistical offices. If other reference periods are used, it should be indicated in the report.  Total population is based on the de facto definition of population, which counts all residents regardless of legal status or citizenship. Refugees not permanently settled in the country of asylum are generally considered to be part of the population of their country of origin.
<b>Gender:</b>	Population growth data is the most basic information to be disaggregated by sex before making any analysis of human settlements conditions.
<b>Comments and limitations :</b>	Current studies are proposing new approaches for projections of population data of urban agglomerations using data on the total population of the agglomeration, population density, and geographic location. At present, only the first of these factors is considered in the United Nations projections; moreover, current projections are focused on each individual city in isolation, and take no account of linkages among cities.
<b>Level:</b>	City, national urban

## Indicator 3.2: Planned settlements

*Habitat Agenda Goal 9: Promote geographically-balanced settlement structures*

**Rationale:** Effective planning of settlements is a key to effective urbanization and a prerequisite for well functioning urban markets. In addition to planning, urban areas need development strategies tailored to the geographical and demographic specificities of their local areas. This indicator explores the main dimensions of strategic settlements planning from the elaboration and implementation of strategic plans themselves to their budgeting processes and inclusion of all population needs.

**Definition:** **Level at which urban land is planned in order to cater to needs of populations (questions below).**

1. What is the amount of land reserved by the city authorities for future development?	<input type="checkbox"/> More than 50% of the present total urban agglomeration <input type="checkbox"/> 30 to 50% of the present total urban agglomeration <input type="checkbox"/> 10 to 30% of the present total urban agglomeration <input type="checkbox"/> less than 10% of the present total urban agglomeration <input type="checkbox"/> no land reserve made
2. Is there a strategic plan for new developments for the city ?	<input type="checkbox"/> yes, being implemented <input type="checkbox"/> yes, being implemented partly <input type="checkbox"/> yes, not implemented <input type="checkbox"/> plan to be elaborated soon <input type="checkbox"/> no plan existing nor planned
3. Is the city strategic plan accompanied with appropriate funding for implementation?	<input type="checkbox"/> yes, full funding available <input type="checkbox"/> yes, major part of the funds available <input type="checkbox"/> yes, some funds available <input type="checkbox"/> no funds
4. Has the planning process formally involved representatives from the following groups?	<input type="checkbox"/> Non-governmental organisations <input type="checkbox"/> Community based organizations <input type="checkbox"/> the private sector <input type="checkbox"/> universities <input type="checkbox"/> women groups <input type="checkbox"/> research institutions <input type="checkbox"/> youth groups
5. Has the budgeting process of the strategic plan formally involved representatives from the following?	<input type="checkbox"/> Non-governmental organisations <input type="checkbox"/> Community based organizations <input type="checkbox"/> the private sector <input type="checkbox"/> universities <input type="checkbox"/> women groups <input type="checkbox"/> research institutions <input type="checkbox"/> youth groups
6. Are there regularisation programmes for informal settlements?	<input type="checkbox"/> yes - already or being implemented <input type="checkbox"/> year of completion of last regularisation programme: <input type="checkbox"/> yes - not implemented yet <input type="checkbox"/> to be implemented soon <input type="checkbox"/> not planned yet
7. Building and land subdivision regulations reflect affordability constraints of low income groups (LIG) :	<input type="checkbox"/> yes, fully reflecting affordability constraints of LIG <input type="checkbox"/> yes, reflecting some affordability constraints of LIG <input type="checkbox"/> no, but revisions are planned <input type="checkbox"/> no revision is planned given the present constraints Year of issuance or last building and land subdivision regulations reflecting affordability constraints of LIGs:
8. Existence of special norms and standards for low income groups which are beneficial to them in new residential developments :	<input type="checkbox"/> yes, norms always applied <input type="checkbox"/> yes, norms applied in some cases <input type="checkbox"/> yes, but norms never applied <input type="checkbox"/> none Year of issuance or last revision of the special norms and standards for LIGs:

**Methodology:** This information should be verified through urban experts and urban policy makers involved in the city planning. They may be from the planning department of the city or the national Ministry responsible for urban development. Any important change which has occurred during the last five years should be mentioned and explained.

**Gender:** As a complementary information, it would be important to know how women were really involved in planning and decision made for new developments, regularization of informal settlements, etc.

**Comments and limitations** In order to supplement this Indicator , information may be quantified for question 1. Also, progress may be assessed over a given time frame, looking back at effective changes since the early 1990s and looking forward, by assessing future provisions and plans for the next 10 to 20 years.

**Level:** City

### Indicator 3.3: Price of water

*Habitat Agenda Goal 10: Manage supply and demand for water in an effective manner*

<b>Rationale:</b>	In many cities, households living in informal settlements are not connected to the network and can only rely on water from vendors at up to 200 times the tap price. The price of water may rise to very high levels in some areas at some times, and can take a significant proportion of the household budget. If more than 50% of households have piped water, then this will be the user-pays marginal cost of water. How much an average household is spending in water varies tremendously from city to city.
<b>Definition:</b>	<b>Median price paid per 1000 liters of water in US dollars, at the time of year when water is most expensive.</b>
<b>Methodology:</b>	<p>This measures the cost of water at times when it is most scarce. It should be provided for all types of settlements at the city level, as well as in informal settlements, when relevant.</p> <p>The median price of water should be estimated like the median house price (in Indicator 1.4). The median price is the one for which 50% of the water is priced below it, and 50% of the water priced above it. The estimation of the median price of water should, therefore include water sold in all types and areas. If, for example, the majority of water in sold by vendors, then, the median price will be the vendors' price. If it is the municipal corporation water, then the corporation price will be the median price.</p> <p>Data may be obtained from specific studies carried out on water and sanitation for specific projects. Parastatal and private water providers companies shall be able to provide prices for main pipe supply. Water and sanitation experts as well as NGOs working in this area may be consulted for other sources (price from vendors in slum areas, water truck price, etc.).</p>
<b>Gender:</b>	The price of water can have major implications in the households' budgets. In developing countries, since women-headed households constitute the majority in informal settlements, women will be the first to be affected by the high-level prices of water.
<b>Comments and limitations</b>	Given the fact that this indicator is based on a median value, it will only indicate the median situation. It will not inform about the range of different water sources and their extreme values.
<b>Level:</b>	City

### Indicator 3.4: Water consumption

*Habitat Agenda Goal 10: Manage supply and demand for water in an effective manner*

<b>Rationale:</b>	Consumption of water per person depends on the availability and price of water, the climate, and the uses to which water is customarily put by individuals (drinking, bathing, washing, and gardening). In many cities, potable water supply is not constant and household rely on a few hours to tap the available water during the day. Water consumption is much higher in cities of higher income countries, as with most other forms of consumption. Typically people in cities of developed countries use 272 litres per day while the average in Africa is 53 litres per day, around a quarter. North American cities use, on average, double the amount of water per person, that Western European cities use, and seven times that of African cities.
<b>Definition:</b>	<b>Average consumption of water in litres per day per person, for all domestic uses (excludes industrial).</b>
<b>Methodology:</b>	This information is usually available from the main water supply companies, which maintain records on water supplied, delivered, consumed and ultimately paid by the end-users for industrial, commercial and domestic purpose. Only water consumed for domestic purpose will be taken into account. A frequent mistake for this indicator is to account for all types of use, by dividing the total water supplied by the total population.
<b>Gender:</b>	Being more involved in domestic work, women may have a more rational way to consume and save water in context where water is scarce. It could be envisaged to obtain water consumption by sex in specific water studies.

**Comments and limitations**

Before reaching the users, a part of the water supplied might be lost through leakage or illegal tapping. In cities with old and deteriorating water reticulation systems, a substantial proportion of piped water may be lost through cracks and flaws in pipes - for example up to 30% of water is lost in this way in some countries of Eastern Europe. It is therefore important to take this into account into the final consumption and if possible, not to take the actual supply as the final consumption figures.

**Level:**

National, city

## Indicator 3.5: Wastewater treated

*Habitat Agenda Goal 11: Reduce urban pollution*

**Rationale:**

It has been proved that improvement of water treatment reduces the incidence of a variety of water-borne diseases. A reliable wastewater treatment system is a major indicator of the level of local development and of community health. Water pollution from human wastes is less of a problem in countries that can afford to treat sewage and wastewater, and water pollution can be minimized with adequate investment in treatment systems. The percentage of wastewater treated is a indicator of water quality management.

**Definition:**

**Percentage of all wastewater undergoing some form of treatment (primary, secondary and tertiary).**

**Methodology:**

All forms of treatment include treatment to permit water release into water resources of different levels of environmental sensitivity. They are:

- Primary treatment which screen and sediment sewage to remove grosser debris.
- Secondary treatment which reduce Biological Oxygen Demand (BOD)<sup>10</sup> to acceptable levels by microbial oxidation using activated sludge or a trickle filter.
- Tertiary treatment which reduces BOD still further through micro straining or filtering, the microbial removal of phosphates and nitrates, and disinfection using chlorine or ozone.

This information is usually known by municipal authorities and is available from the main water supply and treatment companies.

**Gender:**

Knowing the level of water treatment is important information which addresses key issues in gender. Women are the primary users of domestic water for cooking, bathing children, etc. The lack of clean water will imply additional domestic treatment in order to avoid potential contamination in the household, in particular through drinking water and food. They will have to make sure that their newborn and young children will have their water safe, which will require an extra burden on them, as well as a cause of daily worry.

**Comments and limitations**

Some cities have no system for treating water. Reasons and impediments should be explained in the results. Any plan to implement new treatment facilities in the near future may also be indicated.

**Level:**

City

## Indicator 3.6: Solid waste disposal

*Habitat Agenda Goal 11: Reduce urban pollution*

**Rationale:**

Many cities generate more solid waste than they can dispose of. Even when municipal budgets are adequate for collection, the safe disposal of collected wastes often remains a problem. Dumping and uncollected landfills are sometimes the main disposal methods in many developing countries; sanitary landfills are the norm in only a handful of cities.

<sup>10</sup> BOD (Biological Oxygen Demand) is the amount of dissolved oxygen required to oxidise or neutralise biodegradable matter in water. High BOD levels represent high amounts of contaminant matter, and the reduction of BOD is a common measure for determining the efficacy of water treatment.

<b>Definition:</b>	<b>Percentage of solid waste: a) disposed to sanitary landfill; b) incinerated and burned openly; c) disposed to open dump; d) recycled; e) other.</b>
<b>Methodology:</b>	This information should be available from the municipal bodies, public services and major private contractors dealing with solid waste collection and disposal. Data may be obtained from specific studies carried out on solid wastes for specific projects. Parastatal and private companies dealing with solid waste treatment shall be able to provide information on selected disposal methods. Solid waste experts as well as NGOs working in this area may be consulted for other sources.
<b>Gender:</b>	The relations that men and women have with solid waste may be different, especially regarding their exposure to solid waste. For instance, in many cities of developing countries, women waste pickers are employed to do the groundwork that allows for the recycling industry to function. There are significant health impacts to these female waste workers. This should be taken into account in any comprehensive assessment of solid waste management.
<b>Comments and limitations</b>	When data is not available, please provide at least an estimate of the proportion of waste to sanitary landfill (a) and the proportion disposed to open dump (c).
<b>Level:</b>	City, national urban

### Indicator 3.7: Regular solid waste collection

*Habitat Agenda Goal 11: Reduce urban pollution*

<b>Rationale:</b>	Inadequate collection and unmanaged disposal present a number of problems for human health and urban productivity. Uncollected waste degrades the urban environment. They often end up in drains, causing blockages which result in flooding and insanitary conditions. Flies breed in some constituents of solid wastes, and flies are very effective vectors that spread disease. Mosquitoes also breed in blocked drains and spread disease, including malaria and dengue. Another problem comes when large quantities of waste that have not been placed according to good engineering practice can slip and collapse, burying and killing people. Regular solid waste collection is a clear indicator of the effectiveness of a municipal administration.
<b>Definition:</b>	<b>Defined as proportion of households enjoying weekly solid waste collection.</b>
<b>Methodology:</b>	Regular waste collections can include household collections, regular 'dumpmaster' group collections, but not local dumps to which the household must carry garbage. Solid waste collection should be considered if it is at least once a week. This information may be available from the municipal bodies, public services and major private contractors dealing with solid waste collection and disposal. Data may be obtained from specific studies carried out on solid wastes for specific projects. Parastatal and private companies dealing with solid waste treatment shall be able to provide information on selected disposal methods. Solid waste experts as well as NGOs working in this area may also be consulted.
<b>Gender:</b>	The regularity of solid-waste collection may affect more women than men as they are generally more involved in domestic work and have often more to deal with the domestic wastes.
<b>Comments and limitations</b>	In many cities, waste collection often varies from one area to another, depending on the level of tax-payment for solid waste collection services. Variations between areas may be interesting to check.
<b>Level:</b>	City, national urban

### Indicator 3.8: Houses in hazardous locations

*Habitat Agenda Goal 12: Prevent disasters and rebuild settlements*

**Rationale:** Generally, housing structures are considered durable when certain strong building materials are used for roof, walls and floor. Even though some houses may be built with materials classified as durable, the dwellers may still not enjoy adequate protection if they are located in hazardous areas. This indicator provides additional information necessary to analyse indicator 1.1 (durable structure).

**Definition:** Proportion of housing units built on hazardous locations (per 100,000 housing units).

**Methodology:** The following locations are considered hazardous:

- Housing settled subject to disaster at more than the once in a hundred years level (disasters include flooding, earthquakes, volcano, storm surge, landslip or avalanche);
- Housing not adequately protected against cyclones or bushfires which occur at this frequency;
- Housing settled on garbage-mountains;
- Housing around high-industrial pollution areas;
- Housing around other high-risk zones, e.g. railroads, airports, energy transmission lines.

Data obtained from the census can be used as a base for estimations. Experts should be consulted, including city planners and city managers, selected key informants in slum and non-slum areas, etc. in order to provide an estimation.

**Gender:** The proportion of women-headed households living in hazardous locations may be considered in some contexts in order to assess the vulnerability of women vis-à-vis disasters.

**Comments and limitations** The reliability of this information will depend on the level at which disaster prevention is ensured and mitigation instruments in place (Indicator 3.9: Disaster prevention and mitigation instruments). Adequate hazard maps are necessary to provide sufficient data.

**Level:** City, national urban

## Indicator 3.9: Disaster prevention and mitigation instruments

### *Habitat Agenda Goal 12: Prevent disasters and rebuild settlements*

**Rationale:** With the increasing population living in urban areas, the impact of natural or human-made disasters on people and human settlements is becoming greater. These disasters require specific prevention, preparedness and mitigation instruments which often do not exist in disaster-prone areas because of economic and technical reasons. Major instruments are the existence and application of appropriate building codes, which prevent and mitigate impacts of disasters, and hazard mapping, which inform the policy-makers, population and professional of disasters-prone areas.

**Definition:** Level at which disaster prevention is ensured and mitigation instruments in place (questions below).

1. Existence of building codes to prevent the effects of natural disasters?	<input type="checkbox"/> yes, with codes always applied <input type="checkbox"/> yes, with codes applied in some cases <input type="checkbox"/> yes, with codes never applied <input type="checkbox"/> none
2. Existence of hazard mapping?	<input type="checkbox"/> yes - fully operational and used for all properties <input type="checkbox"/> yes - not used for all properties <input type="checkbox"/> yes -no operational yet <input type="checkbox"/> planned to be implemented in the next five years <input type="checkbox"/> not planned yet

**Methodology:** Information should be obtained from expert in disaster and urban planners.

**Building codes** includes anti-cyclonic and anti-seismic building standards. They should be based on hazard and vulnerability assessment.

**Hazard mapping** is a simple and effective way of ensuring that hazard are recorded and updated on a regular basis. The maps shall cover the entire city and its boundaries, be available to the public and as recent as possible (less than five years old).

**Gender:** The involvement of both men and women in disaster planning and management should be encouraged. In particular, they should be involved in preparedness planning in such areas as water

and food storage, fuel and first aid and in disaster prevention through activities that build a culture of safety.

**Comments and limitations**

**Level:** City, national urban

## Indicator 3.10: Travel time

*Habitat Agenda Goal 13: Promote effective and environmentally sound transportation system*

**Rationale:** Travel time is one of the key performance measures of transportation systems. Long transport time to work is an obvious sign of urban dysfunction, associated with severe traffic congestion, uncontrolled mixes of traffic types, poorly operating public transport networks, lack of adequate local traffic management, accidents and general dissatisfaction of the population who daily commute to their workplace. Reducing travel time has become a real challenge for transport planners of fast growing megacities, where commuters spend sometimes more than one hour in average to reach their workplace.

**Definition:** Average time in minutes for a one-way work trip. This is an average over all modes of transport.

**Methodology:** This is an average over all modes used during a work trip. It may be necessary to estimate average times for each mode of transport and then, on the basis of an estimate of the different modes of transport used for work trips (Indicator 3.11: transport modes), to obtain an overall weighted average. Train and bus times should include average walking and waiting times and car times should include parking or walking to the workplace. Transportation experts should be consulted, including city planners and city managers, selected key informants in slum and non-slum areas, etc. in order to provide an estimation. Specific recent transport studies may provide adequate information.

**Gender:** Mobility is an essential part of daily life and it is the main means of access to city services and social opportunities. Mobility conditions access to employment as well as social integration, and it can become a factor for social discrimination and even exclusion. Women are less mobile: they are less likely than men to have a personal vehicle, public transport networks remain generally inadequate to respond to all men and women and insecurity prevails in certain areas. Women spend generally more time in travel, and use cheaper and slower modes of transportation. It will be useful to obtain the travel time disaggregated by sex. The question will be: how much time do men and women spend for an average one-way trip to work?

**Comments and limitations** Given the fact that this indicator is based on average values, it will provide information about the range of travel times used by different type of commuters and work trips. This information may be useful to obtain for more in-depth assessment.

**Level:** City

## Indicator 3.11: Transport modes

*Habitat Agenda Goal 13: Promote effective and environmentally sound transportation system*

**Rationale:** Transport can play a determining role in the economy and quality of life of cities. Effective and environmentally friendly transportation systems are revealed through measures of the different travel modes used for work trips. Transportation system should be adequately balanced for the several uses required. While transport should be as efficient as possible to ensure the movement of goods and people, as a major consumer of non-renewable energy and a major contributor to pollution, congestion and accidents, an adequate mix of modes is necessary to ensure its sustainability and reduced impacts on the environment. While private motorized transport (cars, motorcycles) has become the major mode in cities at the end of this century, public transport and non-motorized modes

of transport should be encouraged, since they are generally affordable, efficient and energy-saving.

**Definition:** Percentage of total work trips undertaken by: a) private car; b) train, tram or ferry; c) bus or minibus; d) motorcycle; e) bicycle; f) foot; g) other modes.

**Methodology:** When several modes of transport are used for a given trip, the following hierarchy should be employed to determine the principal mode: (1) train, tram or ferry; (2) bus or minibus; (4) private car or taxi; (5) motorcycle; (6) bicycle or other non-motorised modes.  
Data on transport modes are usually obtained through specific transport surveys. Transportation experts should be consulted, including city planners and city managers, selected key informants in slum and non-slum areas, etc. in order to provide an estimation.

**Gender:** In many countries, women are generally less mobile than men and are less likely to have a personal vehicle. Public transport networks remain generally inadequate to respond to all men and women and insecurity prevails in certain areas. Studies show that, in many cities, women are more likely to use non-motorised modes, especially walking. It will be useful to obtain percentage of transport modes used disaggregated by sex.

**Comments and limitations** These data may be difficult to obtain, especially disaggregated data. If data cannot be provided for the level of detail above, please provide data on : private motorised; train and tram; bus and minibus; non-motorised. If not available, this data may be integrated in future transport surveys.

**Level:** City, national urban

### Indicator 3.12: Local environmental plans

**Habitat Agenda Goal 14:** Support mechanisms to prepare and implement local environmental plans and local Agenda 21 initiatives

**Rationale:** Sustainable human settlements depend on the creation of a better environment, which will improve the living conditions of people. To achieve this, Governments should support mechanisms for consultation and partnership among interested parties, to prepare and implement local environmental plans and local Agenda 21 initiatives, as well as specific cross-sectoral environmental health programmes.

**Definition:** Level of achievement and implementation of local environmental plans (questions below).

1. Has the city established a long-term strategic plan for sustainable development?	1 <input type="checkbox"/> yes, being implemented year of implementation: ..... 2 <input type="checkbox"/> yes, being implemented partly 3 <input type="checkbox"/> yes, not implemented 4 <input type="checkbox"/> plan to be elaborated soon 5 <input type="checkbox"/> no plan existing nor planned
2. Is the environmental plan accompanied with appropriate funding for implementation?	1 <input type="checkbox"/> yes, full funding available 2 <input type="checkbox"/> yes, major part of the funds available 3 <input type="checkbox"/> yes, some funds available 4 <input type="checkbox"/> no funds
3. Has it involved representatives from the following?	1 <input type="checkbox"/> Non-governmental organisations 2 <input type="checkbox"/> Community based organizations 3 <input type="checkbox"/> women groups 4 <input type="checkbox"/> the private sector 5 <input type="checkbox"/> research institutions 6 <input type="checkbox"/> universities 7 <input type="checkbox"/> youth groups

**Methodology:** Local authorities and urban environment experts dealing with all stakeholders in the city should be consulted for this information.

**Gender:** When it comes to environmental planning at the national and local level, it is important to involve key partners, men and women in all the stages of decision-making. Both men and women should be involved on prioritisation, consensus, action plans and institutionalisation.

**Comments and limitations** In order to supplement this Indicator , progress may be assessed over a given time frame, looking back at effective changes since the early 1990s and looking forward, by assessing future provisions and plans for the next 10 to 20 years.

**Level:** City

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## Chapter 4: Economic Development

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**Goal 15:** Strengthen small and micro-enterprises, particularly those developed by women

**Indicator 4.1: informal employment**

**Goal 16:** Encourage public-private sector partnership and stimulate productive employment opportunities

**Indicator 4.2: city product**  
**Indicator 4.3: unemployment**

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### Indicator 4.1: Informal employment

**Habitat Agenda Goal 15:** Strengthen small and micro-enterprises, particularly those developed by women

<b>Rationale:</b>	The increasing role of the informal sector in a number of economies is a consequence of growth in the labour force without a matching response in the level of formal employment opportunities. The informal sector may generate substantial activity and may constitute a basis for the development of urban economies if adequate policies are in place to enable the sector to perform and expand productively. The informal sector has played an increasing role in the expansion of production in rapidly growing cities in developing countries. The informal sector has great freedom of action, being by definition free of government interference, and will tend to deliver labour resources to productive areas of the economy. The increasing importance of the informal sector would suggest institutional changes for more flexible fiscal policies, better financial credit arrangements for small units of production, and legislation providing limited rights for employees in the sector.
<b>Definition:</b>	<b>Percentage of the employed population, men and women, whose activity is part of the informal sector.</b>
<b>Methodology:</b>	As per the currently definition used by the International Labour Office, " <i>The informal sector consists of persons engaged in the production of goods or services with the primary objective of generating employment and incomes to the persons concerned. These units typically operate at a low level of organisation, with little or no division between labour and capital as factors of production and on a small scale. Labour relations - where they exist - are based mostly on casual employment, kinship or personal and social relations rather than contractual arrangements with formal guarantees</i> ". <sup>11</sup> The informal sector includes, firstly, all unregistered commercial enterprises, and second, all non-commercial enterprises that have no formal structure in terms of organization and operation <sup>12</sup> . The most common sources are labour force surveys and special informal sector surveys, based on a mixed household and enterprise survey approach or an economic census survey approach. Other sources include multi-purpose household surveys, household income and expenditure surveys, survey of household economic activities or household industries, small and micro-enterprise surveys, and official estimates prepared by the cities and countries themselves.
<b>Gender:</b>	In developing countries, evidence suggests that only a few women have access to formal employment and that most of them are vitally dependent on the informal economy for their own and their family's survival. When male unemployment increases and real household income and consumption decline, women's individual and collective coping mechanisms in the informal sector have become crucial to the survival of poor urban households.
<b>Comments and limitations</b>	In developing countries, where a major part of labour market activities are undeclared or informal, data on the size of the informal sector should be included in the National Accounts to give a full picture of economic activity.
<b>Level:</b>	City

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<sup>11</sup>ILO, *International Conference of Labour Statisticians*, 1987

<sup>12</sup>Sethuraman, The urban informal sector: concept, measurement and policy, *International Labour Review*, July-August 1976.

## Indicator 4.2: City product

**Habitat Agenda Goal 16:** Encourage public-private sector partnership and stimulate productive employment opportunities

**Rationale:** Cities have traditionally served as economic centers and have become primary providers of services. They are engines of economic growth and development. Also, cities currently generate more than half of national economic activities worldwide (Habitat Agenda, paragraph 155). Urban productivity, measured through the city product, is an important indicator providing a strong measure of the level of economic development of the city *vis-à-vis* the national level, and informing about the level of investment, the efficiency of public and private enterprises and the generation of productive employment. The city product is essentially the gross national product (GNP) of the city, an estimate of the city level economic output.

**Definition:** **total product of the city as defined in national accounts procedures.** It may either be taken as the total income or value-added (wages plus business surplus plus taxes plus imports), or the total final demand (consumption plus investment plus exports).

**Methodology:** The City Product is calculated using two methods. Method A consists in taking the national product in each industry sector (SITC standard industry classification) and then multiplying it by differential wage rates at the city level, for each industry sector. This method is used when employment by industry sector is known. Method B consists in using the city household income figures and by multiplying by the ratio of GNP to total households income at the national level. This method assumes that the ratio of the GNP to the household income is the same at the city and the national level. So far, this method has been used in most of the cases.

**Method A:**

The Gross National Product (GNP) by industry sector is contained in National Accounts. These figures should be updated to the 2008 System of National Accounts (SNA) values using the USD price index. The classification used here is an abbreviated form of the SITC standard industry classification, which is used for standard national accounting.

The following table should be filled out for each industry sector:

Sector	National product (US\$m) (A)	National employment (B)	City employment (C)	Wage ratio (D)	City Product (US\$m) (E)
a. 1,2. Agriculture and mining					
b. 3,4,5. Manufacturing, utilities, construction					
c. 6,7. Wholesale and retail trade, transport and communication					
d. 8. Finance, insurance, real estate and business services					
e. 9. Community, personal and other services, domestic,					
f. Government					
g. Other					
<b>Total</b>					

**Definitions:**

National Product (GNP) by industry sector is contained in National Accounts. These figures should be updated to the 2008 System of National Accounts (SNA) values using the US\$ price index. The classification used here is an abbreviated form of the SITC standard industry classification, which is used for standard national accounting<sup>13</sup>.

National and city employment. Economically active persons by industry, preferably including the informal sector. If activity is not customarily defined in these categories, either estimate or group the categories - for example, at the minimum, agriculture, manufacturing, and total service employment are generally known.

Income ratio. If city income and national income are known to be significantly different, then this ratio

<sup>13</sup>ILO, *International Standard Industrial Classification of All Economic Activities*, Geneva 1968.

should be an estimate of average city wage in the industry divided by average national wage (e.g. if city wages are 20% higher, the ratio is 1.2). Otherwise the ratio should be taken as 1.

The city industry product (Column E) is then estimated as

Column (E) = Column (A) x Column (C) x Column (D) / Column (B),

which is the national industry product times the fraction of national employment in the city times the wage ratio.

The final category, Other, cannot be estimated by this method, since it includes items such as ownership of dwellings which do not involve employment. It can be estimated by presuming it is the same fraction of city product as for the national product.

#### **Method B:**

If industry employment figures are not known, then the city product can be estimated approximately from average household income figures as follows:

City Product =  $\frac{\text{GNP} \times (\text{number of households in the city}) \times (\text{average household income in the city})}{(\text{total national household income, from national accounts})}$

#### **Gender:**

It is important to note that the contribution of women to work is not entirely recorded in this measures, especially in developing countries, where a large part of women's work is not accounted, through informal and unpaid work (not necessarily housework). Therefore, the city product must be carefully interpreted, and one must take into account other qualitative information. Efforts are being made to improve the measurement of women's remunerated and unremunerated contributions to the economy in the system of national accounts<sup>14</sup>. Future research is necessary to develop a measure of the "real" city product taking into account the large non-remunerative contribution of women, which is an important data for analyzing the urban economic activity.

#### **Comments and limitations**

It is sometimes difficult to identify precisely which income or value-added really comes from the urban agglomeration of reference. Outputs from activities generated outside the city may be registered in the city. This may bring important limitations to obtained results in some specific contexts.

#### **Level:**

City

### **Indicator 4.3: Unemployment**

**Habitat Agenda Goal 16:** *Encourage public-private sector partnership and stimulate productive employment opportunities*

#### **Rationale:**

Urban economies are integral to the process of economic transformation and development. They are the prerequisite for the creation of a diversified economic base capable of generating employment opportunities. Many new jobs need to be created in urban areas (Habitat Agenda, paragraph 155). Stimulating productive employment opportunities is also part of the general goal of social development. Employment should generate income sufficient to achieve an adequate standard of living for all people, men and women (Habitat Agenda, paragraph 118a). In industrialized countries, unemployment rates are the best-known labour market measures and probably the most familiar indicators of all to express the health of the economy and the success of government economic policy. Unemployment is, however, a formal labour market concept which is often not applicable in developing countries with their large informal sector. Indicator 20 (informal employment) may constitute a better indicator for developing countries.

#### **Definition:**

**Average proportion of unemployed (men and women) during the year, as a fraction of the (formal) workforce.**

#### **Methodology:**

As per the currently definition used by the International Labour Office, the unemployment rate is defined, mathematically, as the quotient resulting from dividing the total unemployed (for a country or a city) by the relevant labour force, which itself is the sum of the employed and the unemployed. According to the currently used resolution adopted by the 13<sup>th</sup> International Conference of Labour Statisticians, unemployed persons are defined as those individuals without work, seeking work in a recent past period, and currently available for work. Household labour force surveys are generally the most comprehensive and comparable sources for unemployment statistics. Other sources include population censuses, employment office records and official estimates. In OECD countries, comparability issues have been addressed in published standardised unemployment rates adjusted to ILO concepts.

<sup>14</sup>United Nations, 1989 *World Survey on the Role of Women in Development*. New York: United Nations, 1989, pp. 313-358.

**Gender:**

Women's contribution to the economy is measured through their contribution in terms of women's share in the labour force. Women have generally a lower status regarding employment and constitute a smaller part of the work force, they are generally more affected by unemployment.

Since the 1970s, the growing participation of women in the labour force has been accompanied by decreasing employment opportunities in agriculture. One of the obvious consequences is the migration of women towards urban areas in search of jobs. In Latin America and East Asia most migrants from rural areas to urban areas are women. Evidence suggests that only a few women have access to formal employment and that most of them are vitally dependent on the informal economy for their own and their family's survival. Many women also join low paid and unskilled jobs. In developed countries, unemployment affects more women than men, and women also join low paid jobs.

**Comments and limitations**

The concepts of *employment* and *unemployment* have different relevance depending on the level of labour market development and the presence of a market economy. People living in regions of a country where there is little or no formal employment would not usually be classified as "unemployed" even if they are without work and would accept a job if offered one (discouraged workers).

Unemployment is but one dimension of the employment problem faced by young people. A disproportionately large number of youth in many countries are underemployed. Some work fewer hours than they would like to, and others work long hours with little economic gain. Stagnation and decline of employment opportunities in the formal sector of most developing countries have intensified the problem in recent years, with young women bearing a disproportionate share of the burden. Therefore, indicators measuring underemployment, the informal sector, educational access and labour force participation, among others, should supplement the information obtained from the youth unemployment indicator.

**Level:**

City, national urban

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## Chapter 5: Governance

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**Goal 17:** Promote decentralisation and strengthen local authorities

**Indicator 5.1: local government revenue**  
**Indicator 5.2: decentralization**

**Goal 18:** Encourage and support participation and civic engagement

**Indicator 5.3: voters participation**  
**Indicator 5.4: civic associations**  
**Indicator 5.5: citizens participation**

**Goal 19:** Ensure transparent, accountable and efficient governance of towns, cities and metropolitan areas

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**Indicator 5.6: transparency and accountability**

### Indicator 5.1: Local government revenue

*Habitat Agenda Goal 17: Promote decentralisation and strengthen local authorities*

#### Rationale:

Sustainable human settlements can be achieved through the effective decentralization of responsibilities, policy management, decision-making authority and sufficient resources (Habitat Agenda, paragraph 177). The amount of local government revenue is an important indicator, which determines the level of effectiveness of local authorities. The level of revenue is an important piece of information which indicates the level of income which municipalities are able to raise from their residents, the business and industries and from higher levels of government. In some cities, the high level of revenue and investment is due to the fact that local governments are responsible for virtually the whole range of local services.

#### Definition:

**Total local government revenue from all sources in US dollars annually, both capital and recurrent, for all local governments in the metropolitan area, averaged over the last three years (2000, 2001, 2003), divided by the population.**

#### Methodology:

Information should be obtained from the local authorities' department dealing with the budget. Local government revenue is the total local government sources of funds in US dollars annually, both capital and recurrent, for the metropolitan area, divided by population (three year average, using the period 2000-2003). It usually includes:

- Taxes: municipal rates and levies, any local taxes on the transfer of property, and any other taxes such as entertainment or hotel taxes, motor vehicle taxes, and taxes on business, which do not reflect the direct provision of services.
- User charges: local government charges for services provided, such as water, refuse collection, building permits. Betterment levies are also be included.
- Other own source: interest and principal received, sales of capital items, but not donations, voluntary contributions or aid.
- Transfer: formula driven payments (such as repatriation of income tax) or other grant donations from national or state governments.
- Loans: borrowing from all sources, including bonds.
- Other may include donations or aid.

If it is not available for the total for the whole metropolitan area, revenues of the different municipalities composing the metropolitan area may be added for each year and divided by the total population of reference.

#### Comments and limitations

The area of reference selected for this indicator is the metropolitan area as it is an overall administrative division (not the urban agglomeration, except if it coincide with it).

#### Level:

City

## Indicator 5.2: Decentralization

**Habitat Agenda Goal 17:** Promote decentralisation and strengthen local authorities

**Rationale:** Decentralization is part of the general goal of institutional development. Sustainable human settlements will increasingly depend on the capacity of all levels of government to reflect the priorities of communities, to encourage and guide local development and forge partnerships. This can be achieved through the effective decentralization of responsibilities, policy management, decision-making authority and sufficient resources (Habitat Agenda, paragraph 177). The questions below attempt to determine the level of decentralization and independence of action of local governments. It is considered particularly important that local governments should know what level of funding they will receive from higher governments, either as a formula-driven transfer or as long-term allocation. The viability of the local government may be seriously compromised if its budget is altered mid-term at the discretion of higher-level governments.

**Definition:** Level of decentralization process (questions below).

<b>1. Can higher levels of government (national, state/provincial):</b>	
a. Close the local government (e.g. appoint an administrator or a new council, call new elections)?	<input type="checkbox"/> yes <input type="checkbox"/> no
b. Remove councilors from office?	<input type="checkbox"/> all <input type="checkbox"/> some
<b>2. Can the local government, without permission from higher governments:</b>	
a. Set local tax levels (property tax etc.)?	<input type="checkbox"/> all <input type="checkbox"/> some
b. Set user charges for services?	<input type="checkbox"/> all <input type="checkbox"/> some
c. Borrow funds?	<input type="checkbox"/> all <input type="checkbox"/> some
d. Choose contractors for projects?	<input type="checkbox"/> all <input type="checkbox"/> some
<b>3. Is the amount of fund transfers from higher governments known in advance of the local budget setting process ?</b>	<input type="checkbox"/> all <input type="checkbox"/> some percentage known?      %

**Methodology:** Information should be obtained from the local authorities officials. Local government comprises "all local-level governments, whether they be:  
a) legally, fiscally and politically autonomous jurisdiction;  
b) centrally influenced but legally distinct local governments (municipality with centrally appointed mayors);  
c) some forms of quasi-government organisation which exists to deliver service locally.

**Gender:** In the process of decentralisation, one must ensure that both men and women are given equal opportunities in participating in major responsibilities, policy management, decision-making authorities. Both men and women should be involved on prioritisation, consensus, action plans and institutionalisation.

**Comments and limitations** These simple questions can only help to briefly assess if major responsibilities, policy management, decision-making authorities and resources been decentralised at the local level.

**Level:** City, national urban

## Indicator 5.3: Voter's participation

**Habitat Agenda Goal 18:** Encourage and support participation and civic engagement

**Rationale:** Citizen participation in local government is an important part of democracy and self-determination; as well as a strong local support base for government is better able to monitor citizen needs, maintain a watchful eye over operations, and represent the wishes of the citizenry. This indicator measures the degree of interest and involvement of the public in local government. Low participation in representative democracy may, however, be balanced by higher levels of participatory democracy.

**Definition:** Percentage of adult (male and female) population (having reached voting age) who voted in the last municipal election.

<b>Methodology:</b>	Information should be obtained from the local authorities officials or the Ministry responsible for Local Governments. Indicate zero as a result if there have been no municipal elections in the last five years.
<b>Gender:</b>	It is important to disaggregate results by sex as studies indicate that many women are not independent voters, but follow voting patterns suggested by male family members. A majority of such women are illiterate, lacking information and political awareness. World-wide, there is a need for women's education to instill confidence, clarity of purpose, priorities, commitment and the ability to present their case skillfully.
<b>Comments and limitations</b>	Result will only suggest the level of participation, not the level of satisfaction of the population. In some cases, high rates of participation will mean that the population is not satisfied with its local government's leadership and actions.
<b>Level:</b>	City, national urban

## Indicator 5.4: Civic associations

*Habitat Agenda Goal 18: Encourage and support participation and civic engagement*

<b>Rationale:</b>	Voluntary organisations of all kinds provide avenues for the citizenry to act collectively and independently of government, for mutual benefit, and provide a measure of the plurality of society. Organised groups are vital for effective participation. Civic organisations can help ensure the accountability of local government, through the mobilisation of people behind the issues that affect them. Large number of associations may facilitate the formation of partnerships for the delivery and/or maintenance of services. Civic associations can also foster a sense of community that can reduce the individual member's vulnerability to crime and corruption and act as a social safety net.
<b>Definition:</b>	<b>Number of voluntary non-profit organisations, including NGOs, political sporting or social organisations, registered or with premises in the city, per 10,000 population.</b>
<b>Methodology:</b>	This information may be obtained through umbrella associations of NGOs and key NGOs aware of the number of associations in each particular area. Different Ministries may be consulted which may maintain registries of NGOs.
<b>Gender:</b>	For a complementary assessment of gender inclusion for this indicator, associations dealing specifically with women's groups and issues may be recorded separately.
<b>Comments and limitations</b>	A number of NGOs, although officially recorded, are not operational. More in-depth assessment is necessary in order to get a better picture of associative life and vibrancy.
<b>Level:</b>	City, national urban

## Indicator 5.5: Citizens' participation

*Habitat Agenda Goal 18: Encourage and support participation and civic engagement*

<b>Rationale:</b>	To encourage and support participation, civic engagement and the fulfillment of government responsibilities, national Governments, local authorities and/or civil society organizations should put into effect, at appropriate levels, institutional and legal frameworks that facilitate and enable the broad-based participation of all people in decision-making and in the implementation and monitoring of human settlements strategies, policies and programmes (Habitat Agenda, paragraph 182). Participatory mechanisms should ensure that all voices are heard in identifying problems and priorities, setting goals and implementing programmes and projects. Citizen participation in local government is an important part of democracy and self-determination; as well a strong local support base for government is better able to monitor citizen needs, maintain a watchful eye over operations, and represent the wishes of the citizenry. Civic engagement and participation are less effective without well-informed public. Education and the open flow of information are the necessary
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cornerstones of a democratic society.

**Definition:** Level of citizens' participation, checked in the following questions:

1. Is the Mayor elected by the citizens?	<input type="checkbox"/> yes <input type="checkbox"/> no date of last elections: _____
2. Is the Mayor nominated?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Other: _____
3. Is the city involving the civil society in a formal participatory process prior to:	
a. new major roads and highway proposals?	<input type="checkbox"/> yes <input type="checkbox"/> no
b. alteration in zoning?	<input type="checkbox"/> yes <input type="checkbox"/> no
c. major public projects?	<input type="checkbox"/> yes <input type="checkbox"/> no

**Methodology:** This information should be verified through urban experts and urban policy makers involved in the city planning. They may be from the planning department of the city or the national Ministry responsible for urban development. Any important change which has occurred during the last five years should be mentioned and explained.

**Gender:** For a more in-depth assessment of participation, it would be important to check the level of formal participation of both men and women in the formal planning process.

**Comments and limitations** This Indicator is directly related to indicator 2.7 (gender inclusion) and Indicator 2.9 (Women councilors).

**Level:** City, national urban

## Indicator 5.6: Transparency and accountability

**Habitat Agenda Goal 19:** *Ensure transparent, accountable and efficient governance of towns, cities and metropolitan areas*

**Rationale:** Ensuring transparent and accountable Governments is part of the general goal of enablement and participation. Governments are committed to the strategy of enabling all key actors in the public, private and community sectors to play an effective role in human settlements and shelter development (Habitat Agenda, paragraph 44). In order to do so, they have committed themselves to the objectives of enabling local leadership, promoting democratic rule, exercising public authority and using public resources in order to ensure transparent and accountable governance of towns, cities and metropolitan areas. Indication that transparency and accountability are ensured can be answered through the existence of regular independent auditing and municipal accounts, publication of contracts and tenders for municipal services, sanctions against faults of civil servants, laws on disclosure of potential conflicts of interest.

**Definition:** Level of transparency and accountability as measured by the questions below:

Are the following processes followed by the local authorities ?	
1. Regular independent auditing of municipal accounts	<input type="checkbox"/> yes <input type="checkbox"/> no
2. Formal publication of contracts and tenders for municipal services	<input type="checkbox"/> yes <input type="checkbox"/> no
3. Formal publication of budgets and accounts	<input type="checkbox"/> yes <input type="checkbox"/> no
4. Sanctions against faults of civil servants	<input type="checkbox"/> yes <input type="checkbox"/> no
5. A local hotline to receive complaints and information on corruption	<input type="checkbox"/> yes <input type="checkbox"/> no
6. A local agency to investigate and report cases of corruption	<input type="checkbox"/> yes <input type="checkbox"/> no

**Methodology:** Information should be obtained from the local authorities officials or the Ministry responsible for Local Governments and checked with representative of NGOs dealing with governance issues.

1. Auditing of municipal account should be regular (annual or biannual). They should also be conducted by independent auditors.

2-3. There should be institutionalised mechanisms which ensure that contracts and tenders for municipal services are always published in order to ensure an adequate competitive transparent and open process in contracting.

4. There should also be institutionalised mechanisms which ensure systematic sanctions against faults of civil servants at all levels.

**Gender:**

One must make sure that both men and women are involved in existing mechanisms and processes which ensure openness and accountability at the municipal level.

**Comments and limitations**

**Level:**

City, national urban

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## The Millennium Development Goal- Slum Target

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**Goal 7:** Ensure environmental sustainability

**Target 7D :** By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers

**Indicator 7.10:** Proportion of urban population living in slums

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### MDG Indicator 7.10: Proportion of urban population living in slums

**Rationale:**

This indicator measures the proportion of urban dwellers living in deprived housing conditions. It is a indicator measuring the adequacy of the basic human need for shelter. Overcrowding, inadequate housing, lack of improved water and improved sanitation are manifestations of poverty. They are associated with health risks and are often detrimental to human and economic development.

The indicator enables disaggregation of other urban indicators into slum and non-slum. Many indicators show that the situation in rural areas is worse than in urban areas, but such comparisons mask differences within cities across social groups that are clustered in poor areas lacking basic services such as improved water, improved sanitation, durable house or sufficient living area. However, by disaggregating urban data into slum and non-slum it is possible to show that the situation in some slum areas can be as bad as, or worse than, the situation in rural areas. .

**Definition:**

**The proportion of urban population living in slums is the percentage of the population living in a slum household that lack one or more of the following basic services: improved water, improved sanitation, durable housing, sufficient living area or security of tenure.**

**Methodology:**

**Data collection and sources:**

It is preferable to use population and housing censuses and household surveys that contain information on all five components of slum: improved water, improved sanitation, durable housing, sufficient living area and secure tenure. Nationally representative household surveys, which typically collect information about water sanitation and housing conditions include Urban Inequities Surveys (UIS), Multiple Indicator Cluster Surveys (MICS), Demographic Health Surveys (DHS), World Health Surveys (WHS), Living Standards and Measurement Surveys (LSMS), Core Welfare Indicator Questionnaires (CWIQ), and the Pan Arab Project for Family Health Surveys (PAPFAM). The survey questions and response categories pertaining to access to drinking water are fully harmonized between MICS and DHS. The same standard questions are being promoted for inclusion into other survey instruments and can be found at [www.wssinfo.org](http://www.wssinfo.org) or at [www.unhabitat.org/quo](http://www.unhabitat.org/quo). National-level household surveys are generally conducted every 3-5 years in most developing countries, while censuses are generally conducted every 10 years. National Statistics Offices usually carry out censuses and often are involved in carrying out nationally representative sample surveys.

**Gender:**

Households headed by women tend to have lower incomes and are therefore more likely to lack durable dwellings to accommodate all household members. Divorced, separated or widowed women are more likely to head households in which their children live, with limited resources to improve their housing conditions. In certain situation, they become homeless.

**Comments and limitations :**

Defining a slum at the household level presents a compromise between theoretical and methodological considerations. The definition is simple, operational and pragmatic. It can be easily understood and adapted by governments and other partners. It offers clear, measurable indicators, provided as a proxy to capture some of the essential attributes of slums. And it uses household-level data, which are collected on a regular basis by governments and non-governmental organizations, that are accessible and available in most parts of the world. However, the definition lacks the spatial component as well as the type of shelter deprivation. As the indicator does not take into account the number and extent of the five conditions of housing deprivation, it does not provide information on the severity of slum conditions.

Four out of the five component indicators measure physical expression of slum conditions: lack of

water, lack of sanitation, overcrowded conditions, and non-durable housing structures. These indicators focus attention on the circumstances that surround slum life, depicting deficiencies and casting poverty as an attribute of the environments in which slum dwellers live.

The fifth indicator – security of tenure – considers legality, which is not as easy to measure or monitor, since the tenure status of slum dwellers often depends on *de facto* or *de jure* rights – or lack thereof. There is no current mechanism to monitor secure tenure, since household-level data on property entitlement, evictions, ownership, and other indicators of secure tenure are not widely available through mainstream systems of data collection, such as censuses and household surveys.

Alternative analytical measures that can be considered include identifying the five components of deprivation separately and distinguishing households with single shelter deprivation (lacking only one basic service) from those with multiple shelter deprivation (lacking two or more basic services).

**Level:** City, national urban

# ANNEX

**A. The Millennium Development Goals framework**

**B. General definitions**

## A. The Millennium Development Goals framework

Millennium Development Goals (MDGs)	
Goals and Targets (from the Millennium Declaration)	Indicators for monitoring progress
<b>Goal 1: Eradicate extreme poverty and hunger</b>	
Target 1.A: Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day	1.1 Proportion of population below \$1 (PPP) per day <sup>i</sup> 1.2 Poverty gap ratio 1.3 Share of poorest quintile in national consumption
Target 1.B: Achieve full and productive employment and decent work for all, including women and young people	1.4 Growth rate of GDP per person employed 1.5 Employment-to-population ratio 1.6 Proportion of employed people living below \$1 (PPP) per day 1.7 Proportion of own-account and contributing family workers in total employment
Target 1.C: Halve, between 1990 and 2015, the proportion of people who suffer from hunger	1.8 Prevalence of underweight children under-five years of age 1.9 Proportion of population below minimum level of dietary energy consumption
<b>Goal 2: Achieve universal primary education</b>	
Target 2.A: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	2.1 Net enrolment ratio in primary education 2.2 Proportion of pupils starting grade 1 who reach last grade of primary 2.3 Literacy rate of 15-24 year-olds, women and men
<b>Goal 3: Promote gender equality and empower women</b>	
Target 3.A: Eliminate gender disparity in primary and secondary education, preferably by 2005, and in all levels of education no later than 2015	3.1 Ratios of girls to boys in primary, secondary and tertiary education 3.2 Share of women in wage employment in the non-agricultural sector 3.3 Proportion of seats held by women in national parliament
<b>Goal 4: Reduce child mortality</b>	
Target 4.A: Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate	4.1 Under-five mortality rate 4.2 Infant mortality rate 4.3 Proportion of 1 year-old children immunised against measles
<b>Goal 5: Improve maternal health</b>	
Target 5.A: Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio	5.1 Maternal mortality ratio 5.2 Proportion of births attended by skilled health personnel
Target 5.B: Achieve, by 2015, universal access to reproductive health	5.3 Contraceptive prevalence rate 5.4 Adolescent birth rate 5.5 Antenatal care coverage (at least one visit and at least four visits) 5.6 Unmet need for family planning
<b>Goal 6: Combat HIV/AIDS, malaria and other diseases</b>	
Target 6.A: Have halted by 2015 and begun to reverse the spread of HIV/AIDS	6.1 HIV prevalence among population aged 15-24 years 6.2 Condom use at last high-risk sex 6.3 Proportion of population aged 15-24 years with comprehensive correct knowledge of HIV/AIDS 6.4 Ratio of school attendance of orphans to school attendance of non-orphans aged 10-14 years
Target 6.B: Achieve, by 2010, universal access to treatment for HIV/AIDS for all those who need it	6.5 Proportion of population with advanced HIV infection with access to antiretroviral drugs
Target 6.C: Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases	6.6 Incidence and death rates associated with malaria 6.7 Proportion of children under 5 sleeping under insecticide-treated bednets 6.8 Proportion of children under 5 with fever who are treated with appropriate anti-malarial drugs 6.9 Incidence, prevalence and death rates associated with tuberculosis 6.10 Proportion of tuberculosis cases detected and cured under directly observed treatment short course
<b>Goal 7: Ensure environmental sustainability</b>	

Target 7.A: Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources	7.1 Proportion of land area covered by forest 7.2 CO2 emissions, total, per capita and per \$1 GDP (PPP) 7.3 Consumption of ozone-depleting substances 7.4 Proportion of fish stocks within safe biological limits
Target 7.B: Reduce biodiversity loss, achieving, by 2010, a significant reduction in the rate of loss	7.5 Proportion of total water resources used 7.6 Proportion of terrestrial and marine areas protected 7.7 Proportion of species threatened with extinction
Target 7.C: Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation	7.8 Proportion of population using an improved drinking water source 7.9 Proportion of population using an improved sanitation facility
Target 7.D: By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers	7.10 Proportion of urban population living in slums <sup>ii</sup>
<b>Goal 8: Develop a global partnership for development</b>	
Target 8.A: Develop further an open, rule-based, predictable, non-discriminatory trading and financial system  Includes a commitment to good governance, development and poverty reduction – both nationally and internationally  Target 8.B: Address the special needs of the least developed countries  Includes: tariff and quota free access for the least developed countries' exports; enhanced programme of debt relief for heavily indebted poor countries (HIPC) and cancellation of official bilateral debt; and more generous ODA for countries committed to poverty reduction  Target 8.C: Address the special needs of landlocked developing countries and small island developing States (through the Programme of Action for the Sustainable Development of Small Island Developing States and the outcome of the twenty-second special session of the General Assembly)  Target 8.D: Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term	<i>Some of the indicators listed below are monitored separately for the least developed countries (LDCs), Africa, landlocked developing countries and small island developing States.</i>  <u>Official development assistance (ODA)</u> 8.1 Net ODA, total and to the least developed countries, as percentage of OECD/DAC donors' gross national income 8.2 Proportion of total bilateral, sector-allocable ODA of OECD/DAC donors to basic social services (basic education, primary health care, nutrition, safe water and sanitation) 8.3 Proportion of bilateral official development assistance of OECD/DAC donors that is untied 8.4 ODA received in landlocked developing countries as a proportion of their gross national incomes 8.5 ODA received in small island developing States as a proportion of their gross national incomes <u>Market access</u> 8.6 Proportion of total developed country imports (by value and excluding arms) from developing countries and least developed countries, admitted free of duty 8.7 Average tariffs imposed by developed countries on agricultural products and textiles and clothing from developing countries 8.8 Agricultural support estimate for OECD countries as a percentage of their gross domestic product 8.9 Proportion of ODA provided to help build trade capacity <u>Debt sustainability</u> 8.10 Total number of countries that have reached their HIPC decision points and number that have reached their HIPC completion points (cumulative) 8.11 Debt relief committed under HIPC and MDRI Initiatives 8.12 Debt service as a percentage of exports of goods and services
Target 8.E: In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries	8.13 Proportion of population with access to affordable essential drugs on a sustainable basis
Target 8.F: In cooperation with the private sector, make available the benefits of new technologies, especially information and communications	8.14 Telephone lines per 100 population 8.15 Cellular subscribers per 100 population 8.16 Internet users per 100 population

The Millennium Development Goals and targets come from the Millennium Declaration, signed by 189 countries, including 147 heads of State and Government, in September 2000 (<http://www.un.org/millennium/declaration/ares552e.htm>) and from further agreement by member states at the 2005 World Summit (Resolution adopted by the General Assembly - A/RES/60/1, <http://www.un.org/Docs/journal/asp/ws.asp?m=A/RES/60/1>). The goals and targets are interrelated and should be seen as a whole. They represent a partnership between the developed countries and the developing countries "to create an environment – at the national and global levels alike – which is conducive to development and the elimination of poverty".

<sup>i</sup> For monitoring country poverty trends, indicators based on national poverty lines should be used, where available.

<sup>ii</sup> The actual proportion of people living in slums is measured by a proxy, represented by the urban population living in households with at least one of the four characteristics: (a) lack of access to improved water supply; (b) lack of access to improved sanitation; (c) overcrowding (3 or more persons per room); and (d) dwellings made of non-durable material.

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## **B. GENERAL DEFINITIONS**

**Adult population:** for employment indicators, this should be taken as persons of 15 years of age or more. In other indicators relating to family type, the term should refer to persons having reached majority or voting age, or defined as adult for census purposes.

**Economically active population** comprises all persons over 15 years of age who furnish the supply of labour for the production of economic goods and services. The production of economic goods and services includes all production and processing of primary products, whether for the market, for barter or for own consumption, the production of all other goods and services for the market, the corresponding for own consumption. Economically active population includes all persons who are either employed or unemployed<sup>ii</sup>.

**Head of household:** The notion of head of household assumes that most households are family households (in other words, that they consist entirely, except possibly for domestic servants, of persons related by blood, marriage or adoption) and that one person in such family household has primary authority and responsibility for household affairs and is, in majority of the cases, its chief economic support. This person is then designated as the head of household<sup>ii</sup>.

**Household:** a person or group of persons who make common provision for food or other essentials of living, and often share a common budget. A group of people who eat one meal together daily may be considered a household. This definition includes domestic servants.

**Household income:** the total income from all sources of all household members, including wages, pensions or benefits, business earnings, rents, and the value of any business or subsistence products consumed (e.g. foodstuffs). Payments such as allowances or board from one household member to another should not be counted twice.

**Metropolitan area:** the politically defined urban area for planning or administrative purposes which combines all local jurisdictions normally regarded as part of the greater urban area.

**Urban:** the classification 'urban' is based on the definition applied in national statistical practices and exercises.

**Urban agglomeration:** defined as the city proper along with the suburban fringe and any built-up, thickly settled areas lying outside of, but adjacent to, the city boundaries.

**Women-headed households:** a household headed by a woman, i.e. who has the primary authority and responsibility for the household's affairs, usually as chief economic support (see above definition of head of household). However, in most countries, women are not usually enumerated as heads of households unless they are either living alone (that is, in one-person household) or there is no adult male in the household.

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