URBAN PROFILING QUESTIONNAIRE
Collecting data on relevant areas for slum upgrading and prevention

WHAT?

The Urban Profiling Questionnaire is the main data collection tool at the beginning of the Participatory Slum Upgrading process. Its inputs inform the narrative of the different sections of the Urban Profiles, both at city and national level. Information required by this Questionnaire shall be carefully and accurately collected by the Implementing Partner, supported by the Country Team. Some questions will require the provision of a figure, while others are meant to be elaborated in words. Adaption of questions and indicators to the national context and available information is required. It is advised to coordinate the collection for each chapter's information with the production of related thematic maps as this combined analysis will enrich the actual writing of profile chapters.

The chapters covered by the questionnaire are the following:

1. Urban Demographics
2. Urban Governance
3. Urban Planning and Design
4. Urban Economy
5. Land and Property Rights
6. Basic Urban Services
7. Housing
8. Social Facilities
9. Climate Change and Risk Reduction
10. Crime and Safety
11. Culture and Heritage
12. Slums and Slum Living Conditions

1. Urban Demographics

Definition Urban population, the main element of urban demographics, refers to people living in urban areas as defined by the national statistical office.

Rationale Urbanisation, the demographic transition from rural to urban, is associated with shifts from an agriculture-based economy to mass industry, technology and service. For the first time ever, and irreversibly, more than half of the world's population lives in cities, and this percentage continues to grow. Over 90% of urban growth is occurring in the developing world, adding an estimated 70 million new residents to urban areas each year. According to UN-Habitat's estimates for 2012/2013, the number of people living in slum conditions amounts to 863 million, in contrast to 760 million in 2000 and 650 million in 1990, due to urbanisation's fast tempo.

Main Indicators

	Indicator	Performance Measurements	*Notes
☐	**Urban population growth**	☐ Total urban population ☐ % of urban population to national population ☐ Urban population growth rate (national) ☐ Urban population growth rate (city) ☐ Birth/death rate	
☐	**Migration**	☐ Annual net migration in thousands	(a) From other parts of the city; (b) other parts of the country, including any residents temporarily absent and returning; (c) international migration; (d) total net migration
☐	**Minority groups**	☐ Special groups with population more than 10% of total, together with percentages	

Questions The following are a set of research questions aimed at obtaining urban demographic inputs for the national/city profiles.

No.		Question	Notes
1.1	☐	How often is there a survey or census for urban demographics? Who conducts the survey? How reliable is this information?	
1.2	☐	What is the total population in the city? Provide population info for the last 2 censuses. What is the population change?	

		What has led to the change in population? Are there any national or local policies that have contributed to this change?	
1.3	☐	What is the area of the urban centre? What is the growth of the city in terms of land area? How has this changed over the different censuses?	
1.4	☐	What is the population density of the city? Provide a table of population densities in the different areas of the city. Show the density changes over the past 2 censuses. Describe the variance in population densities in different year or parts of the city and what caused this variation.	
1.5	☐	In tables or pie charts, disaggregate urban population data by sex ratio, age, income, etc. Explain demographic trends, how they have changed since 2000 and what has caused that change.	
1.6	☐	Who are the minority groups in the city? In a table, show the percentages of each of the minority groups in the city. Give a description and state what makes them minority groups.	
1.7	☐	What is the migration rate and the type of migration experienced in the city e.g. rural urban, urban-urban, etc.? What has been the main cause of migration into/out of the city?	
1.8	☐	What is the birth and death rates in the city? How has this changed since year 2000? What has been the cause of the changes? What is the life expectancy in the city?	
1.9	☐	What policies does the urban centre have to deal with the different changes in urban demographics? Describe the policies.	

Sources   National Statistical Office, Local Government, Research Groups.

2. Urban Governance

Definition   Urban Governance is about the nature, quality and purpose of the totality of relationships that link various institutional spheres – local state, civil society and the private sector – in urban areas. These relationships span formally structured/regulated dimensions and informal ones.

- The nature of relationships refers to the depth of inter-relationships between different institutional spheres, i.e. the level of engagement flowing between the state, civil society and the private sector.
- The quality of the relationships denotes features such as reciprocity, trust and credibility. These characteristics are enhanced by dedicated mechanisms and opportunities to facilitate meaningful engagement. It also presumes distinctive and reasonably well-organised institutional spheres, i.e. civil society organisations (CSOs), the business sector and the local state itself. These spheres are distinctive, yet profoundly inter-dependent.
- The purpose of the relationships denotes that relations are continuously deepened through collaborative action to achieve widely shared social goals and robust engagement on areas of disagreement to work out the most efficient way of achieving higher-order objectives.

Rationale   UN-Habitat suggests that good urban governance is characterized by sustainability, decentralization, equity, efficiency, transparency, accountability, civic engagement, citizenship and urban security. These norms are interdependent and mutually reinforcing.

Main indicators

Indicator	Performance Measurement
☐ **Local Governance Revenue**	☐ Total local government revenue from all sources in US dollars annually, both capital and recurrent. ☐ Percentage of budgeted expenditure on annual plan.
☐ **Citizens Participation**	☐ Level of democratic appointment of local authorities and level of citizens' engagement in public decision-making.
☐ **Independence from Higher Government**	☐ Definition of in what circumstances local governments can make their own decisions or are subject to higher government.
☐ **Elected and Nominated Councilors**	☐ Number of elected and nominated councilors (female/male).
☐ **Representation of Minorities**	☐ Definition of mechanisms for representation of any substantial minorities.
☐ **Access to Information**	☐ A description of what mechanisms are in place to measure consumer business and citizen satisfaction of local government services.
☐ **Decentralization**	☐ Details of any survey or study that has done a comparative survey on perception of quality of life in the city

Questions   The following are a set of questions to help guide the assessment on urban governance.

No.		Question	Notes
2.1	☐	Description of the municipal government. Which main functions does the local government have? Describe other key urban actors in the city.	
2.2	☐	Does the municipality have the mandate to define by-laws? If yes, is this been done and how? If not, what are the restraints?	
2.3	☐	Does the municipal government have a published document articulating a vision for the management of the city? If so, summarise its main features, pointing out whether or not it was done through a participatory planning approach.	
2.4	☐	What is the estimated municipal budget, recurrent and capital? Provide information for the current and last three years.	
2.5	☐	What has been the actual municipal budget for the last three years?	
2.6	☐	Does the municipality publish, on a regular basis, budgets that are accessible to its citizens? If yes, how? If not, what constraints impede publication and access?	
2.7	☐	What are the main local sources of municipal revenue? (e.g. land rates, user charges, building permits, business licenses and fees) Please specify the mayor ones in percentage.	
2.8	☐	Is the municipal government effective in collecting revenue? Rate the effectiveness in terms of: Highly effective, Moderately effective or Not effective. Explain the situation.	
2.9	☐	Provide information on the staffing of the municipal government, showing both men and women. (No. of employees per department divided by sex; percentage of woman in the management of departments) Identify trends and disparities.	
2.10	☐	What is the bigger challenge about local human resources: qualification or number of municipal staff? Is staff easy to find?	
2.11	☐	What was the city's estimated percentage of participation in the last municipal/general elections (separated by sex)?	
2.12	☐	What's the mechanism to elect/appoint/select the city's mayor?	

2.13	☐	Describe how councillors are elected/appointed/selected and by whom. What is the percentage of women councillors in the municipal government? Are they elected? Are there specific mechanisms, such as affirmative action, to ensure women's representation in the municipal government?	
2.14	☐	State the main committees in the council and if/how the issues of gender, youth and minorities are taken care of? State the percentage of woman in these committees.	
2.15	☐	Does the municipality have a gender unit/desk or responsible officer that promotes women's empowerment? How gender concerns, especially those of local women's organisations, are addressed in municipal planning and budgeting?	
2.16	☐	Which local institutions, public and private, actively promote women's affairs and participation in the city? What are their activities? (e.g. lobbying, networking and training, gender analysis, planning and budgeting)	
2.17	☐	Does the municipal government involve civil society in participatory planning and budgeting?	
2.18	☐	Does the municipality advertise tenders and publish the list of those awarded contracts?	
2.19	☐	Is there a regular independent audit of municipal accounts the results of which are widely disseminated? If yes, how are they disseminated? If not, what constraints make this difficult?	
2.20	☐	Is there a facility (e.g. Ombudsman) established within the municipal government to respond to complaints and allegations of corruption? If yes, how is it set-up? If not, what impedes it?	

Sources   Local Government, financial audits, relevant sector Ministries, PPP Partners, CBOs/NGOs and Civil Society Groups.

Reference   UN Habitat, Participatory Urban Governance: Practical Approaches, Regional Trends and UMP Experiences (http://ww2.unhabitat.org/programmes/ump/documents/UMP25.pdf).

3. Urban Planning and Design

Definition Urban planning and design support governments and cities with tested approaches, guidelines and tools for urban growth and improved urban sustainability, efficiency and equity. Within the context of multilevel governance, a special focus is placed on promoting key urban principles, including: optimisation of population and economic density in urban settlements, mixed land use, diversity and better connectivity. Throughout this approach, issues of social inclusion, as ensuring gender balance and the inclusion of vulnerable and disadvantaged groups, shall be addressed and, where possible, local and regional urban planning and design traditions must be respected. Efforts shall also be devoted to ensuring that planning and design contribute to climate change mitigation and adaptation.

Rationale Currently, urban growth around the world is characterized by uncontrolled urban sprawl, leading to inefficient use of space and natural resources. Interaction between humans and opportunities for innovation are constrained by low density and social segregation. But, rather than being seen as a negative consequence of population growth, cities and towns can give real chances for improving the quality of life of the society at large, if organised and planned properly in order to be more efficient in resource use with a limited environmental impact.

Main indicators

Indicator	Performance Measurements
☐ **Median Time for Planning Permission**	☐ The time taken to obtain planning permission for a typical subdivision.
☐ **Expenditure on Development**	☐ The total expenditure on development per annum, per person (three-year average).
☐ **Balancing Economic and Environmental Aspirations**	☐ Coordinate urban planning through regional and metropolitan plans. ☐ Urban planning process addressing: ecosystem and biodiversity protection, natural disaster prevention (such as flooding or erosion) and provision of recreational opportunities.
☐ **Plan for Expansion and Densification**	☐ Available land for development. ☐ Strategies used to incorporate densification.
☐ **Well-designed Public Spaces**	☐ Land allocated for public spaces. ☐ Adequate public space and infrastructure that facilitates non-motorised transport, encouraging walking, cycling and other forms of eco-friendly mobility. ☐ Provision of pedestrian friendly streetscapes and public structures.

Questions The following are a set of research questions aimed at guiding the urban profiler in assessing the state of urban planning and design.

No.		Question	Notes
3.1	☐	Which type of urban development plans does the city have? (e.g. Master Plan, Urban Development Plan, Urban Structure Plans) When each of these plans was developed, and for how long are they valid?	
3.2	☐	Does the municipality publish these planning documents? If yes, how is this made public? If no, what constraints impede publication and access?	
3.3	☐	Estimate how much of the area within the municipality is planned / unplanned. Explain why some areas are not planned. Show in a map the different areas that are planned or unplanned and the planned purposes.	
3.4	☐	Were the plans created in a participatory manner including the different stakeholders within the city? Please, describe the methodology. How was the participation of women, youth and minority groups ensured? If not considered, what constraints impeded the participation of minority groups?	
3.5	☐	Which key physical areas for development did the plans identify? How many projects of the current/past development plan are implemented? Describe the major urban development projects/programmes in the city.	
3.6	☐	Is there reserved land for the expansion of the city? Elaborate.	
3.7	☐	Is there specific land reserved for low-income/high density housing? If yes, please outline the size, location and implementation strategy.	
3.8	☐	What percentage of the land is mixed use (e.g. mixed housing and businesses) versus mono use? Which issues arise from the existing mixed land use?	
3.9	☐	Who are the stakeholders involved in urban planning and design? Which stakeholders does the municipality government work together with?	
3.10	☐	Is there a planning committee that discusses and decides on urban planning and design related issues? If yes, how is the representation of the different city stakeholders ensured?	
3.11	☐	How are projects and programmes planned and implemented at neighbourhood level? Is the community (e.g. neighbourhood planning committees) involved?	

3.12	☐	Which national framework is in place that deals with the content and distribution of functions in urban planning? (e.g. National Urban Policy, Planning Standards and Guidelines, Physical Planning Bill)	
3.13	☐	In this national framework, which urban planning tasks are assigned to the municipality? Does the municipality fulfil them? If not, what are the constraints?	
3.14	☐	Which tasks related to urban planning are not assigned to the municipality? How does this impact the urban planning of the local government?	
3.15	☐	What is the annual budget for the department responsible for urban planning in the city? Does the department responsible for planning and design have adequate funding? If not, what are the main constraints? What effect does this have on the performance of the department?	
3.16	☐	How the private sector is involved in the implementation of the urban development plans projects? Give some examples.	
3.17	☐	Did the local government submit proposals for funding to the central government, NGOs or international development partners? If yes, describe the type of projects and their outcome.	
3.18	☐	Who is the main funder for the implementation of the different urban plans? Explain.	
3.19	☐	How do the plans balance economic, social and environmental needs of the city? Are there plans that focus on the city's environment such as biodiversity, parks, pollution, etc.?	
3.20	☐	Does the city have public spaces? Show in a map the public spaces within the city. What is their designated use? Describe.	

Sources   Municipal Government, Planning Committees, NGOs, Community Committees, Women, Youth and Minority Groups.

Reference   UN Habitat Urban Planning and Design Branch (http://unhabitat.org/expertise/2-urban-planning-and-design/)

4. Urban Economy

Definition   Urban economy covers essentially four substantive areas, namely: enhancing productivity and employment in the urban informal sector; financing municipal services in a decentralized environment; impact of macro-economic factors on urban economic development; and development and strengthening of housing finance systems and institutions.

Rationale   Cities are the main creators of economic wealth, generating on average 75% of a country's Gross Domestic Product (GDP). Most industries and businesses are located in or within immediate vicinity of urban areas, providing city residents with jobs, either formal or informal, as urban economy feeds also in informality. At the same time, cities need to finance their urban developments and invest in basic services and infrastructure. Running a city is a costly undertaking which requires constant investments, especially if it wants to stay competitive at regional, national, and international levels. Following indicators and questions have been divided into two sub-sections, *4.a. City Product* and *4.b. Urban Employment*, for a more detailed rationalisation of urban economy concepts.

4.a. City Product

Rationale   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.

Main indicators of City Product	Indicators	Performance Measurements	Considerations
	☐ **City Product**	☐ Percentage of city product contribution by sector (e.g. industry, agriculture, tourism). ☐ Percentage of city product contribution by the informal sector. ☐ Percentage of household expenditure at city level (e.g. food, rent, education, services, health, savings, entertainment, etc.). ☐ City population under poverty line. ☐ City investment by sector. ☐ Average monthly income per household at city level and disaggregated by quartiles.	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).
	☐ **Investment in the city**	☐ No. of business permits granted per year. ☐ Level of business satisfaction with city and wider urban area. ☐ Domestic credit to private sector (% of GDP). ☐ Private Business Register (number).	

	□	**Availability of Credit for business**	□ Tax payments (number). □ Total tax rate (% of commercial profits).

Questions The following are a table and a set of questions aimed at helping assessing the city product.

Basic Data	Figure	Unit of Measure
City Product	[number/number]	USD/Local Currency
GDP Per Capita (PPP)	[number/number]	USD/Local Currency
Inequality-Adjusted Human Development Index (IHDI)	[number]	Coefficient
GINI Coefficient	[number]	Coefficient
% of City Product Contribution by the Informal Sector	[%]	% of City Product

No.		Question	Notes
4.1	□	Is there any institution, department or organisation periodically producing economic indicators for the city? If yes, provide a profile of this entity and the information produced.	
4.2	□	Are there city economic surveys available? When was the last city economic survey conducted? Who carried out the study/studies? If no particular economic study is available, provide a list of sources containing related information.	
4.3	□	Describe the main economic activities in the city (e.g. industry, manufacturing, trade, agricultural processing, service sector, construction, etc.) How the major economic sectors found within the city locate and interact? What are the basic resources they depend on? Where are these resources coming from?	
4.4	□	Is there any economic plan for the city? Who develops it? Give a summary of the plan.	
4.5	□	Describe the informal economic sector in the city (e.g. street vending, service sector, local manufacturing sector), its contribution to the local product and its interaction with the formal economy.	
4.6	□	What are the main economic advantages of the city? What are the local features that inform the city's competitive ability?	

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4.7	☐	Which economic sectors of the city are on a growth trend and which on a decline trend? How much % they contribute to city product? Is the labour market growing or shrinking? Reasons?	
4.8	☐	What are the main economic potentials in the city? Are these potentials being developed at the moment?	
4.9	☐	What are the main economic problems the city is currently facing? (Poverty, unemployment, import-dependence, etc.) Explain how these economic problems are dealt with.	
4.10	☐	Are there formal credit and financial institutions active in the city that especially focus on the housing market? Describe them. Whom do they mainly target?	
4.11	☐	Describe the municipal authority's role in the city's local economic development (LED; for example, incentives to businesses to locate there e.g. provision of land; urban services, licensing etc.). Describe which specific municipal departments deal with economic planning.	
4.12	☐	How is the municipal budget allocated? Is there any revenue collection being done at local government level? What are the main sources and uses for this local revenue? Provide figures.	
4.13	☐	What is the regulatory framework that investments in the city need to respect? Who provides it? Are there environmental and social impact evaluations being conducted?	
4.14	☐	Are there provisions for assisting bankrupt businesses? Who provides them? What are the eligibility standards?	
4.15	☐	Describe the main administrative and legal steps that must be followed to acquire a credit as a company or business.	

4.b. Urban Employment

Rationale   Urban economies are essential to the process of economic transformation and development, as they can uphold a diversified economy capable of generating sustainable urban employment opportunities. Many new jobs need to be created in cities.

Stimulating productive employment opportunities is 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. In industrialised countries, unemployment rates are the best-known labour market measure and the most familiar economic indicator to express the health of the economy and the success of government economic policy. Unemployment is, however, a formal concept which is often not

applicable in developing countries with their large informal sector. As per the definition 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.

Main Indicators of Urban Employment	Indicators	Performance Measurements	*Notes
	☐ **Employment by Status and Sector**	☐ Employment-to-population ratio, 15+ total (%) and youth (15-24), by sex. ☐ Percentage of working urban residents, men and women, who are formally employed and in which sector or occupation, sorted by age. ☐ Percentage of the employed population, men and women, being part of the informal sector and in which occupation.	
	☐ **Labour Productivity**	☐ Labour productivity growth rate.	Labour productivity represents the amount of output achieved per unit of labour input.
	☐ **Poverty Level**	☐ Working poverty rate. ☐ Vulnerable employment rate by sex.	Working poor are defined as employed persons living in a household whose members are living below the poverty line.
	☐ **Income**	☐ GDP per person employed.	
	☐ **Unemployment**	☐ Average proportion of unemployed (men and women) during the year, as a fraction of the work force. ☐ Unemployment rates by specific groups, defined by age, sex. ☐ Percentage of unemployed people claiming benefits who have been out of work for more than a year.	The 'unemployed' comprise all persons above a specified age who during the reference period are: without work; currently available for work; seeking work.

Questions   The following are a table and a set of questions to help assess the state of city employment.

Basic Data	Figure		Unit of Measure
Proportion of working urban residents who are formally employed	[%]	[% Female; % Male]	% of total working population; % by sex
Proportion of working urban residents who are informally employed	[%]	[% Female; % Male]	% of total working population; % by sex

City Unemployment Rate	[%]	[% Female; % Male]	% of total working population; % by sex
Average Monthly Income per household at city level	[number/number]		USD/Local Currency
Average Monthly Income in city slum households	[number/number]		USD/Local Currency
% of Household Expenditure at city level (e.g. food, rent, education, services, health, savings, leisure, etc.)	[%]		% of total household monthly income
% of city slum Household Expenditure (e.g. food, rent, education, services, health, savings, leisure, etc.)	[%]		% of total household monthly income
City Population Under Poverty Line	[%]	[% Female; % Male]	% of total city population; % by sex
City's Slum Population Under Poverty Line	[%]	[% Female; % Male]	% of total city slums population; % by sex

No.		Question	Notes
4.16	☐	What is the characterisation of the working force by gender, age, education background and formally/informally employed?	
4.17	☐	What's the level of household debt in the city? Describe by different income levels.	
4.18	☐	What is the general feeling about job security? Elaborate.	
4.19	☐	Have there been recent massive dismisses of workers? Are there planned for the future? What are the reasons?	
4.20	☐	Are there labour unions active in the city?	
4.21	☐	Are there legal provisions protecting the rights of informal sector workers? Do they have any kind of legal recognition?	
4.22	☐	Are there institutions/organisations defending informal workers' rights? Describe.	
4.23	☐	Which are common coping strategies for jobless people in the city?	
4.24	☐	What kind of assistance is available to the unemployed? (e.g. alternative employment, financial compensation, relief subsidies, etc.) Who does it? What are the eligibility standards?	
4.25	☐	Characterise the city's population living under the poverty line; general description of the economic conditions of the city poor. Describe their constraints in securing a job (e.g. administrative, legal, transport, education) and level of economic vulnerability.	

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4.26	☐	What actions have been taken to ease the urban poor's economic constraints?	
4.27	☐	Give a general description of the economic conditions of women in the city, particularly poor women, their constraints in securing a job, incidences of salary discrimination and level of economic vulnerability. Are there any additional constraints on women that reflect economically, such as traditions, customs?	
4.28	☐	Are there urban policies/municipal by-laws/rules and regulations (e.g. zoning) which promote women's working activities, especially within the informal sector? What actions have been taken to ease women's working constraints?	
4.29	☐	Are there microcredit institutions operative in low income areas / slums? Do they grant equal access to credit for both women and men? How? What are the credits used for? (home improvement, access to services, start/support economic activities)	
4.30	☐	Are there saving institutions/associations available among poor urban dwellers? How do these institutions work? What's the importance of community-based saving groups? How do these groups work? What are their main economic aims?	
4.31	☐	Does the municipal authority promote equal access to municipal jobs for both women and men, and disabled people? How?	
4.32	☐	Does the municipal authority promote equal rights among businesses under its authority? How? Do private investments promote equal access to jobs for both women and men? How?	
4.33	☐	Describe the municipality's role in supplying job opportunities for the population. Provide figures for its participation in the job market. Are there local labour regulations? Describe which specific municipal departments deal with labour issues.	
4.34	☐	Describe the municipality's role in supplying job opportunities for the population. Provide figures for its participation in the job market. Are there local labour regulations? Describe which specific municipal departments deal with labour issues.	
4.35	☐	What is the regulatory framework that investments in the city need to respect referred to labour regulations?	
4.36	☐	Describe how municipal regulations promote or hinder community-based income-generating activities (e.g. urban agriculture).	

4.37	☐	Describe the constraints that the poor face in accessing credit (e.g. lack of collateral).	

Sources   Municipal Authority, Chambers of Commerce/Industry, Social Fund, Labour Unions, Academy/NGOs, CBOs

Reference   UN-Habitat's Urban Theme 'Economy' (http://unhabitat.org/urban-themes-2/economy/)

5. Land and Property Rights

Definition

Land Access: Opportunities for temporary or permanent use and occupation of land for purposes of shelter, productive activity or recreation and rest. Land access is obtained by direct occupation, exchange (purchase or rental), through membership of family and kin groups, or by allocation by government, other land owners or management authorities.

Land Rights: Socially or legally recognized entitlements to access, use and control areas of land and related natural resources.

Property Rights: Recognised interests in land or property vested in an individual or group and can apply separately to land or development on it. Rights may apply separately to land and to property on it (e.g., houses, apartments or offices). A recognised interest may include customary, statutory or informal social practices which enjoy social legitimacy at a given time and place.

Rationale

Secure land and property rights are critical for reducing poverty and enhancing economic development, gender equality and social stability. When land is poorly managed, issues often lead to disputes, land degradation and lost economic and development opportunities. However, secure land tenure and property rights can be delivered through a variety of forms, and this is a vital step towards sustainable slum upgrading.

Main Indicators

Indicator	Performance Measurements
☐ **Land Availability, Affordability and Accessibility**	☐ Available land for development. ☐ Cost of land within the city. ☐ Amount of vacant land with planning permission. ☐ Amount of vacant land held by the public sector. ☐ Level of developers' contribution. ☐ Proportion of public open space to built-up area, per year.
☐ **Land Acquirement**	☐ Time for obtaining planning permission.
☐ **Information Transparency**	☐ Amount of access to city information. ☐ Public meetings.
☐ **Policies and Legality**	☐ Land policies and regulations.

Questions

The following is a set of research questions aimed at guiding the research profiler in assessing the state of land and property rights.

No.		Question	Notes
5.1	☐	Describe land records used by the city (land register, cadastre, both, etc.). Is the land register and/or cadastre up to date?	

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5.2	☐	When was the last land survey conducted? Who carried it out?	
5.3	☐	Does the country have a land policy? Please list important elements of the policy and related bye-laws.	
5.4	☐	What is the land governance framework for the city? What are the sources of legitimacy: constitutional provisions, national land policy, land law/s, other? Is it pro-poor? How? Elaborate.	
5.5	☐	What sources of funding are being used to implement urban land policies and programmes?	
5.6	☐	Are land records efficient? What is the average time required to register land/secure a title? How much does it cost? How much is this cost in relation to the average income of a city resident? Are users charged other fees for land related services? (e.g. transfer, valuation) Are they affordable, particularly to the poor?	
5.7	☐	**What is the most common process through which individuals access land?** Are there clear procedures to transfer land rights? **How long does it take to clear a parcel of land for development?**	
5.8	☐	State the average residential plot sizes in different parts of the city, clearly differentiating between low density areas and slums.	
5.9	☐	How is informal/illegal land practices managed within the city?	
5.10	☐	Describe the constraints that the poor face in securing land rights *(e.g.* administrative, legal, high prices, high planning standards).	
5.11	☐	Is land management transparent and equitable? Does it have adequate safeguards against corruption, speculation and rent-seeking? Has land related corruption decreased / increased as compared to the previous years? Why and how?	
5.12	☐	What percentage of the land is owned by women or jointly owned by a couple with both parties having equal rights to it?	
5.13	☐	What is the percentage of women with recognized land rights? Does a woman need consent, signature or any other authorisation from a male relative to exercise her land rights? Is there any form of spousal co-ownership / joint titling? Describe.	

5.14	☐	What are the most common types of land disputes? What systems are available for resolution of disputes, including those arising from different institutional sources of legitimacy/land allocation by different authorities? Are these systems effective?	
5.15	☐	Has the city legalised land in informal settlements? If not, what are the arguments for sustaining informal settlements? If yes, how was/is this done?	
5.16	☐	What kind of land management instrument does the government use to manage and allocate land for development?	
5.17	☐	Which is the most common type of land ownership in slums? (private, government, community, etc.). What does this implies regarding the possible legalisation of land tenure in slum areas?	
5.18	☐	Are citizens and the civil society directly involved in the city's land management? How? What is the value-added?	
5.19	☐	Do city regulations and practices conflict with national legislation and policies with respect to land rights for the poor? If so, how is this conflict resolved? Give examples.	
5.20	☐	Is there a current land use plan that through zoning guidelines promotes access to land for the urban poor, equally for both men and women? Describe the accessibility and affordability of formal land markets to the poor and women.	
5.21	☐	Are there informal land markets? If yes, give estimates as to the volume of transactions (as % of the total land transactions) and explain how these operate.	

Reference   UN Habitat Document: Secure Land Rights for All
(https://www.responsibleagroinvestment.org/sites/responsibleagroinvestment.org/files/Secure%20land%20rights%20for%20all- UN%20HABITAT.pdf)

6. Basic Urban Services

Definition   Basic Urban Services are fundamental infrastructural systems that supply basic public needs within urban areas. Services include potable water, sanitation, solid waste management, transport, communications, energy and public space management.

Access to basic urban services is a human right insofar it meets the obligation of the country/city to ensure all citizens enjoy quality living conditions.

The basic urban services that the urban profiler will investigate and provide a snapshot on their operation are:

- 6.a. Access to Improved Water
- 6.b. Access to Improved Sanitation
- 6.c. Access to Electricity
- 6.d. Access to Solid Waste Management Services
- 6.e. Access to Transport Services

Rationale   Quality and reliability of local services are taken for granted in industrialised countries, but limited access to, or poor quality of service infrastructure in developing countries can be a major impediment to business productivity, and a major source of citizen frustration. The poorest households in developing countries generally cannot afford electricity connections, and they have access only to inadequate water supplies, sewage and solid waste disposal systems. Beyond harming their quality of life, the lack of basic services makes slum communities particularly vulnerable to disease and epidemics.

6.a. Access to Improved Water

Rationale   Access to safe water is a fundamental human need whether in rural or urban settings. Yet, many urban residents in developing countries do not have access to reliable and affordable sources of clean water, leading to significant health problems. Particularly affected by inadequate access to water are the urban poor, already burdened by poverty.

Urban profilers will conduct a rapid assessment of the state of water access across the urban populations of the selected cities through secondary literature review and stakeholder interviews. The aim is to identify the various means by which urban residents gain access to water, the percentage of them without adequate access to water, the main water service providers, and the factors determining the state of water service coverage.

Main Indicators   There are a number of different aggregate and disaggregated measures that can be used to assess safe water access at city level. Profilers may define which are the most appropriate.

	Indicators	Measures	Benchmarks
Improved Water Access	☐ **Water Accessibility**	☐ Urban population with access to improved water source (%).	Researchers must explicitly discern what an 'improved water source' is. In general, an 'improved source' supplies drinking water that is affordable at

sufficient quantities and is accessible without excessive physical effort and time.

Improved Water Sources: piped water connection in premises (located inside the user's dwelling, plot or yard), public taps or standpipes, tube wells or boreholes, protected dug wells, protected springs, and rainwater collection.

Unimproved Water Sources: unprotected dug well, unprotected spring, cart with tank/drum/jerry cans, bottled water, tanker-truck and surface water (river, dam, lake, pond, stream, canal, irrigation channels).

According to the World Health Organization (WHO), the water source has to be within 1,000 metres of the household and collection time should not exceed 30 minutes.

☐	**Water Affordability**	☐	Median price per 1,000 litres in US dollars for each source of water accessible to the urban population.	

The costs for water and sanitation services should not exceed 5% of a household's income, meaning services must not affect people's capacity to acquire other essential goods and services, including food, housing, health services and education.

☐	**Water Sufficiency**	☐	Average per capita water consumption for domestic household use (lt.)

According to WHO, between 50 and 100 litres of water per person per day are needed to ensure that most basic needs are met and few health concerns arise.

The water required for personal or domestic y use must be safe, therefore free from micro-organisms, chemical substances and radiological hazards that constitute a thread to health.

☐	**Water Quality**

Measures of drinking-water safety are usually defined by national and/or local standards. WHO's Guidelines for drinking-water quality provide a basis for the development or improvement of these standards.

Questions	Below there is a set of research questions aimed at guiding urban profilers in assessing the state of the city's water service provision and coverage, and the factors influencing it.

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No.		Question	Notes
6.1	☐	What are the main sources of water access across the urban population, whether living in formal or informal settlements?	
6.2	☐	What percentage of the urban population has/doesn't have access to improved water sources? Provide a chart/table and another one with percentages of types of improved water sources.	
6.3	☐	What is the average distance to an improved water source for the different income areas in your city? Explain the variations and what causes access problems.	
6.4	☐	What is the price of water per unit in poor and affluent areas? Provide a table. Explain the difference in prices.	
6.5	☐	How has the percentage of the urban population with access to improved water sources changed since 2000? How has this change affected men and women differently?	
6.6	☐	What are the per capita water requirements of city residents and what is the deficit? What are the general steps needed to achieve access to adequate safe water? What is your city government currently doing to decrease this deficit? Is there an infrastructure development plan for service provision?	
6.7	☐	Which authority is responsible for the water service in the city? Is there any monitoring organ for water governance?	
6.8	☐	Which actors (public, semi-public, private; formal and informal) are involved in providing water for household consumption? Describe existing public/private/community partnerships regarding the provision of water. What works well? Evaluate.	
6.9	☐	If the city is experiencing inadequate coverage of water provision, what constraints do existing water service providers face in expanding water provision?	
6.10	☐	What are the existing policies/laws/frameworks regarding the provision of water? Are there policies that need to be developed to address the equitable provision of services? Describe.	
6.11	☐	How is the provision of services financed by the local government? Please describe sources and investments. Do the funds cover all costs or there is a mechanism for cost sharing?	
6.12	☐	What are the special needs of women/youth/minorities regarding safe water? Have they been surveyed? Are they considered in guidelines used in delivery/provision of safe water?	

Sources	Census data, Utility company studies, NGOs/CBOs, Service Providers, Academic Research Institutions.
Reference	Guidelines for Drinking-water Quality, Fourth Edition, WHO (http://whqlibdoc.who.int/publications/2011/9789241548151_eng.pdf)

6.b. Access to Improved Sanitation

Rationale

Lack of sanitation is a major public health problem causing 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.

Also a public health issue, the provision of cleaning services is one of the major statutory duties for a city, including: refuse collection, cleaning of drains, mowing, spraying of herbicides/weeding, sweeping of roads and cleaning of rivers, rivulets and canals.

Main Indicators of Improved Sanitation Services

Indicators	Performance Measures	Considerations
☐ **Sanitation Services Availability** ☐ **Adequate Provision of Sanitation Services** ☐ **Affordability of Sanitation Services**	☐ From the users' side, e.g. access to improved toilets and sewer system or septic tanks, etc.	Improved Sanitation Facilities, defined as: use of flush/pour flush to piped sewer system, septic tank or pit latrine; ventilated improved pit (VIP) latrine; pit latrine with slab or composting toilet.

Questions

The following is a set of research questions to help assessing the state of sanitation services provision and coverage and the factors contributing to current conditions.

No.		Question	Notes
6.13	☐	What proportion of the city population/households has access to improved sanitation, i.e. access to facilities that hygienically separate human excreta from human, animal and insect contact?	
6.14	☐	What proportion of the city population/households is connected to the sewer line? Provide a map of the coverage of the sewer network. Explain access level to the sewer line within the city.	
6.15	☐	Provide a table to show the percentage of the different sanitation toilet types used within the city.	
6.16	☐	Is open defecation present in the city? If so, what is the percentage of the city population resorting to it? What measures are being taken to ensure the decrease of this practice?	

	6.17	☐	Has access to safe sanitation improved or declined since 2000? How has this change affected men and women differently?	
	6.18	☐	Is there an infrastructure development plan for service provision? (structure plans, policy guidelines) What are the steps needed to achieve access to adequate sanitation?	
	6.19	☐	By whom are sanitation services being provided? Are there any challenges to the provision of sanitation services within the city?	
	6.20	☐	Are there legal instruments to regulate city sanitation services?	
	6.21	☐	Does the municipal government have a published statement or charter that acknowledges the citizens' right to access sanitation?	
	6.22	☐	What are the constraints that the urban poor face in accessing sanitation? Please describe.	
	6.23	☐	How is the provision of sanitation financed by the local government? Please describe sources and investments. Do the funds cover all costs or there is a mechanism for cost sharing?	
	6.24	☐	What is the average household expenditure on sanitation? How does this relate to the household income of the different quartiles?	
	6.25	☐	What are the special needs of women/youth/minorities regarding sanitation? Have they been surveyed? Are they considered in guidelines used in delivery/provision of sanitation services?	

Sources   Census data, Utility company studies, NGOs/CBOs, Service Providers, Academic Research Institutions.

6.c. Access to Electricity

Rationale   Quality and reliability of local services are major factors for business productivity, and a source of frustration for the population if inadequate or ineffective. To ensure households' connection to services like electricity can greatly impact the city informal dwellers' lives.

Main Indicators of Access to Electricity	_____Indicators_____	_____Performance Measurements_____
	☐ **Electricity Accessibility**	☐ Total amount of households with and without electricity access in the city. ☐ Growth in residential connections.
	☐ **Electricity Affordability**	☐ Daily consumption of electricity per capita. ☐ Fraction of household income/private consumption spent on electricity.

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Questions   Here there is a set of questions aimed at guiding researchers assessing the state of city electricity provision and coverage and the factors contributing to the current conditions.

No.		Question	Notes
6.26	☐	Provide the percentage of households with existing connection to electricity. Show in a table/chart.	
6.27	☐	Provide data on the electricity demand and supply in the city. If supply is less than demand, describe this power shortage and what is being done to decrease it. Describe whether there are regular power cuts within the city and if so what causes them.	
6.28	☐	Are illegal electricity connections common in the city? Explain.	
6.29	☐	What are the different technological solutions for provision of electricity used in the city?	
6.30	☐	Is there a city's infrastructure development plan for electricity provision? (structure plans, policy guidelines)	
6.31	☐	Is there any policy concerning the provision of electricity? Does the municipal government have a published statement or charter that acknowledges the citizens' right to basic services?	
6.32	☐	What is the average household expenditure on electricity? Describe this cost relative to the average city household income.	
6.33	☐	Are there any specific technical capacity gaps that impede the adequate provision of electricity? Why?	
6.34	☐	Has the access to electricity improved or declined in the last 10 years? How has this change affected men and women differently?	

Sources   Census data, Utility company studies, NGOs/CBOs, Service Providers, Academic Research Institutions.

6.d. Access to Solid Waste Management Services

Rationale   Inadequate collection and unmanaged disposal of waste present a number of challenges to 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. Regular solid waste collection is a clear indicator of the effectiveness of a municipal administration.

A good waste management system includes a good collection service, a waste chain of treatment and disposal and high rates of reuse and recycling. Fundamental steps are:

Collection – removing waste from residential and commercial areas.
Disposal – Phasing out and upgrading open dumps and controlling the disposal of waste.
Material Recovery – Designing solid waste system to maximize benefits from waste.

Main Indicators for Solid Waste Management Services	Indicators	Performance Measurements
	☐ **Operation Cost**	- Average cost per ton ($/Ton).
	☐ **Social Perception**	- % of people not satisfied with the waste management system.
	☐ **Handling**	- % of recoverable material collected. - Total waste collected compared to the waste generated (%).
	☐ **Quality**	- Evaluation of the waste management system service.
	☐ **Final Disposal**	- No. of city dump sites and assessment of their capacities.
	☐ **Resources**	- Coverage of the collection service.
	☐ **Social Participation**	- % of people participating in waste management.
	☐ **Financial Autonomy**	- System revenue.
	☐ **Recovery and Treatment**	- % of recyclable waste recovered.

Questions The following is a set of questions to help urban profilers to assess the state of waste management services and coverage and the factors contributing to current city conditions.

No.		Question	Notes
6.35	☐	Provide the percentage of city households with regular (e.g. weekly or more often) waste collection. How much does it cost per household? How this cost relates to city household income.	
6.36	☐	Who is dealing with city solid waste collection and disposal? Are there any private initiatives or NGOs involved? (Municipal bodies, public services and private contractors)	
6.37	☐	What are the selected disposal methods? (waste disposed to sanitary landfill; incinerated and burned openly; disposed to open dump; recycled; other)	
6.38	☐	Where the dump sites are located? Are they secure and managed according to national environmental standards?	
6.39	☐	Are there initiatives for waste reduction, reuse and recycling being carried out by the municipal council, NGOs or others?	

6.40	☐	Is there any policy concerning the provision of solid waste disposal? Does the municipal government have a published statement or charter that acknowledges the citizens' right to access solid waste management?	
6.41	☐	Is there any infrastructure development plan for service provision of solid waste disposal (structure plan, policy guidelines)?	
6.42	☐	Has access to solid waste management improved or declined since 2000? How has this change affected men and women differently?	
6.43	☐	How is the provision of waste management services financed by the local government? Please describe sources and investments. Do the funds cover all costs or there is a mechanism for cost sharing?	
6.44	☐	What are the constraints that the poor face in accessing solid waste management? Please describe.	
6.45	☐	Describe existing public/private/community partnerships regarding the provision of solid waste management. What works well? What does not? Evaluate.	

Sources Census data, Utility company studies, NGOs/CBOs, Service Providers, Academic Research Institutions.

6.e. Access to Transport Services

Rationale Transport plays a determining role in the urban economy and the quality of life in cities. Transport should be as efficient and affordable as possible to ensure the sustainable movement of goods and all people, reducing impacts on the environment.

Effective and environmentally sound transportation systems are delivered through measures allowing different travel modes, as transportation systems should be adequately balanced for the several uses required.

Main Indicators of Access to Transport Services

_____Indicators_____	_____Performance Measurements_____
☐ **Accessibility**	☐ Proximity of destinations and facilitation offered by the transport system to reach them (including public transport and non-motorized transport).
☐ **Mobility**	☐ Availability of means of public transport such as buses or rail systems.
☐ **Affordability**	☐ Cost of fare in relation to city household income.
☐ **Safety and Security**	
☐ **Public Involvement**	

☐ Passenger exposure to dangers on public transport.

☐ Citizens' capability to influence planning and operation of public transport.

Questions   Bellow there is a set of research questions aimed at helping assessing the state of city transport services provision and coverage and the factors behind its current state.

No.		Question	Notes
6.46	☐	What are the most common means of transportation in the city? What is the percentage of use for each of them? (walk, minibus, taxi, private car, train, etc.) Explain why certain modes of transport are preferred over others**.**	
6.47	☐	What is the cost of public transportation within the city and how does this cost relate to the average city household income.	
6.48	☐	Is there any public transport system provided/subsided by the local authority? If yes, how is this transportation service financed by the local government? Describe sources and investments. Do the funds cover all costs or there is a mechanism for cost sharing?	
6.49	☐	Are there any specific technical capacity gaps in the city that impede the adequate provision of transportation services?	
6.50	☐	What's the recurrence of safety issues for the different modes of transport? (road accidents, carjacking etc.) Provide data**.**	
6.51	☐	What are the special needs of women/youth/minorities regarding transportation? Have they been surveyed? Are they considered in guidelines used in delivery/provision of transport services? If so, how?	
6.52	☐	Does the municipal government have a published statement or charter that acknowledges the citizens' right to transport services?	
6.53	☐	What are the constraints that the poor face in accessing transport services? Describe.	

Sources   Census data, Utility company studies, NGOs/CBOs, Service Providers, Academic Research Institutions.

7. Housing

Definition   The United Nations Committee on Economic, Social and Cultural Rights has listed the key aspects of the right to adequate housing as: security of tenure; availability of services, materials, facilities and infrastructure; affordability; habitability; accessibility; location; cultural adequacy.

Rationale   The world is experiencing a global housing crisis: worldwide, some 827.6 million people live in urban slums; by 2020, it is estimated the world slum population will reach almost 1 billion; more than 50 per cent of the world's population now live in urban areas; lack of clean water and sanitation claim the lives of more than 1.8 million young children every year. Therefore, housing must become a priority. Adequate housing is vitally important to the health of the world's communities and economies.

Main Indicators of Housing	Indicator	Performance Measurements	Considerations
	☐ **Housing Finance**	☐ Mortgage to credit ratio.	A developed housing finance system is a prerequisite to an efficient shelter sector able to respond to the demand for new housing.
		☐ Houses with mortgages.	% of dwellings having mortgages. Low or falling (specially, zero) implies no effective system of housing finance is in place.
		☐ Mortgage loans for women.	% of mortgage loans held by women. Low or falling proportions mean that women are not gaining access to the financial system.
	☐ **Right to Adequate Housing**	☐ Authorized housing. ☐ Evictions. ☐ Dwelling type. ☐ Tenure type. ☐ House price to income ratio. ☐ House rent to income ratio. ☐ Floor area per person.	The law shall prohibit any discrimination and guarantee to all persons equal and effective shelter access and protection.
	☐ **Squatter Regularization or Resettlement** ☐ **Recognize Informal Housing Areas as Legitimate Parts of the City**	☐ Informal housing, squatters, and dwellings in compliance. ☐ No. of households regularized or resettled per year. ☐ No. of homeless people.	This refers to households regularized or resettled annually divided by total squatter households. Regularized means that title is

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provided to the residents. Resettled means that they are transferred to formal housing.

The following is a set of questions to help assessing the state of the city/country's housing.

No.		Question	Notes
7.1	☐	When was the last housing survey conducted? Who carried out the study? When will the next survey be conducted?	
7.2	☐	Is there information on informal housing prevalence and conditions? (e.g. enumeration of slum households/informal dwellers) Describe when and how these enumerations were undertaken; the actors involved; the reliability of the data; and if/how the information is utilised by local and national authorities for planning and decision-making.	
7.3	☐	What is the average household size at city level? And in the first and third quartiles? Is there significant variation across different neighbourhoods? How does the average household size of slums and informal areas compare to other areas of the city? Are there other relevant specificities (e.g. multiple families sharing the same house in different rooms, etc.)?	
7.4	☐	Who are the key financial actors in the housing market (e.g. government and commercial banks; non-bank financial institutions; contractual savings providers; building societies; micro-finance institutions; CBO savings groups, etc.)	
7.5	☐	Is financial assistance available for house purchase, construction or renovation? For both men and women? What are the criteria and conditions to receive a subsidy?	
7.6	☐	Describe the strength of the mortgage market; What are the prevailing mortgage conditions? (e.g. deposit requirements; interest rates; repayment periods; insurance; etc.) What proportion of the population has access to such a mortgage?	
7.7	☐	Describe pro-poor financing options for affordable housing (e.g. urban poor funds; community savings groups, 'merry-go round' savings groups; small loans for incremental building; etc.) Give an indication of their scale, effectiveness and impact in delivering affordable housing.	
7.8	☐	Are publicly-managed capital funds (e.g. pension funds, workers severance funds, etc.) utilised for housing development? If so what is their scale, effectiveness and do they reach the poorer households?	

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7.9	☐	Who are the key suppliers of housing (public entities, private/informal developers, 'slum landlords', etc.) and what proportion of the total supply of houses are they each supplying?	
7.10	☐	What is the current housing deficit (backlog) of adequate housing at the city level? What is the anticipated housing demand for the coming decade(s); how many units will be required annually to cope with continued urbanisation? What is the current rate of housing production; formal and informal?	
7.11	☐	What are the prevailing city housing tenure types and their proportions? (e.g. home ownership, formal renting, civil servant housing, informal renting, leasehold, group ownership, condominium, etc.) Are there significant tenure differences in different city quarters, particularly in slums and informal areas?	
7.12	☐	What is the average construction cost of a house per m^2 (including and excluding land) in each area/neighbourhood of the city? What percentage of the population could afford a basic two-bedroom 40m^2 house?	
7.13	☐	What is the ratio of house price to household income for (a) a formal housing unit and (b) an informal housing unit located in a slum/informal neighbourhood?	
7.14	☐	Are there homeless men and women/'street sleepers' in the city? If yes, how many are them and what is their demographic? (age, minority group, etc.) What are the reasons for homelessness in the city? Where are they residing? Is the local government or other stakeholders addressing this issue? If yes, how?	
7.15	☐	Describe the prevalence of female headed households (as a % of the total). Describe the specific challenges they face in having adequate housing, particularly female informal dwellers (e.g. balancing multiple roles as mothers, bread-winners, etc.)	
7.16	☐	What are special needs (financial, physical, socio-cultural, etc.) of women/youth/minorities regarding housing? Have these needs been surveyed? When? By whom?	
7.17	☐	Describe the housing conditions, needs and priorities of indigenous peoples and specific socio-cultural groups; what are the specific challenges to provide culturally adequate housing for these people and groups; Are their needs reflected/being addressed in policies, strategies, programmes or projects? How?	

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7.18	☐	Summarise the key institutions and organizations involved in the housing sector and explain their roles and how they relate to each other (e.g. ministries, local authorities, private sector, NGOs, CBOs). Provide an organogram/diagram of relations.	
7.19	☐	What public and private professional bodies monitor and/or regulate the real estate market and housing finance sector?	
7.20	☐	Describe a successful example(s) of public/private/community partnerships which have supplied and/or managed affordable housing. What tools and strategies bolster the success?	
7.21	☐	Describe the most significant policies, legislation and regulations for housing; when were they passed and have there been significant revisions? Is there an explicit policy or strategy to deal with informal settlements and slums? If so, when was it passed and what provisions does it include to support in-situ upgrading?	
7.22	☐	Is the universal right to adequate housing included/ adapted in national/local legislation? What specific provisions are included to resist forced evictions? Is it enforced? How?	
7.23	☐	Identify and explain regulations and legislations that limit the affordability and accessibility of housing for low-income groups (e.g. large minimum plot sizes, unrealistic standards; not permitting traditional materials such as earth construction, etc.). Describe regulations and legislation that improve access (e.g. establishment of improvement areas with special bye-laws).	
7.24	☐	Are there policies and strategies that support mixed-use housing developments and compact cities through infill and extension?	
7.25	☐	Is there a rent control act governing rental housing practice? If yes/no, what effects does this have on the housing market?	
7.26	☐	Are there policies or strategies for Public-Private-Partnership (PPP) in housing provision? How effective are these in delivering affordable housing? (e.g. number of units built per annum) Where are the blockages?	

Sources   Census Bureau, Municipal Government, Local Authority, Housing Department, NGOs/CBOs, Academic institutions

Reference   UN Habitat Document "The Right to Adequate Housing" (http://www.ohchr.org/Documents/Publications/FS21_rev_1_Housing_en.pdf)

8. Social Facilities

Definition Social facilities include educational and health facilities, libraries, religious facilities, sports centres, public parks, etc.

Rationale Unhygienic living conditions, lack of planning and preparedness, the juxtaposition of residential and industrial functions and an antihuman environment represent the causes of poor city-health. Often, poor city areas enjoy less social facilities, and urban poor people are most prone to environmental hazards and job related diseases as they are the least able to avoid them and recover as they lack the income or assets (insurance, etc.) to cope with illness and injury. Poorer households lose a high proportion of the total income from being ill. Provision of necessary social facilities is essential for a harmonic and sustainable city life, especially for slum dwellers.

Main Indicators of Social Facilities

Indicator	Performance Measurements
☐ **Availability of Social Facilities**	☐ Schools, hospitals, libraries, community centres, parks, playgrounds, walking/biking trails, sport facilities and stadiums, theatres, religious facilities.
☐ **Affordability of Social Facilities**	☐ School fees, prices for hospital visits, entrance fees for public facilities (library, parks, stadium, theatres and religious facilities).
☐ **Accessibility to Social Facilities**	☐ Use rate of the social facilities.
☐ **Policy and Legislation Support**	

Questions The following is a group of questions to guide the assessment of the city's social facilities.

Schools

No.		Question	Notes
8.1	☐	What is the number of schools and education facilities in the city? In a table, enumerate the different types of schools. What is the ratio of schools to the city's population? How many new education facilities have been built since 2000? Elaborate.	
8.2	☐	How is the distribution of schools in within the city? Map their distribution in relation to population density and income areas.	
8.3	☐	What areas are underserviced by schools? Describe reasons and impacts. What are the main constraints in the provision of education facilities?	
8.4	☐	What is the investment per capita by the central/local government in the provision of schools? Describe criteria and reasons for the investment amount.	

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No.		Question	Notes
8.5	☐	Does the provision of schools fall under the national government or local government? What are the guiding policies?	
8.6	☐	Who are the main stakeholders in the provision of school facilities in the city? Give details on stakeholders and school types.	
8.7	☐	Are there policies that need to be developed to address the equitable provision of school facilities? Is there a pro-poor policy for the provision of schools in urban areas? If yes/no, explain.	
8.8	☐	Are some of the education facilities reserved for a specific gender? If so, which ones? Give a description and explain why.	
8.9	☐	What are the constraints that the urban poor face in accessing education facilities? Elaborate.	
8.10	☐	Is the community involved in the decision making process for setting up/running school facilities? Give examples and details.	
8.11	☐	Are the existing education facilities well maintained and who maintains them? Show in a table the annual budget for the maintenance of the different facilities. If not well maintained, what are the impeding causes for the lack of maintenance?	

Hospitals

No.		Question	Notes
8.12	☐	What is the number of hospitals and health facilities in the city? Provide a table with the different types of health facilities. What is the ratio of hospitals to the population of the city? How many new health facilities have been built since 2000? Describe impact.	
8.13	☐	What is the distribution of hospitals/health facilities in the city? Map them in relation to population density and income areas.	
8.14	☐	What areas are underserviced by hospitals/health facilities? Describe reasons and impacts. What are the main constraints in the provision of education facilities?	
8.15	☐	What is the investment per capita by the central/local government in the provision of health facilities? Describe criteria and reasons for the investment amount.	

No.		Question	Notes
8.16	☐	Does the provision of hospitals fall under the national or local government? What are the guiding policies?	
8.17	☐	Who are the main stakeholders providing health facilities in the city? Give details on stakeholders and type of health facilities.	
8.18	☐	Are there policies that need to be developed to address the fair provision of health facilities? Is there a pro-poor policy for the provision of health facilities in urban areas? Describe briefly.	
8.19	☐	Are some of the health facilities reserved for a specific gender? If so, which ones? Give a description and explain why.	
8.20	☐	What are the constraints that the urban poor face in accessing hospitals and health facilities? Describe.	
8.21	☐	Is the community involved in the decision making process for setting up/running health facilities? Give examples and details.	
8.22	☐	Are the existing health facilities well maintained and who maintains them? Show in a table the annual budget for the maintenance of the different facilities. If not well maintained, what are the impeding causes for the lack of maintenance?	

Social Amenities (e.g. parks, trails, community centres, stadiums, etc.)

No.		Question	Notes
8.23	☐	Enumerate in a table the different types of social amenities in the city. What is the ratio of the different social amenities to the population of the city? How many new social amenities have been built since 2000? Describe the cause and impact.	
8.24	☐	Map and explain the distribution of social amenities in the city, in relation to population density and income areas.	
8.25	☐	What areas are underserviced by social amenities? Describe reasons and impacts. What are the main constraints in the provision of social amenities?	
8.26	☐	What is the investment per capita by the central/local government in the provision of the social amenities? Describe criteria and reasons for the investment amount.	

8.27	☐	Does the provision of social amenities fall under the national government or local government? What are the guiding policies?	
8.28	☐	Who are the main stakeholders providing social amenities in the city? Give details on stakeholders and type of social amenities.	
8.29	☐	Are there policies that need to be developed to address the equitable provision of social amenities? Is there a pro-poor policy for the provision of social amenities in urban areas? Describe.	
8.30	☐	Are some of the social amenities reserved for a specific gender? If so, which ones? Give a description and explain why.	
8.31	☐	What are the constraints that the poor face in accessing social amenities? Describe.	
8.32	☐	Is the community involved in the decision making process for setting up/running social amenities? Give examples and details.	
8.33	☐	Are the existing social amenities well maintained and who maintains them? Show in a table the annual budget for the maintenance of the different amenities? If not well maintained, what are the impeding causes for the lack of maintenance?	

Sources   Government Ministries, Local Authorities, NGOs/CBOs.

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9. Environment and Risk Reduction

Definition   Cities are increasingly exposed to a variety of natural and manmade hazards, including droughts, floods, earthquakes, storms, and volcanic eruptions. The potential for a hazard to become a disaster depends on the degree of exposure of the population and its physical or economic assets. Urbanisation, migration, population growth, and economic development all increase the concentration of people and assets in high-risk areas. This high degree of vulnerability of both people and infrastructure within cities explains why natural hazards have greater social and economic impact in urban than in rural areas.

Rationale   Developing world's cities face increased risk of disasters, and the potential of economic and human losses from natural hazards is being exacerbated by unplanned urban expansion and influenced by the quality of urban management. Even disasters happening elsewhere can hardly impact urban areas, as a drought in other regions can affect food market-dependent cities. Urban poor, certainly, are the worse hit. Better urban management and governance is at the heart of reducing disaster and climate change risks and making cities safer. Cities can plan and respond better if the location and nature of the risk is known, mainstreaming risk assessment and management in urban development.

Main Indicators of Climate Change and Risk Management	Indicator	Performance Measurements
	☐ **Climate Change Integration into Planning**	☐ Representation of strategies that address climate change in relevant planning documents and processes
	☐ **Budgeting and Finance**	☐ Financial support for climate change mainstreaming and related initiatives
	☐ **Institutional Knowledge/Capacity**	☐ Level of knowledge and training key personnel in climate change issues and mainstreaming processes
	☐ **Participation**	☐ Quality of stakeholder engagement in decision-making to address climate change
	☐ **Awareness among Stakeholders**	☐ Awareness of climate change issues, risks and responses
	☐ **Vulnerability/Resilience to Disaster and Climate Change Impacts**	☐ Numbers of people better able to cope with climate change and variability

Questions   Below is a set of questions aimed at assessing the state of climate and risk management.

Climate Change

No.		Question	Notes
9.1	☐	Which institutions, public and private, assemble and disseminate information about climate change at city level? How is this information disseminated and shared with others? (e.g. print and electronic media, newsletters, publications)	

No.		Question	Notes
9.2	☐	Indicate the latest surveys, reports or similar on climate change. Who made them and when? What are their main findings?	
9.3	☐	Does the municipality have a map in place of areas likely to be impacted by climate change? If so, provide the map.	
9.4	☐	Did the city experience any effects of climate change in the last decades? If yes, what are they and which effects do they have on the population and the city?	
9.5	☐	Do you expect any climate change impact in the future? Which kind? (positive and negative) With which effects on residents and city management? What is the level of city preparedness?	
9.6	☐	How do the municipality and other stakeholders work together in climate change mitigation and environmental protection?	
9.7	☐	Which stakeholders exist in the city relevant to risk management? How are they contributing to climate change mitigation?	
9.8	☐	What are the main challenges in implementing climate change mitigation measures? (e.g. lack of awareness, too costly, resistance from private sector, inability of partners, standards too high) Describe how this is being handled.	
9.9	☐	How much of the annual municipal budget is spend on climate change adaptation and environmental protection? Which other sources of funding exist for this? How does the city council mobilise resources (financial and non-financial) to support climate change adaptation and environmental protection? What resources have been mobilised from external sources? (amount)	

Risk Reduction

No.		Question	Notes
9.10	☐	Which institutions, public and private, assemble and disseminate information about disaster risk reduction at city level? How is this information disseminated and shared? (e.g. print and electronic media, newsletters, publications)	

9.11	☐	Indicate the latest surveys, reports or similar on disaster risk reduction, their findings and who prepared them and when.	
9.12	☐	Does the municipality have a disaster prone areas' map in place? (e.g. areas near fault lines, areas prone to forest fires, areas with sink holes, low lying areas near the ocean etc.) Provide the map.	
9.13	☐	Estimate the population living in precarious urban sites, as: flood plains, steep slopes, earthquake or volcano areas, storm/cyclone corridors, bush fire prone, highly polluted areas (garbage, soil, water), nearby high risk areas (railroads, airports, energy transmission lines). How many slum dwellers are among them?	
9.14	☐	What are the main risks of environmental disaster facing the city?	
9.15	☐	What natural disasters have struck the city in the past, and what were their causes? What impact did these disasters have on the city? (e.g. death of people, destruction of houses or infrastructure) Could anything have been done differently to reduce the losses (before, during and after the events)? Has anything been done to reduce similar impacts in the future?	
9.16	☐	How do the municipality and other stakeholders assist in the event of a disaster? Explain how different actors were involved in the mitigation of past disasters' effects.	
9.17	☐	Are issues of disasters and environmental protection included in the overall city development plans?	
9.18	☐	How are the needs of women, youth and other minority groups included in the disaster plans? Describe.	
9.19	☐	What is the role of the local government in disaster risk management? Is there a disaster risk committee in place?	
9.20	☐	Is there a regulation or policy related to urban disaster risk management and mitigation? If yes, what are the responsibilities of the municipality and is the municipality following them?	
9.21	☐	What are the main challenges in implementing disaster risk reduction measures? (e.g. lack of awareness, too costly, resistance from private sector, inability of partners, standards too high)	
9.22	☐	How much of the annual municipal budget is spent on urban risk reduction measures? Which other sources of	

| | | funding exist for them? How does the city council mobilise resources (financial and non-financial) to support disaster risk reduction? What resources have been mobilised from external sources? ($) | |

Sources   Municipality, Community Committees, Business Associations, NGOs/CBOs, Private Sector.

Reference   World Bank. Urban Risk Assessments: Understanding Disaster and Climate Risk in Cities. (http://www.wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2012/07/13/000386194_20120713023320/Rendered/PDF/709820PUB0EPI0067926B09780821389621.pdf)

http://www.preventionweb.net/english/professional/publications/v.php?id=31807

10. Crime and Safety

Definition The problem of crime and violence in cities has been long recognized as a growing and serious challenge in the entire world. Studies of this phenomenon have encompassed the following issues: distribution and incidence across countries and levels of development; distribution and incidence of the impact of crime and violence across different categories of people, specifically by gender, race and age; location of violence by city size; types of violence, perpetrators and victims; economic and financial costs of violence; and diverse theories of causation – from the ecological model of violence, through more psycho-cultural explanations, to broader macro-economic and developmental frameworks.

Rationale Global studies show that 60% of all urban residents in developing countries have been victims of crime at least once over the past five years, 70% of them in Latin America and Africa. Urbanisation, particularly in the developing world, has been accompanied by increased levels of crime, violence, and lawlessness. The growing violence and feeling of insecurity that city dwellers are facing daily is one of the major challenges of the world.

Main indicators of crime and safety

Indicator	Performance Measurements	*Notes
☐ **Urban Insecurity** ☐ **Urban Crime** ☐ **Violence Against Women**	☐ Number of reported crimes per 1,000 people: (a) murders, (b) drug related crimes, (c) theft. ☐ Existence of areas considered as inaccessible or dangerous to the police. ☐ Existence of weapons control policy. ☐ Existence of assistance programme(s) for victims of violence. ☐ Existence of official policy against domestic violence. ☐ Reported number of physical and/or sexual violence against women.	The United Nations defines violence against women as 'any act of gender-based violence that results in, or is likely to result in, physical, sexual or mental harm or suffering to women, including threats of such acts, coercion or arbitrary deprivation of liberty, whether occurring in public or in private life.'

Questions The following is a set of research questions to assess the city' state of crime and safety.

No.		Question	Notes
10.1	☐	What are the main safety/security issues facing the city? Show in a table the different types of crime. (e.g. terrorism threats, civil unrest, police related, etc.) Give a description of the causes and the measures the local government is taking to tackle them.	
10.2	☐	What type/kind of crimes are the most common? (e.g. robbery, assault, rape, car-jacking, etc.) Explain.	
10.3	☐	Which areas of the city are considered most unsafe? (e.g. city centre, slums/informal settlements, etc.) What makes	

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		them more unsafe? What is the local government doing to secure them?	
10.4	☐	Are spatial/urban planning elements considered in delivery/provision of urban safety? If so, how?	
10.5	☐	Are safety/security issues considered in upgrading of informal settlements/slums? If so, explain how.	
10.6	☐	Who are the 'groups at risk', being the most affected/targeted by crime/violence? (women, youth, elderly, immigrants, poor) What measures is the local government doing to decrease their risk?	
10.7	☐	Does the local government or other authority have a published policy for protecting women from all forms of violence? Does the municipal government or other authorities maintain records of violence against women? (e.g. rape, assault, harassment etc.)	
10.8	☐	Explain what steps, if any, the municipal council has taken to eliminate violence against women at home and in public?	
10.9	☐	Are the needs of minority groups such as women and youth considered in delivery/provision of urban safety? If so, how?	
10.10	☐	Whose responsibility is it to provide safety/security to city users and residents? Who actually provides the safety/security? Are they mandated by national/local legislation? If so, which one(s)?	
10.11	☐	What is the role of the municipal government in the delivery/provision of safety/security?	
10.12	☐	Does the municipal government or other public authority (e.g. the police force) have a published crime prevention policy or strategy? If so, summarise its main features.	
10.13	☐	From what sources are resources mobilised for delivery/provision of urban safety? When and how is this done?	
10.14	☐	What constraints do the poor face in accessing better safety/security living environment?	

Sources   Municipal authority, Police/Security Authority, NGOs/CBOs, Private Sector.

Reference   UN Habitat Document: Enhancing Urban Safety and Security
(file:///C:/Users/habint446/Downloads/2432_alt.pdf)

Definition   The definition of Culture according to UNESCO is, 'culture should be regarded as the set of distinctive spiritual, material, intellectual and emotional features of society or a social group, and that it encompasses, in addition to art and literature, lifestyles, ways of living together, value systems, traditions and beliefs.' (UNESCO, 2001)

Heritage is our legacy from the past, what we live with today, and what we pass on to future generations. The term *heritage* stresses the conservation and transfer from generation to generation. (UNESCO)

Rationale   Culture and heritage are two essential parts of creating sustainable cities. They are development 'assets' that can contribute to mobilising communities and learn from them, mitigating poverty, improving development effectiveness, contributing to economic growth and enhancing quality of life.

11.a. Culture		
Main Indicators of Cultural and Natural Heritage	**Indicators**	**Performance Measurements**
	☐ **Education**	☐ Percentage of the population at the different education levels.
	☐ **Religion**	☐ Diversity of religions.
		☐ Records of ethnic/religious clashes.
	☐ **Tourism industry**	☐ Tourism figures of the city
	☐ **Cultural activities**	

Questions   Following there is a set of questions aimed at assessing the city's state of cultural matters.

No.		Question	Notes
11.1	☐	In a table show the percentage of the city population at different education levels. How has this changed since 2000? Explain the impacts of education to the culture of the city' society.	
11.2	☐	What are the main religions in the city? Quantify. Are there religious aspects and considerations that shape urban life and planning?	
11.3	☐	What form of identity do the people in the city identify with? (e.g. religion, tribe, race, nation, clan etc.) How does this impact the culture and daily life in the city?	
11.4	☐	Are there records of ethnic/religious clashes taking place in the city? Has the city provided space for peace building?	

11.5	☐	How does city's culture impact women's rights? Describe. What is the local government doing to empower city women?	
11.6	☐	Are there policies and legislations at the national/local level that ensure the cohabitation of people of different cultures? Describe.	
11.7	☐	Does the citizens' culture enhance or clash with efforts for slum upgrading? Describe. Is traditional architecture a characteristic feature of the city? Is it still important in providing housing solutions for urban dwellers?	
11.8	☐	Outline the city's main contributions to the country in terms of cultural matters (e.g. traditional culture's history, birthplace to recognised artists/writers/musicians or cultural movements, current cultural activity, etc.). Rate levels of participation of the inhabitants in the cultural life of the city.	
11.9	☐	Is the tourism industry an asset for the city? In which ways it contributes to urban life? Is it sustainable?	
11.10	☐	Are cultural events affordable for the urban poor? How does the municipal council ensure culture reaches also to deprived citizens?	
11.11	☐	Are there city neighbourhoods/districts particularly oriented to host cultural activities? Are city parks natural venues for cultural activities and shows? Provide descriptions.	
11.12	☐	Are public festivals shows and performances part of the city's life? Do they contribute to the city's identity and generation of revenue? Do citizens appreciate these events?	
11.13	☐	Describe how universities participate in the city's cultural life. Describe their fields of interest.(e.g. formation, research, support)	
11.14	☐	What government structures take part in cultural matters? (e.g. organising cultural activities, managing public museums/archives/ libraries, theatres and cultural centres) What are the official offices dealing with the registration of cultural associations? Which departments deal with the authorisation of public events?	

11.b. Heritage

Indicators	Performance Measurements

Main Indicators of Cultural and Natural Heritage	☐ **Responses to Conserve Natural Heritage Places**	☐ Policy structure and incentives for cultural conservation work ☐ Funding for natural heritage conservation work. ☐ Area and number of protected area reserves.
	☐ **Responses to Conserve Historic Heritage**	☐ Indigenous people involvement in managing traditional land ☐ Cross-cultural training for site recording and management. ☐ Community consultation for planning and funding heritage conservation.
	☐ **Responses to Conserve Indigenous Heritage**	☐ Conservation and adequate storage of heritage objects. ☐ Policies and principles on issues of intellectual property, moral rights and commercialisation of knowledge.
	☐ **Heritage Legislation**	☐ Consultation, heritage identification, assessment and consent.
	☐ **Responses to Conserve Heritage Collections**	☐ Professional employment opportunities. ☐ Participation rate by indigenous people in professional heritage management. ☐ Use of volunteers.
	☐ **Expertise and Skills for Managing Heritage**	☐ Media reporting of heritage issues. ☐ Heritage tourism.
	☐ **Community Awareness of Heritage**	☐ Community involvement in heritage festivals/cultural events.

| Questions | In the following page there are a table and a set of research questions aimed at guiding the urban profiler in assessing the state of culture and heritage in the city. |

Basic Data	**Figure**	**Unit of Measure**
No. of heritage or historical buildings in the city and its surroundings.	[number]	Total number
No. of relevant churches/mosques/shrines and other religious buildings and sites.	[number]	Total numbers for each category
No. of cultural facilities: museums, libraries, theatres/amphitheatres, cinemas and art galleries.	[number]	Total numbers for each category
Number of registered cultural associations (provide different categories if necessary).	[number]	Total numbers for each category
% of cultural associations dealing with traditional culture (e.g. traditional music and dance, etc.).	[%]	% of total number of cultural associations
No. of cultural festivals that take place in the city (provide different categories if necessary).	[number]	Total numbers for each category
No. of cultural centres established in the city.	[number]	Total number

No.		Question	Notes

11.15	☐	Are there strong traditional life's aspects present in the city? What are the main characteristics of this traditional way of life? How do/did they influence urban life and the morphology of the city? Has this had a particular effect in the life of women and youth?	
11.16	☐	Describe the main historic buildings and sites located in the city and its immediate surroundings. Is there public awareness of their existence? Do they contribute to the city's identity? Are they tourist attractions generating revenue for the city?	
11.17	☐	Describe the main natural heritage sites located in the city and its immediate surroundings. Is there public awareness of their existence? Do they contribute to the city's identity? Are they tourist attractions generating revenue for the city?	
11.18	☐	What are the future scenarios related to the development of the city's cultural/natural heritage areas? Are there city dwellers living in these areas? Are there conflicts between heritage and people?	
11.19	☐	Give a general description of the conservation status of the city's cultural/natural heritage sites. Include the proportion of precarious sites and a description of challenges (highly polluted areas, in decay or destroyed, flooded, threaten by urban developments, etc.).	
11.20	☐	Provide examples of past, planned or on-going upgrading/ restoration/conservation activities within the heritage areas of the city. Who has performed them? Who has funded/supported them?	
11.21	☐	What government offices and departments take part in upgrading/ conservation of cultural/natural heritage areas and sites? Which kind of process is used to determine priority interventions? (e.g. participatory methods) Who participates? (residents, NGOs, etc.)	
11.22	☐	What are the city and/or national regulations that guide management and development/conservation of cultural/natural heritage areas and sites? Do regulations at city level conflict in any way with national legislation or policies? If so, give examples.	
11.23	☐	What is the legal framework for property related issues in heritage areas and sites? Who owns the land in such areas?	

11.24	☐	Describe the municipal authority's role in developing heritage areas and sites (e.g. provision of land, services, licensing, etc.).	
11.25	☐	Describe any existing conflict-solving legislation to mediate in heritage sites' conflicts.	
11.26	☐	What are the main sources of funds for cultural activities and development/conservation of heritage sites? Is there any budget allocated from the central/local government for the development/ conservation of historical/natural sites present in the city?	
11.27	☐	What economic activities are performed in the city's heritage areas and sites? (tourism, crafts, services, transport, etc.)	

Sources   Municipal authority, Ministry of Culture, Museums, Archives & Libraries, Academy and Research Institutions, Cultural Operators and Associations, Chamber of Tourism, NGO/CBO.

12. Slums and Slum Living Conditions

Definition   UN-Habitat defines a slum household as a group of individuals living under the same roof in an urban area who lack one or more of the following:

- ➢ Durable housing of a permanent nature that protects against extreme climate conditions;
- ➢ Sufficient living space which means not more than three people sharing one same room;
- ➢ Easy access to safe water in sufficient amount at an affordable price;
- ➢ Access to adequate sanitation in the form of a private or public toilet shared by a reasonable number of people;
- ➢ Security of tenure that prevents forced evictions.

Rationale   Slums are densely populated and neglected parts of cities where housing and living conditions are exceptionally deprived. Slums lack basic services, access to potable water and sanitation, and often many people will live crowded into small spaces. With demographic projections estimating that 60% of the world's population will be urban dwellers by the 2020s, living conditions in slums and associated public health considerations are likely to be of increasing concern for governments worldwide.

Main Indicators of Slums and Slum Living Conditions	Indicator	Performance Measurements	Considerations
	☐ **Planned Settlements**	☐ Amount of land reserved by the city authorities for future development. ☐ Strategy plan for new developments. ☐ Secure funding for implementation. ☐ Regularisation programmes for informal settlements. ☐ Affordability constraints of low income groups reflected in building and land subdivision regulations. ☐ Existence of special norms and standards for low income groups.	The following locations should be rated as hazardous: (a) housing settled in geologically hazardous zones (landslide/ earthquake and flood areas); (b) housing settled on garbage-mountains; (c) housing around high-industrial pollution areas; (d) housing around other high-risk zones, e.g. railroads, airports, energy lines.
	☐ **Durable Structures** ☐ **Secure Tenure**	☐ % of households living in a housing unit considered as 'durable'. ☐ Protection against eviction included in Constitution and national law. ☐ Steps undertaken during eviction: consultation, notification, recording, compensation, relocation.	A room is defined as a space in a housing unit or other living quarters enclosed by walls reaching from floor to the ceiling or roof covering, or to a height of at least 2 meters, of an area large enough to hold a bed for an adult, (at least 4 sqm). Types of rooms include bedrooms, dining rooms, living rooms, studios, habitable attics, servant rooms, kitchen and other separate spaces intended for dwelling.
	☐ **Over-crowding**	☐ Legal aid support to evicted people. ☐ Legal aid to family-related evictions.	

☐ **Houses in Hazardous Locations**	☐ % of households with more than three persons per room. ☐ % of housing units built on hazardous locations (per 100,000 units)	Further hazardous characteristics are: (a) housing subject to disaster more than once in a hundred years (flooding, earthquakes, volcano, storm, landslip or avalanche); (b) housing not protected adequately protected against cyclones or bushfires which occur at this frequency.

Questions   The following table and set of questions are aimed at guiding the researcher in assessing the state of the city' slums and the slum living conditions.

Basic Data	Figure	Unit of Measure
Total figure and percentage of city population living in slum areas. (*) (*: according to UN-Habitat definition)	[number; %]	Total No. and % of inhabitants
Total land area of settlements regarded as slum (*)	[number]	Hectares (Ha)
Average population density in slum areas (*)	[number]	Persons per Ha
Average household size in slum areas (*)	[number]	No. Persons/Household
Average rooms per household in slum areas (*)	[number]	No. Rooms/Household
No. of people/households evicted from slums by local/central authorities over the last two years.	[number]	Total No. of Persons / Households
No. of people/households evicted from slums by private landlords over the last two years.	[number]	Total No. of Persons / Households

No.		Question	Notes
12.1	☐	Give a map that shows slum areas in the city and major features near or in the slums.	
12.2	☐	What are the main land management problems within slum areas? (e.g. conflicting ownership of plots; no clear physical demarcation of plot boundaries, lack of or a poorly maintained register of land ownership; lack of maps and plans; insecurity of tenure) Explain how these land management problems are dealt with?	
12.3	☐	Who is the main group of inhabitants of slum areas? (E.g. low income work force, middleclass due to lack of formal housing, migrants, etc.) Explain what makes the groups settle in the slums.	
12.4	☐	Are slum areas mainly informal or formally planned settlements? (give percentages of both) How are slums planned? If not, explain.	
12.5	☐	Give a description of the economic linkages (e.g. supply of labour, goods and services) existing between the city slums	

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		and other areas of the city (e.g. industrial areas, central business districts and other areas with employment/casual labour opportunities).	
12.6	☐	Do local credit institutions promote equal access to credit for both women and men in slums and, if not, what are the reasons? What are credits used for? (construction, home improvement, access to services, economic activities, food)	
12.7	☐	List the main tasks of the municipal departments dealing with slum issues. State whether they are carried out or not. If not, explain.	
12.8	☐	Has the municipal authority assessed urban development priorities in slums? (e.g. urban services, income generating activities etc.) What process was used to determine such priorities? (e.g. participatory methods) What were the results of the assessment?	
12.9	☐	Describe the local government's role in service provision in slums: water, sanitation, electricity, solid waste management, etc.	
12.10	☐	Describe how the city council collaborates with other partners/ stakeholders for slum upgrading (e.g. central government agencies, NGOs, CBOs, donor agencies, private sector, and media houses). Have these collaborations led to implemented slum upgrading programmes? Give a list of successful results of the collaborations.	
12.11	☐	Give examples of past, on-going or planned upgrading activities within slums supported by the local government. Describe how slum upgrading activities are co-ordinated.	
12.12	☐	Describe how the local government's land use policies encourage or discourage slum upgrading?	
12.13	☐	Is there legislation that protects slum dwellers against eviction? If so, describe whether or not this legislation is effectively enforced.	
12.14	☐	What factors determine perceptions of security or insecurity of tenure in the city slums? (e.g. legal documents, laws preventing eviction) What are the steps the local government is taking to tackle this issue?	
12.15	☐	Does the municipal authority evict slum residents? If it does, describe the circumstances in which it evicts them? (e.g. rent defaulting, expropriation of property for public use, for relocation, forced evictions)	

12.16	☐	Are any evictions currently planned? Have there been any forced evictions carried out in the past five years? In case of eviction, does the municipal authority or other authority give advance notice to those affected? In what form? (e.g. verbal or written)	
12.17	☐	Do authorities provide those evicted with alternative areas of settlement or alternative housing, adequately in advance of eviction? Give examples and data.	
12.18	☐	What legal remedies and assistances are available to those evicted either by the municipal authority or other public authority or private landlords? (provision of housing alternatives, financial compensation)	
12.19	☐	Describe the main administrative and legal steps that must be followed to acquire secure rights to land in slum areas? If possible, illustrate these steps on a chart, indicating approximately how long it takes for each step to be accomplished.	
12.20	☐	Describe informal tenure arrangements commonly found within the city slums? (e.g. verbal or written authority to occupy land or build) What legal documents, if any, do slum dwellers possess?	
12.21	☐	Describe how municipal regulations promote or hinder income-generating activities in slum areas?	
12.22	☐	What are the main sources of funds for slum upgrading initiatives?	
12.23	☐	Does the city council give assistance (financial and technical) to women-headed slum households and other vulnerable groups to upgrade their dwellings?	
12.24	☐	Are there existing policies on slum upgrading whether national or local? Describe the policies and their impact.	
12.25	☐	What are some of the hazardous environmental areas within the slums that impact the living conditions of slum dwellers? Describe.	

Sources   Municipal authority, NGOs/CBOs, Research Institutions and Academia, Traditional and Independent Media, Rent Tribunal.