

STATE OF CITIES REPORTING

Good Practice Guide and Toolkit

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Report prepared for the South African Cities Network as part of the review and evaluation of the South African State of Cities reporting process by:

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List of Abbreviations

AIDS	Acquired immune deficiency syndrome
ASSA	Actuary Society of South Africa
CEO	Chief Executive Officer
CHAPA	Citizens' Housing and Planning Association
COSATU	Congress of South African Trade Unions
CSIR	Council for Scientific and Industrial Research
DANIDA	Danish International Development Agency

DBSA	Development Bank of Southern Africa
DPLG	Department of Provincial and Local Government
GUO	Global Urban Observatory
GVA	Gross value added
HIV	Human immunodeficiency virus
HSRC	Human Sciences Research Council
HUD	United States Department of Housing and Urban Development
ICTs	Information and communication technologies
LUO	Local Urban Observatory
MACDC	Massachusetts Association of Community Development Corporations
MTEF	Medium Term Expenditure Framework
MTSF	Medium Term Strategic Framework
NUO	National Urban Observatory
RUSPS	Rapid Urban Sector Profiling for Sustainability
SACN	South African Cities Network
SALGA	South African Local Government Association
SICR	State of Iraqi Cities Report
SIDA	Swedish International Development Agency
SOCDS	(United States) State of Cities Database System
SOCR	State of the Cities Report
SAPOA	South African Property Owners' Association
UCLGA	United Cities and Local Government of Africa
UN-HABITAT	United Nations Human Settlements Programme
UNCHS	United Nations Centre for Human Settlements
USAID	United States Agency for International Development
WUF3	Third World Urban Forum (Vancouver, 2006)

1 INTRODUCTION

State of Cities reports are a growing way of focusing attention on urban issues. The purpose of most State of Cities reports is summed up well in the purpose of the planned State of Commonwealth Cities Report¹, which is intended to “assess the opportunities and threats of urban growth in relation to poverty alleviation, sustainable and people-centred development and reducing disparities in living conditions”.

A Cities Alliance conference on City Development Strategies in 2004, adopted what is known as the Hanoi Declaration, which made a number of key proposals, including:

“That national associations of local governments highlight the positive role of cities to economic development and poverty reduction through the regular production of analytical “State of Cities” Reports”.²

UN-HABITAT's *State of the World's Cities* also recommends that each country should prepare a report on the state of its own cities.

State of Cities reports are based on a belief that cities are important at a national, regional and global scale and that cities are fundamentally different from smaller urban settlements and rural areas and, thus, require specific attention. Research suggests that cities are the engines of economic growth and the agents of transformations throughout the world. They are centres of production and employment, and sites of innovation and technological change, including developments in information and communication technologies (ICTs). They provide spaces for social interaction, learning and creativity; and for cultural expression and symbolism. In addition, they are places where new ideas are most readily accepted.³ But, while cities are centres of economic, political and socio-cultural wealth, they also contain intense poverty and deprivation.

Arguably the most important role of a city is to supply as good a “quality of life” as possible, both now and in the future. Cities do this with varying degrees of success and this success does not always depend on affluence.⁴ A successful city must offer the people who live, work and invest in it the infrastructure, services, security and efficiency they need; and their current and future needs should also be at the top of the planning agenda for the city. Poor urban planning and management can damage the urban economy, society and the environment,⁵ as can poor urban governance.

National and local governments and planning agencies nearly all agree that accurate, timely and policy-relevant information is a prerequisite for good planning, good management and good governance. However, the capacity of many countries and cities to design and obtain the best data is often poor. So, too, is their ability to use the data for policy design and monitoring.⁶ Most developing country cities are unable to develop effective urban policy owing to a lack of information. They do not appraise urban problems in a systematic way nor do they appreciate the impact of their policies and programmes.

Many of the existing tools for urban policy do not provide an adequate overall picture of the city and how it works nor do they help us to understand the relationship between policy and urban outcomes and between the activities in different sectors.⁷ As a result, the Habitat Agenda⁸ called for Governments, including local authorities and other interested parties, to:

¹ Commonwealth Secretariat (2007)

² Cities Alliance (2004: 21)

³ SACN (2006b)

⁴ Hoornweg et al. (2007)

⁵ Cities Alliance (2007b)

⁶ UNCHS (2001)

⁷ UNCHS (1997b)

⁸ UNCHS (1997a: Para. 113(k))

“Promote the use of tools and the development of capacities for transparent urban monitoring and reporting activities based on appropriate indicators for the environmental, social and economic performance of cities.”⁹

In recent years, the Cities Alliance and its members have identified the enormous potential in producing national state of the cities reports. A good reporting process can be excellent for enabling a country to understand the main trends and challenges better. The reporting process includes activities that raise national awareness about the main issues facing cities of all sizes; it also engages different tiers of government. State of cities reports can thus provide a comprehensive assessment of urban conditions, and analyse urban trends and the drivers of urban change. They can also assess the contribution of cities to national success and review policy, progress and performance.

Indeed, as affirmed by the Cities Alliance:

“The South African example...shows the benefits of turning the SoCR into regular state of the cities reporting to chart progress over time and develop effective planning tools.”¹⁰

The South African State of Cities reports are widely regarded as international good practice, and the South African reporting processes have many valuable lessons for State of Cities reporting in other parts of the world. In this good practice guide and toolkit, we focus on the experiences of producing the 2004 and 2006 South African State of Cities reports. We also look at State of Cities reporting processes that have occurred elsewhere in the world. Based on these experiences in South Africa and elsewhere, the characteristics of an effective State of Cities reporting process are then discussed, under the headings of: purpose/ target audience; institutional home; the reporting process; analytical frameworks; indicators/ data; end products; and dissemination. It is the intention that this good practice guide and toolkit will assist in the implementation of effective State of Cities reporting processes in other parts of the world.

⁹ The drive for urban indicators has been led by UN-HABITAT, which since 1991 has been working with other United Nations agencies and external partners to consistently refine methods for data collection and analysis; and to better monitor progress towards achievement of the twin goals of the Habitat Agenda—“adequate shelter for all” and “sustainable human settlements development in an urbanizing world” (UN-HABITAT, 2006).

¹⁰ Cities Alliance (2007a: 18)

2 THE SOUTH AFRICAN STATE OF CITIES REPORTING PROCESS 2003-2006

The 2004 and 2006 South African State of Cities reports are particularly noteworthy examples of State of Cities reporting processes at a national level. The two reports made a major contribution to the urban debate in South Africa. Comparative city-level statistics were compiled for the first time and awareness about city issues was raised at all levels.

2.1 Background: South African Cities Network

Box 1: The South African Cities Network

The South Cities Network (SACN) is a collaborative of South African cities and partners that encourages the exchange of information, experience and best practices on urban development and city management. It is an initiative of the Minister for Provincial and Local Government and nine city municipalities, in partnership with the South African Local Government Association (SALGA) and national and provincial government departments.

The nine municipalities of the SACN are:

- Buffalo City Municipality (historical urban centre: East London)
- City of Cape Town
- Ekurhuleni Metropolitan Municipality (the “East Rand” area in Gauteng, including Germiston, Boksburg, Benoni, etc.)
- eThekweni Municipality (historical urban centre: Durban)
- City of Johannesburg
- Mangaung Local Municipality (historical urban centre: Bloemfontein)
- Msunduzi Municipality (historical urban centre: Pietermaritzburg)
- Nelson Mandela Metropolitan Municipality (historical urban centre: Port Elizabeth)
- City of Tshwane (historical urban centre: Pretoria)

The goals of the SACN are to:

- Promote good governance and management of South African cities
- Analyse strategic challenges facing South African cities, particularly in the context of global economic integration
- Collect, analyse, disseminate and apply the experience of city government in the South African context
- Promote a shared learning partnership between different spheres of government to support the governance of South African cities.

Source: (SACN, 2006b:1-3)

The South African Cities Network (SACN) was established by the Minister of Provincial and Local Government in collaboration with the Mayors of nine large cities (all six metropolitan municipalities plus three other large municipalities) and the South African Local Government Association (SALGA) in 2002. It is a network of the nine cities and various partners that encourages the exchange of information, experience and best practices on urban development and city management. The South African Cities Network Company is a non-profit voluntary organisation owned by and accountable to its members. The Board of Directors is chaired by representatives of the minister of the Department of Provincial and Local Government (DPLG) and composed of (political and administrative) representatives of the member cities, plus representatives of SALGA and DPLG. The SACN Secretariat is based in Johannesburg and has six staff members. SACN is funded by subscriptions from member municipalities and by grants from DPLG, Cities Alliance and various other donors, such as the United States Agency for International Development (USAID), the Swedish International Development Agency (SIDA), and the Danish International Development Agency (DANIDA).

The South African Cities Network was established as a result of a number of different initiatives that came together. One initiative was the formation of the Cities Learning Network by the Department of Provincial and Local Government as one of three learning networks for municipalities. A second was the beginning of interaction between the big municipalities and discussion about the possibility of increased co-operation. A third initiative was the Cities Alliance's support to the City of Johannesburg in the formulation of the Egoli 2000 strategy, and its interest in replicating the model in other cities. SACN's purpose was to bring the municipalities together in a think-tank to encourage them to solve problems co-operatively and collaboratively.

When SACN was established, there was no clear national urban agenda (although the World Bank Urban Sector Reviews were becoming increasingly influential). In 2003, SACN produced a report entitled *People and Places*, which was an initial attempt to look holistically at urban issues in South Africa. SACN subsequently decided, with the support of their main donor, Cities Alliance, to produce a State of Cities report for South Africa that would help define and promote a national urban agenda. In the words of the first chairperson of the SACN:

"The value of the report is that it is a tool that supports decision-making, allows a better understanding of the urban sphere and allows better management of cities. The SOCR also contributes to the national agenda."

The decision to produce a State of Cities report for South Africa was partly inspired by UN-HABITAT's *State of the World's Cities Report 2001*.¹¹

2.2 Purpose/target audience(s)

The purpose of the State of the Cities Report 2004 was threefold:¹²

- (i) to read which way the winds of city change were blowing.
- (ii) to assess how city stakeholders were responding to these winds of change.
- (iii) to discuss the implications of current trends and responses for the future of South African cities.

The report consolidated available data from several different sources into a 'statistical almanac' covering the nine SACN cities. This data was then used to describe and analyse key trends currently affecting these centres. The way in which these trends were likely to evolve over time was examined and the strategic challenges and opportunities they were likely to present in the medium to longer-term were considered. By describing and analysing trends, the report aimed to set up a strategic agenda for further research, planning and action that would decisively improve the future prospects of life in South African cities.

The target audience for the SOCR 2004

*"is...not only...municipal councillors and officials...[I]t also speaks to other entities responsible, in one way or another, for city development, including national and provincial government, business, communities, and a wide variety of civil society structures."*¹³

Building on the important information and analysis contained in SOCR 2004, which provided the first comprehensive picture of the major economic, social, environmental and governance realities affecting South Africa's nine largest cities, the SOCR 2006

¹¹ UNCHS (2001)

¹² SACN (2004)

¹³ SACN (2004 :5)

“provides a qualitative and quantitative analysis of South Africa’s largest cities, highlighting the important role played by cities in driving the national economy and improving the lives of South African residents. It raises current debates about cities, provoking urban stakeholders to think in new ways.”¹⁴

The report was intended to provide decision-makers with a useful instrument for making strategic choices about cities. In short, “the report talks to all urban stakeholders, people who live in cities and take an interest in the well-being of cities.”¹⁵ This very broad target audience was seen as consisting of the following groups:

*“Firstly, it is aimed at municipalities, providing summarised city-specific comparative data and information. This is intended to assist municipalities in good governance and the management of cities. The report is also directed at the provincial and national spheres of government and at state-owned enterprises with the intention of positively influencing the national Medium Term Expenditure Framework (MTEF) and Medium Term Strategic Framework (MTSF) processes. Finally the report also talks to the private sector, community organisations, trade unions and universities”.*¹⁶

2.3 Selecting/ defining cities

The South African State of Cities reports focus on the nine member municipalities of the South African Cities Network.

The unit of analysis in the reports is actually “municipalities” rather than “cities”. The data, and the analysis of the data, relate to municipal areas. The delineation of municipal boundaries by the South African Municipal Demarcation Board has resulted in a much closer fit between municipalities and urban regions than is the case in many other countries, but the functional urban regions often extend beyond municipal boundaries (as has been recognised in the State of Cities reports by highlighting the importance of “city regions”). On the other hand, some of the municipalities include significant numbers of residents living in semi-rural/rural areas, and this may hinder direct comparison between municipal areas.

The nine member municipalities of SACN include the six metropolitan municipalities in South Africa (Johannesburg, Cape Town, eThekweni, Tshwane, Ekurhuleni, Nelson Mandela Bay) which account for 58.6% of South Africa’s economy, together with three other large municipalities (Mangaung, Buffalo City, Msunduzi). These nine municipalities represent all the “core urban regions” and “major urban areas” in South Africa (with the exception of Emfuleni). This categorization is based on the National Spatial Development Perspective, in which 21 key South African cities and towns were differentiated into three categories:

- (i) core urban regions;
- (ii) major urban areas; and
- (iii) significant urban centres.

This classification, which is elaborated in Table 1, is based on the role of the space in wider regional economic development. The categorization looks at the following:

- *“the size of the economy in the settlement. Only towns and cities with GVA in excess of R4,5 billion per annum are included;*
- *the nature of the economy. Is it based on a single resource, or export harbour-driven, or is it diverse, including both manufacturing and services;*

¹⁴ SACN (2006b: 1-2)

¹⁵ SACN (2006b: 1-2)

¹⁶ Source: SACN (2006b: 1-2)

- *stretch, meaning the footprint and role of the settlement in a wider region, if any.*
- *This categorisation focuses on key contributors. to the South African economy and excludes small towns in predominantly rural settings”.¹⁷*

Table 1. A classification of 21 key urban spaces/places in South Africa				
Name	Nature	Size	Stretch and role	Official place name or municipality
Core urban regions	Diverse economy with high GVA in most, or all economic sectors, especially private sector services and retail. Spatially the economy is clustered in a polycentric fashion with a multiplicity of nodes with increasingly specialised roles	More than R75 billion GVA per annum	Provides gateway to global economy. Provides national and supra-national, continental cultural, educational and innovation functions.	Cape Town Ekurhuleni eThekweni Johannesburg Tshwane
Major urban areas	Diverse economy, but with areas of national economic significance in a few sectors, typically manufacturing, public services, or mining. While the economy is spread over a region it is often concentrated in a few nodes and their immediate surroundings. This is in most cases tied to the previous apartheid city development model.	Between R9 and 75 billion GVA per annum	Provides similar functions as the core areas, but typically does not extend beyond the provincial boundaries.	Mangaung Buffalo City Emfuleni Nelson Mandela Bay Msunduzi
Significant urban service centres*	Economy in most cases dominated by a single sector, but with steady movement into other areas. This is typically either mining or manufacturing and is dependent on easy access to a natural resource, or combination of resources. Often the single sector was more prominent in the past. In some cases the economy is in a downward cycle, with the service and retail function keeping it alive	Between R4,5 and R9 billion GVA per annum	Is often of national economic significance in terms of GVA generated, but has less impact on the immediate surroundings. Often it stands out as an island in a sea of relatively low economic activity.	Evander Kimberley Middelburg Midvaal Mogale City Mbombela Richards Bay Rustenburg Sasolburg Stellenbosch Witbank

Source: SACN (2006b: 2-14)

2.4 Overview of reporting processes

The processes for producing the 2004 and 2006 State of Cities reports varied considerably. In both processes, however, participation was limited to officials of the nine municipalities and a few consultants and experts. The lack of engagement with, for example, the private sector, partially contributed to the reports focusing largely on issues that the municipality directly controls. There was also limited engagement with civil society. The reasons for this include: the multiplicity of private sector and civil society formations (organizations, groups, etc); the difficulty in finding points of entry; and the difficulty in identifying the “leadership” with which to engage within both the private and civil society sectors.

¹⁷ SACN (2006b: 2-14)

2.4.1 Overview of the 2004 State of Cities reporting process

The first edition of the State of the Cities report was published in 2004. It was conceptualized as “a story of how we transform our municipalities to non-racial democratic, inclusive municipalities”.¹⁸ Based on a comparison between the 1996 and 2001 Census results, this report provided a ground-breaking benchmark analysis of the cities, outlined the medium term challenges facing cities, and set an agenda for city development strategies. The first South African State of Cities report was funded by Cities Alliance. Cities Alliance directly commissioned the team that produced the report, and subsequently seconded a staff member to act as project manager of the process.

The first South African State of Cities report was initially inspired by the publication of the first State of World Cities report in 2001. As the process continued, the South African report also came to fit into the spate of ten-year reviews that were happening at the time (in response to the upcoming ten year anniversary of the anniversary of the first democratic elections in April 1994). In October 2003, the Office of the Presidency released a report entitled *Towards a Ten Year review*, which had invited other stakeholders to contribute their own sector reviews during 2004. The 2004 State of Cities report was thus SACN’s contribution to the review of the first ten years of democracy in South Africa. The report also built on, and helped reinforce, other urban policy initiatives, such as the National Spatial Development Perspective. The 2004 State of Cities Report came to be regarded as “a *sister report to the Ten Year Review Report of government, the Urban Development Framework, and other analysis of trends in South Africa’s development and growth trajectory*”.¹⁹ In addition, Cities Alliance was keen to pioneer the State of Cities concept in South Africa.

The first State of Cities report was initially conceptualised as a fairly brief project that would take a few months. In June 2003, Graeme Gotz, an independent researcher, was commissioned to write the report (which was initially intended to be published in November 2003), and two other researchers were contracted to provide “research support”. The first draft of the report was sufficient to demonstrate that a lot more time would be required for the project, especially in terms of compiling reliable and usable statistics. Carien Engelbrecht of Cities Alliance was seconded to SACN to be project manager of the process. A second draft of the report was completed by January 2004.

Andrew Borraine, the chairperson of the SACN Board, served as editor-in-chief, and there was an editorial committee that, apart from the lead writer, project manager and editor-in-chief, included Monty Narsoo and Sithole Mbanga of SACN, Dave de Groot of Cities Alliance and Sarah Hetherington (who had been commissioned to do the layout and design of the report and oversee the printing and dissemination).

The 2004 report was the first attempt to analyse and compare the 1996 and 2001 census data at a city-scale. Owen Crankshaw of the University of Cape Town was commissioned to compile the data for the report (which included analysing census data, gathering data from various other sources, and commissioning DataWorld, a private research company, to compile additional data). Charles Simkins was then contracted to verify the analysis of the census data and to provide advice on the indicators used, alternative data sources and the analysis of the data. The data compilation process ran in parallel with the writing process, so the new data only became available fairly late in the process. The Municipal Demarcation Board had compiled some of the census data at a municipal level, though, and this was initially used as the backbone for writing the 2004 State of Cities report.

The verification process consisted of a workshop in March 2004 to get feedback on the data, and there were meetings with small groups of experts to check the analysis and conclusions. Subsequently, 800-word “Life on the streets” case studies were commissioned to add some qualitative texture to the report.

¹⁸ Interview with Sithole Mbanga, Chief Executive Officer, SACN on 25 June 2008.

¹⁹ SACN (2007: 8)

The report was then launched in May 2004, just after the April 2004 national elections (there had been a conscious decision to delay the launch until after the elections).

As part of the dissemination process, there was a presentation of the SOCR to each municipality. The attendees of the workshops varied considerably, from just the senior management team in Cape Town to a broad audience including a large group of community representatives in eThekweni.

There was an intention for the statistical almanac on the SACN website become a “living resource”: “As new information becomes available, and indicators are replaced, updated issues of the almanac will be posted”.²⁰ This was not done, though.

2.4.2 Overview of the 2006 State of Cities reporting process

The second edition of the State of the Cities report was published in 2006. When first initiated in June 2003, the State of Cities report had been intended to be an annual publication. The second report was therefore originally intended to come out in 2005, but this was subsequently extended to 2006. The reporting process was initiated in November 2005, and the report was launched in September 2006.

The 2006 report sought to incorporate the best features of the 2004 report, and improve on the latter’s shortcomings. It involved a thorough analysis of data trends and projections. It presented an in-depth overview of city development issues, and the impact of developmental local government strategies in the first decade of democratic local government. The report aims to reflect and explore success formulas as well as challenges facing South Africa’s municipalities with respect to urban development.

The second State of Cities report was mainly funded by Cities Alliance, but some funding from other donors was also obtained. The total amount of funding obtained for the 2006 report was about R4.2 million. Of this, Cities Alliance provided R4.18 million, USAID provided R625 000, DBSA provided R96 000 and SIDA provided R16 000. The breakdown of the expenditure was 7% on project management, 6% on a conference on South African cities, 60% on content/editing, 21% on production costs and 6% on the launch and dissemination of the report.

In contrast to the 2004 report, which was largely written by one person, the second report had more than 30 writers, with Melinda Silverman as editor-in-chief. The Human Sciences Research Council (HSRC) and Council for Scientific and Industrial Research (CSIR), two national research agencies, were responsible for compiling data for the report; this process was co-ordinated by Alison Todes of the HSRC. Sharon Lewis of SACN was the project manager of the process from March 2006 onwards.

The SACN Board decided that the focus of the report should be on “what has been achieved in cities during the first municipal term of office brought into being by the Local Government White Paper, the Municipal Structures Act and the Municipal Systems Acts”.²¹ The period to be covered was thus from the municipal elections (for the new municipal entities) in December 2000 to the municipal elections in March 2006.

Owing to the focus on what municipalities had done since 2001, municipalities were more involved in the process than they had been for the 2004 report. Chapter 4 (City Strategies and Implementation) emerged from a process that

“involved visits by the SOCR 2006 writing team to all nine member cities, to find out at first hand about each city’s particular strategy. This allowed the writing team to engage with officials who authored their respective city strategies and with city managers responsible for implementing them. These workshops offered municipal officials the

²⁰ SACN (2004: 175)

²¹ SACN (2006b: 1-2)

*opportunity to reflect critically on: Progress made by cities in the last five years... [and] ongoing challenges still facing cities... This process was supported by a detailed questionnaire. The outcomes of these workshops were recorded and then validated at another set of workshops. In this way, city officials... played a critical role in devising the content for SOCR 2006”.*²²

The draft report was completed on 29 May 2006, and a one day verification workshop took place in Ekurhuleni on 6 June. The workshop was intended to verify the data and the analysis of the data, and was also intended to secure “buy-in and endorsement” from the participants, who were mainly officials from the nine member municipalities. Housing was a particularly contested issue at the workshop, and some changes were subsequently made. The conclusions/recommendations were not widely debated, owing to time constraints. They were, however, discussed at a meeting of the writers of the report.

The report was approved by the SACN Board on 28 July 2006, and the production of the report then commenced. The design and printing of the 2996 report ended up costing about R851 000, more than double the budgeted amount of R393 000 (this was the only significant cost overrun on the project, and was mainly a result of tight deadlines restricting the choice of printers). The report was launched in Tshwane in September 2006, with a media launch on 6 September and a more broadly attended launch seminar on the following day.

Findings of the report were presented at various forums, giving both a qualitative and quantitative analysis of the socio economic realities in the nine major cities of South Africa.

2.4.3 Developments post-2006

The third State of the Cities report is planned for the 2010/2011 financial year. SACN decided to delay publication of the third edition of the State of Cities report to 2010/2011 (four or five years after the previous one) for two main reasons:

- To allow space for the publication of selected sector reports that provide a detailed analysis of aspects of urban management or municipal service, such as *The State of Municipal Finances Report (2007)* and *The State of Land Use Management Report* (forthcoming)
- To allow time to improve and expand the indicator and data set that has been developed through the first 2 editions. In 2008, PDG was contracted to co-ordinate a new indicators project towards the third edition of the State of Cities report.

The process for the third State of Cities report has already begun, with the initiation of the Indicators Project co-ordinated by PDG, a consultancy firm, and the establishment of an Indicators Reference Group. There are also a number of current SACN processes that will feed into the State of the Cities reporting process, most notably:

- The State of the Municipal Finances Report (which is complete);
- The National Spatial Trends Overview (an overview of key trends for the four "city regions");
- The 2010 Football World Cup Legacy project (developing indicators on the impact of the 2010 World Cup); and
- A project looking at indicators for "urban sustainability".

A larger budget (about R5.5 million) than for the previous reports is available for the 2010/2011 report.

²² SACN (2006b: 1.5 to 1.6)

2.5 Analytical framework

The analytical framework used for the South African State of Cities reporting processes essentially consists of four ways of looking at cities:

- The economy (the productive city),
- Society (the inclusive city),
- The natural environment (the sustainable city) and
- Governance (the well-governed city).

The analytical framework was partially based on the Cities Alliance’s City Development Strategies (CDS),²³ and also partially locally-developed to suit the South African context (based on South African legislation on municipal performance)²⁴. The analytical framework is seen as an effective way “to organise the vast amount of data collected in the reporting process and provide a benchmark for comparison”.²⁵ It is believed to suit the audiences who read the report and make for consistency between reports.

The presentation of the analytical framework changed slightly from the 2004 report to the 2006 report. The biggest change in the analytical framework between the 2004 and 2006 reports is the change in the central component of the diagram from “urban population” to “city development strategies” (i.e. long-term municipal strategies). The 2006 report reflects this greater focus on what municipalities are doing. There are also some changes of wording between the two versions.

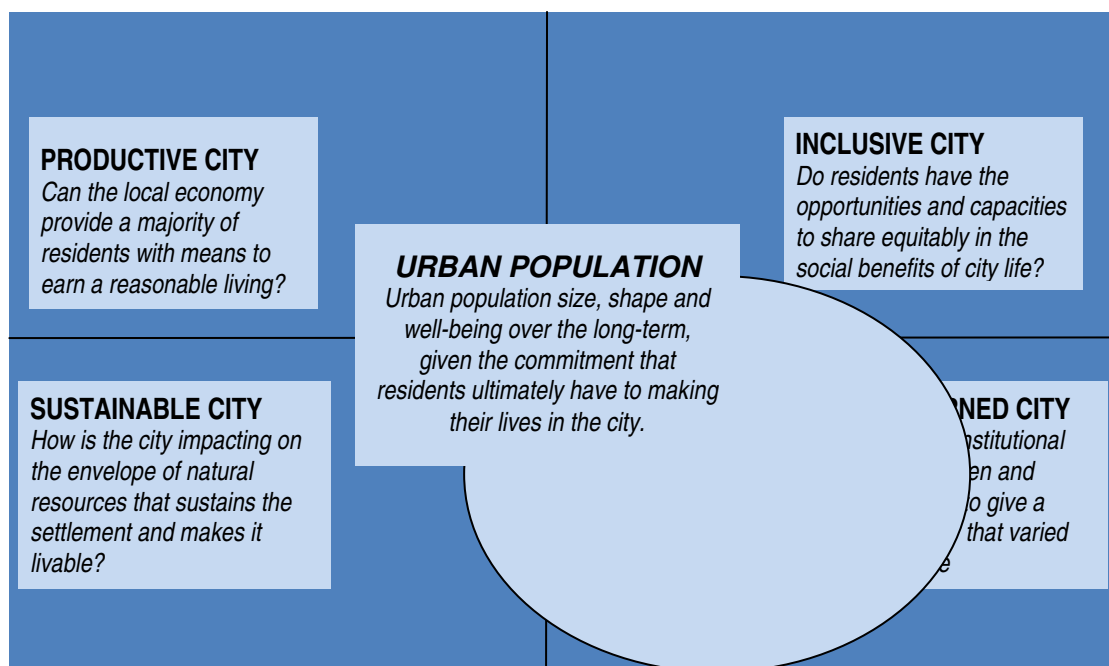


Figure 1. Summarised version of analytical framework used in 2004 report

²³ The Cities Alliance were the main funders of SACN and the State of Cities reporting process.

²⁴ Interview with Sithole Mbanga, 25 June 2008

²⁵ SACN (2006b:1-3)

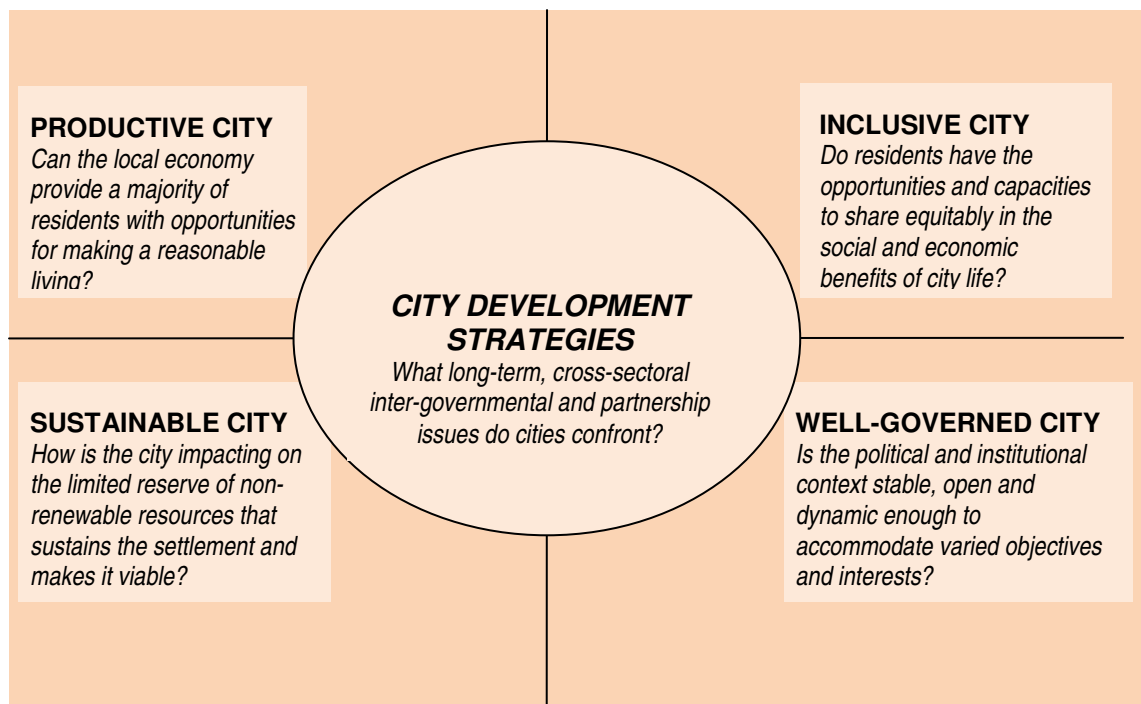


Figure 2: Summarised version of analytical framework used in 2006 report

2.6 Indicators/data

The 2004 and 2006 State of Cities reports have a large number of indicators (the indicators for the 2004 report were developed by the SACN Urban Indicators Working Group). For both reports, the indicators are divided into population indicators and indicators for each of the four quadrants in the analytical framework (productive cities, inclusive cities, sustainable cities and well-governed cities). Based on the indicators used in the State of English Cities report, indicators are divided into “core outcome indicators”, “core asset indicators” and “general indicators” for productive cities, inclusive cities, sustainable cities and well-governed cities. Core outcome indicators measure the “results” that cities would want to see, while core asset indicators measure the “assets” that underpin and explain the outcomes. In the 2004 report, each theme had between 10 and 17 core indicators, with a total of 49 core indicators. The number of core indicators was increased to 67 for the 2006 report, but 23 of the new indicators were from one new attitudinal survey.

Table 2 shows the core indicators used for the two reports, and the completeness of the data set for each indicator. It will be noticed that many core indicators in the 2004 report lacked data for some cities (and some indicators lacked data for any cities at all). The inclusive cities theme was the only theme where the majority of core indicators had data for all 9 cities, whereas the sustainability theme was particularly lacking in data (only one of the core indicators had data for all 9 cities). Although there are fewer data gaps in the core indicators in the 2006 report, this is mainly because many core indicators from the 2004 report were discarded, and new core indicators that were added were ones where data was available (for example, the 23 indicators from the HSRC’s South African Social Attitudes survey). Table 2 shows the percentage of core indicators with data gaps, disaggregated by theme.

Data from a wide range of data sources were compiled for the State of Cities reports. For example, the data sources for the 2004 report included: the 1996 and 2001 census data (from Statistics South Africa, other Statistics South Africa data (the Labour Force Survey and statistical releases on building plans passed and Regional Services Council finances),

National Treasury's Budget review (which has data on municipal finances), the Department of Provincial and Local Government's Knowledge Sharing Facility (which has data on governance), National Electricity Regulator data on electrification, South African Police Services data on crime, South African Property Owners' Association (SAPOA) data on the commercial rental market, the estimated life expectancies from the Actuary Society of South Africa (ASSA) population projection model, and Global Insight data on gross value add (GVA). In addition, DataWorld was commissioned by SACN to collect data from municipalities, but this information was very uneven.

In the 2004 report, mention was made of the desire to eventually have composite indicators for each theme. Special mention should be made of the Human Development Index included in 2006 (this is a composite indicator from another source).

Table 2. Core indicators in the State of Cities reports

Theme	Core indicators	2004 report	2006 report
<i>Productive cities</i>			
Core outcome indicators	Gross Value Add (GVA) per capita	Data available for all 9 cities (2002)	Data available for all 9 cities (2004)
	Annual GVA growth	Data available for all 9 cities (2001-2002)	Data available for all 9 cities (2001-2004)
	Net new RSC business registrations as % of total Labour Force Survey (LFS) expanded unemployment rate	Data available for all 9 cities (2002)	Data available for all 9 cities (2005)
	Value of building plans passed annually	Data available for all 9 cities (2000)	Data available for all 9 cities (2004)
	Ratio RSC remuneration to turnover levy assessments	Data only available for 6 cities (2003)	Same data as 2004 report
Core asset indicators	Average length of road per square kilometre	Data only available for 1 city (2003)	Data available for all 9 cities (2005/2006)
	Average processing time (days) for industrial & commercial planning applications	Data only available for 6 cities (2002/2003)	Data only available for 4 cities (2006)
	Hours of electricity blackouts per year (commercial & industrial areas)	Data not available for any cities	N/A
	Average % operating cost of property of rates & services	Data not available for any cities	N/A
	Total property tax revenue per capita	Data only available for 7 cities (2001/2002)	Data available for all 9 cities (2004/2005)
	% over-20s with post-school education	N/A	Data available for all 9 cities (2005)
	% 15-24s enrolled in post-school study	N/A	Data available for all 9 cities (2005)
	% who accessed internet in last 4 weeks	N/A	Data available for all 9 cities (2005)
	Burglaries (non-residential) + fraud + business robbery	N/A	Data available for all 9 cities (2004/2005)

<i>Inclusive cities</i>			
	% of residents satisfied with quality of life	data only available for 2 cities (2002/2003)	Data available for all 9 cities (2005)
	% of households without formal shelter	Data available for all 9 cities (2001)	Data available for all 9 cities (2005)
	Household gini coefficient (PDG method)	Data available for all 9 cities (2001)	Data available for all 9 cities (2005)
	Human Development Index	N/A	Data available for all 9 cities (2005)
	Dependency ratio (dependents to each employed person)	Data available for all 9 cities (2001)	Data available for all 9 cities (2005)
	Infant mortality rate (per 1000 live births)	Data only available for 3 cities (2003)	Same data as for 2004 report
	% of 10-14yr olds not attending school	Data available for all 9 cities (2001)	Same data as for 2004 report
Core asset indicators	Value of residential building plans (>30m ²)<80m ²	Data available for all 9 cities (2002)	Data available for all 9 cities (2004)
	% of households without water on site (i.e. in dwelling or yard)	Data available for all 9 cities (2001)	Data available for all 9 cities (2004)
	% of households with VIP toilet or less	Data available for all 9 cities (2001)	Data available for all 9 cities (2004)
	% of households without telephone in home	Data available for all 9 cities (2001)	N/A
	% of households not using electricity for lighting	Data available for all 9 cities (2001)	N/A
	% of households without weekly refuse collection	Data available for all 9 cities (2001)	N/A
	Average travel cost to work per month	Data only available for 1 city (2003)	N/A
	% of commuters spending >10% of income on transport	Data only available for 1 city (2003)	N/A
	% of residents walking to school or work	Data available for all 9 cities (2001)	N/A
	% household income on municipal account for households earning <R2 263 p.m.	Data available for all 9 cities (2002)	N/A
	Annual grants in aid (including social rates rebates)	Data not available for any cities	N/A

Sustainable cities			
Core outcome indicators	Water Services Development Plan	N/A	Data only available for 6 cities (not dated)
	Monitoring drinking water quality	N/A	Data only available for 6 cities (not dated)
	Monitoring effluent discharge	N/A	Data only available for 6 cities (not dated)
	Total city ecological footprint in sq km	Data only available for 1 city (2004)	N/A
	Annual number of air pollution events	Data only available for 1 city (2003)	N/A
	Water demand (kl per capita / day)	Data only available for 6 cities (2003)	Same data as for 2004 report
	Number of functional primary health care clinics	N/A	Data available for all 9 cities (2006)
	Tuberculosis rate presenting in primary health care clinics	Data only available for 4 cities (2003)	Data only available for 3 cities (2006)
	Average travel time to work in minutes	Data only available for 1 city (2003)	N/A
Core asset indicators	Total tonnage of Carbon dioxide emissions	Data only available for 3 cities (2003)	N/A
	% of wastewater discharge not treated	Data only available for 5 cities (2003)	N/A
	Annual tonnes waste disposed to land-fills per capita	Data only available for 3 cities (2003)	Data only available for 8 cities (2005 or 2006)
	% of solid waste recycled	Data only available for 4 cities (2003)	Data only available for 5 cities (2005/2006 or 2005)
	% unaccounted-for water in last fiscal year	Data not available for any cities	N/A
	Number environmental staff / 1000 population	Data not available for any cities	N/A
	% of municipal area actually monitored for air quality	Data only available for 2 cities (2003)	N/A
	% of final effluent quality compliance (flow weighted)	Data only available for 5 cities (2003)	N/A
	Sewer blockages per 100km of pipe per year	Data only available for 5 cities (2003)	N/A
	% of built-up municipal area developed as parks	Data not available for any cities	N/A
	% increase in 1 room formal houses last 5 yrs	Data available for all 9 cities (1996-2001)	Same data as 2004 report

Well-governed cities			
Core outcome indicators	% residents satisfied with municipality	Data not available for any cities	This indicator was replaced by 23 more-detailed indicators on residents' satisfaction, from the HSRC's South African Social Attitudes Survey (2005)
	% of total eligible voters registered to vote	Data not available for any cities	N/A
	% of registered voter turnout	N/A	Data available for all 9 cities (2006)
	% revenue collected vs revenue billed	Data only available for 7 cities (2002/2003)	Data only available for 5 cities (2006, 2005 or 2004/2005)
	Number of incidents of public violence	Data only available for 7 cities (2002/2003)	Data available for all 9 cities (2004)
	Number of legal claims against municipality per year	Data not available for any cities	N/A
	Value townhouse plans passed as % total residential plans	Data available for all 9 cities (2002)	Data available for all 9 cities (2004)
Core asset indicators	Number of formal municipal partnerships with NGOs/CBOs	Data not available for any cities	N/A
	Total community organisations attending general ward meetings	Data not available for any cities	N/A
	% change in assessment rates	N/A	Data available for all 9 cities (2002/2003 - 2003/2004)
	Total municipal revenue per capita (2002/2003)	Data available for all 9 cities (2002/2003)	Data available for all 9 cities (2004/2005)
	Percentage of capital charges to total operational expenditure	Data available for all 9 cities (2001/2002)	Data available for all 9 cities (2004/2005)
	Ratio of capital expenditure to operational expenditure	Data available for all 9 cities (2002/2003)	Data available for all 9 cities (2004/2005)
	% of total operational expenditure spent on maintenance	Data available for all 9 cities (2002/2003)	Data available for all 9 cities (2004/2005)
	% of total operational expenditure spent on salaries	Data available for all 9 cities (2002/2003)	Data available for all 9 cities (2004/2005)
	Salaries, wages and allowances as % of current expenditure	N/A	Data available for all 9 cities (2003/2004)
	Municipal investment in construction	N/A	Data available for all 9 cities (2007)
	Number of municipal employees per 1000 population	Data not available for any cities	Data only available for 2 cities (not dated)
	Electricity reconnections minus disconnections in year	Data only available for 5 cities (2002/2003)	N/A
	Number of formal intergovernmental relations agreements in terms of Intergovernmental Relations Act	Data not available for any cities	N/A
<i>Source: SACN, 2004; SACN, 2006. Note: data that seems to be included in the core indicators section mainly for the purposes of calculating core indicators is not excluded (e.g. total value of residential buildings plans in the well-governed city section is probably just there to provide context to the "townhouses as proportion of total building plans" indicator)</i>			

Table 3. Percentage of core indicators for which full set of updated data available

Theme	2004 Report		2006 Report	
Productive cities	40%	(4/10)	83%	(10/12)
Inclusive cities	71%	(12/17)	80%	(8/10)
Sustainable cities	6%	(1/16)	11%	(1/9)
Well-governed cities	38%	(6/16)	94%	(34/36)
Total	47%	(23/49)	79%	(53/67)

Note: For the 2006 report, where data has not been updated from the 2004 report, this is regarded as not being a full set of updated data.

The high proportion of indicators in the 2004 report without data for all of the cities (or even without data for any of the cities) is an indication that the availability of useful, consistent, nationally-available data that can be disaggregated to a municipal level has been a problem. The 2006 report focuses on indicators for which data is available (with the exception of the sustainability indicators, for which little data is available), which has resulted in the indicators in the 2006 report to some extent being arbitrary, as the selection of indicators largely depended on what reliable and comparable city-level data were available.

The 2004 report relied on an analysis and comparison of the 1996 and 2001 census data from Statistics South Africa (the 2001 census data had just started to become available from 2003). Although the 1996 Census had an undercount of more than 10% and the 2001 census had an undercount of more than 16%, these are the most comprehensive data sets available and can be disaggregated to a fine-grained scale (although the changes in municipal boundaries in 2000 made comparison between the two censuses more difficult).

The census data has a number of gaps and limitations (as is described in a two-page box on “The reliability of demographic and economic statistics”, on pages 17 and 18 of the 2004 report). The census data was supplemented by modelled data from private companies such as Global Insights and Quantec (most notably for the economic data), but the reliability of this information is also unclear (and the data from the two companies are often contradictory). Some municipalities objected to the Global Insight economic data in the 2004 report and questioned the assumptions the data were based on.

There was an attempt to gather additional data directly from the municipalities, but this was not very successful. Data collection by municipalities was very uneven, similar types of data collected by municipalities was often not comparable because of different methodologies, and sometimes even when data was being collected it could not be easily extracted. This is reflected in, for example, the “sustainable cities” indicators in the 2004 report, where only one of the nine cities had data on its ecological footprint and only one had data on average travel time to work).

Updating data for the 2006 State of the Cities report was even more of a problem than compiling the original data for the 2004 report had been, as it had been decided by the national government that the next census to be undertaken by Statistics South Africa was to be in 2011, ten years after the last census (as opposed to the five year gap between the two previous censuses). In the interim, Statistics South Africa undertook a sample survey (the 2004 Community Survey) to bridge the gap. The samples are relatively small, however, and there are potentially problems with the accuracy of the data, especially at a city level.

2.7 Content of main body of report

The structure and focus of the 2004 and 2006 reports differ slightly.

2004 report

The 2004 report broadly looks at the state of cities in terms of the analytical framework and identifies key challenges (and briefly proposes suggested solutions). Anecdotal case studies help give more texture to the report and there are 25 pages of statistics and charts at the back (the “statistical almanac”). The report is structured as follows:

- ❑ There is a foreword that doubles as an introduction
- ❑ Chapter 1 provides a summary of the key findings (this chapter is sub-divided in terms of the five components of the analytical framework)
- ❑ Chapter 2 provides an overview of the nine cities (both collectively and individually)
- ❑ The following five chapters (Chapters 3 to 7) discuss the detailed findings for each of the five components of the analytical framework (urban demographics, productive cities, inclusive cities, sustainable cities, well-governed cities)
- ❑ Chapter 8 consists of conclusions and recommendations (one set of conclusions/recommendations for each of the five components of the analytical framework, plus one entitled “putting it all together”)
- ❑ Statistical almanac of 25 pages
- ❑ Nine one-page “Life on the streets” case study boxes, one from each city, which examine specific streets or, in some cases, stretches of freeway (see Box).

Box 2: “Life on the streets” case studies in the 2004 report

1. Warwick Junction, eThekweni (p. 19)
2. Quartz Street, Johannesburg (p. 32)
3. Longmarket Street, Msunduzi (p. 33)
4. New Road, Midrand (p. 45)
5. Melumzi Road, Nelson Mandela Metropole (p. 73)
6. Khumalo Road, Ekurhuleni (p. 107)
7. Victoria Road, Cape Town (p. 131)
8. The N8, Mangaung (p. 163)
9. Qumza Highway, Buffalo City (p. 172)

2006 report

The 2006 report also overviews the state of cities in terms of the analytical framework, identifies key challenges and outlines proposed solutions. It also has a number of anecdotal case studies to give more texture to the report, as well as a statistical almanac at the back. In addition, however, the 2006 report devotes a chapter to examining the strategies of the nine municipalities and a chapter to looking at the emerging national urban policy context.

The 2006 report is structured as follows:

- ❑ There are two forewords and an introductory chapter
- ❑ Chapter 2 provides an overview of the role and importance of cities in the global and national contexts. The global context focuses on globalisation and “world cities”, while at the national level, there is analysis of the 21 “key urban areas” (see Table 1). The major issues highlighted in the national context include: urban poverty, migration, urban-rural economic linkages and informality.

- ❑ Chapter 3 gives an overview of the performance of the nine member cities of the SACN. It is subdivided in terms of the four quadrants of the analytical framework (productive cities, inclusive cities, sustainable cities and well-governed cities).
- ❑ Chapter 4 examines the strategies of the nine municipalities over the previous five years. It is also subdivided according to the four quadrants of the analytical framework.
- ❑ Chapter 5 discusses the emerging strategic agenda at national and provincial level, and is divided into five sections: the urban development agenda; the urban growth agenda; the urban fiscal agenda; the national urban service delivery agenda; and the urban governance agenda.
- ❑ Chapter 6 consists of conclusions and recommendations (see Box 3)
- ❑ Statistical almanac of 9 A3 pages
- ❑ Five two-page “People building the City” case study boxes, which examine how ordinary people are grappling with urban challenges, are also included in the report (see Box 4).

Box 3: Conclusions/recommendations in the State of the Cities Report 2006

The report concludes with 10 key challenges that South African cities have to contend with in the next decade. These are:

1. Thinking in new ways about urban space economy
2. Managing population dynamics
3. Economic growth and equitable distribution of wealth
4. Enhancing urban transport
5. Overcoming the “apartheid city”
6. Delivering basic services and promoting productivity and inclusivity
7. Building an urban citizen
8. Taking sustainability seriously
9. Streamlining urban governance
10. Mainstreaming innovation

Source:(SACN, 2007:10-11)

Box 4: “People building the city” case studies in the 2006 report

- 📖 Samson Mabele, a goat trader in Alexandra, fights to have the goat trade accommodated in urban areas (pp. 2-20/21)
- 📖 Tobias Mkize works with bovine head cookers to improve environmental health in Durban’s inner city (pp. 3-22/23)
- 📖 Industry comes to Msunduzi (pp. 4-26/27)
- 📖 Cecilia Sato: Caring for people with HIV and AIDS in the absence of basic infrastructural services (pp. 4-46/47)
- 📖 Long and costly commutes compromise Vusi Phailane’s productivity as he moves across Ekurhuleni (pp. 5-26/27)

General

The two reports implicitly accept the “global cities” view, but there is some recognition in the 2006 report that there is an opposing view (see Box 5).

The findings in terms of trends and performance for both reports are structured as per the analytical framework (chapters 1,3,4,5,6,7 of the 2004 report and chapters 3 and 4 of the 2006 report). Table 4 shows what each report looked at in terms of the analytical framework.

The focus of each theme is fundamentally the same in both reports; however, they are slightly differently framed by the different writers. The level of analysis is generally very good, but policy discussions have been largely separate from the data.

The text of the 2004 report contains no references (although most of the tables and charts and some of the text boxes are referenced). The 2006 report is well-referenced, with one or two pages of end notes after each chapter.

Box 5: South African cities – ordinary cities?

Not all urban thinkers believe that the global city network is a useful concept for thinking about cities. Because these theories have their origins in the 'global north', they tend to reflect the concerns of the developed world. By contrast, in the 'global south', developmentalist approaches have continued to dominate, although global city discourses have been influential in large cities such as Sao Paulo, Johannesburg, Shanghai and Mumbai.

Some urban theorists have argued that this 'north-south' dualism is problematic. They believe that global city approaches direct attention only to those parts of the city that are well connected to the global economy, whereas 'developmentalist' approaches focus attention only on the poorer, less successful parts of the city. Each approach only brings "a limited part of the city into sight". Most cities around the world – in the 'north' and 'south' – encompass both rapidly globalising economies and poor and marginalised segments. What is needed is a lens that brings both into view. This suggests a move away from "perspectives which categorise cities as Global, Third World, Mega, African etc." and instead the need for "attentiveness to the diverse spatialities of 'ordinary cities'".

The 'ordinary city' approach emphasises the importance of local spaces – social as well as economic – and the need to strengthen the position of informal as well as formal enterprises. Thinking of cities as 'ordinary cities' shifts attention to strategies for economic growth which are broad-based, take advantage of diversity and have reference to social and political contexts: "growth paths which neglect social needs and redistributive agendas can come unstuck, as crises emerge or as reversals of globalisation, for example, expose serious social limitations"

There is plenty of evidence that strategic planning in South African cities is taking account of both 'global city' and 'ordinary city' perspectives – the two are not incompatible, but achieving a viable balance can be tricky. The test lies in constructing viable partnerships at all levels of government, private sector and community, to deliver on these agendas. "Securing growth at the same time as expanding service delivery in politically contested and resource-poor environments represents a great challenge for local governments. Electoral or popular support may be dependent on developing effective services, and increasingly, ensuring that private firms meet the needs of the poor. On the other hand, long term viability or national state approval may depend on promoting dynamic economic growth". Working through such trade-offs, and making the hard choices requires a high degree of mutual trust.

Source: (Robinson, 2006) cited in (SACN, 2006b:2-6 - 2-7)

Table 4. What the reports look at in terms of the analytical framework

THEME	2004 REPORT	2006 REPORT
Productive city	Employment and remuneration trends and especially the relative attractiveness of cities in terms of their ability to provide residents with a means to earn a living; factors illustrating and explaining the strength of the urban economy; and how cities are responding to urban economy weaknesses in a globalising economy.	Factors explaining the growth and potential of the urban economy and how cities respond to urban economy challenges in the context of globalisation, emerging market confidence and significant increases in public investment in infrastructure in South Africa.
Inclusive city	Progress in providing residents with access to key infrastructure based services; divides in wealth, ability to build assets and secure against risk; spatial exclusion; human development and quality of life. Also what cities are doing to address this.	Progress in providing residents with access to key urban services, indicators of social and economic inequality, spatial exclusion, quality of urban environments and city life.
Sustainable city	The urban-environmental challenge that apartheid built environment planning created; the trends in urban form resulting from post-apartheid settlement policies; measurable impacts on natural resources and the consequences thereof; and what cities are doing to construct sustainability agendas.	The urban environmental management challenges facing growing cities, the tough trade-offs that investment decisions require, and the importance of sustainability in planning and urban management.
Well-governed city	How well South African cities are governed, including: evidence of social discord and disintegration; institutional stability and efficacy, ability to govern in a complex intergovernmental context without a clear national urban policy and well aligned development incentives.	How well South African cities are governed, exploring institutional strength and capacity, financial prudence, urban policy cohesion, administrative efficiency and modernisation.
Other (termed “Urban population” in 2004, and “City Development Strategies” in 2006)	Complex city growth trends. Dynamics of migration, disease and household formation, driving these.	Demographic change, complex growth and development trends, the dynamics of demand, market forces and the strategic partners with which local governments must engage.

Source: SACN (2004: 9), SACN (2006b: 1-4)

2.8 End products

The two South African State of Cities reports are both substantial documents. The 2004 report is 204 pages, excluding the cover. The 2006 report is the equivalent of 233 pages, excluding the cover and chapter dividers (the main body of the report has 215 A4 pages plus there are 9 A3 foldout pages with statistics).

The 2004 report has a relatively plain cover that does not sufficiently highlight SACN or the title of the report. The content of the report is, however, well laid-out and illustrated with photographs, tables and charts complementing the text. The nine “Life on the Street” case study boxes, and other boxes on topics of special interest, also help make the report richer and more varied. The subdivision into chapters works well, with good chapter title spreads (two page photographs with the chapter title and a brief catch-phrase for each title) and with colour coding of chapters.

The 2006 report has a more attractive cover than the 2004 report, with SACN's name and logo prominent on the front, back and spine. The ring binding of the 2006 report is a good

idea (although the actual rings used are perhaps too big and clumsy), as the report can be open and laid flat on a desk (whereas the 2004 report cannot). The chapter dividers of the 2006 report are clumsy, however, and the page numbering system (e.g. pages 3-1, 3-2, 3-3 for Chapter 3) does not work well.

The main body of the 2006 report is well laid-out, with photographs, tables and charts complementing the text. The “People building the cities” case study boxes, and other boxes on topics of special interest, help make the report richer and more varied. Some of the tables in the report are, however, too large and complex.

The statistical section at the back of the report consists of 9 fold-out A3 pages.

There is a CD on the inside front cover of the 2006 report (with the report in electronic format). Electronic copies of both reports are also downloadable from the SACN website.

2.9 Dissemination

A total of 3120 copies of the 2004 report were printed. These were disseminated to:

- Parliament (about 600 copies)
- National government (1 to each member of cabinet and to each Director-general of a national department, 1 to each Deputy Director-General in the Department of Provincial and Local Government and 1 to each of the heads of national agencies such as the South African Police Services, South African Secret Service, Statistics South Africa, etc.)
- Provincial government (1 to each Premier, to each Provincial director-General and to each MEC)
- Local Government (1 to each member of the Mayoral Committees of member municipalities and 1 to each Executive Director)
- Media (only 12 newspapers/ radio stations are listed in the draft dissemination list, but presumably other copies were later distributed to other media outlets)
- International audience (about 100 copies were disseminated to participants at the World Urban Forum in Vancouver, June, 2006 where Sithole Mbanga made a presentation in an international State of Cities Reports session)

In addition, there were many requests for additional copies from people who had been sent a copy, and there were also many requests from other people who wanted a copy (SACN supplied copies at a cost of R50 for postage and handling).

The launch of the 2004 report was covered in articles in the major newspapers.

A total of 2000 copies of the 2006 report were printed, and these were distributed to the following:

- Parliament (the draft dissemination list proposed that 200 copies be distributed to parliament, but it appears that only about 40 were – 30 to the Portfolio Committee for Local Government and 3 copies each to the Portfolio Committees for Finance, Transport and Housing)
- National government departments (about 80 in all - 20 for the Department of Provincial and Local Government, and 2 for each of the other national departments)
- Provincial government (one for each premier and one each for selected provincial departments)
- Local government (5 for each mayor of a member municipality, 20 for each city manager of a member municipality, and 20 for SALGA)
- Media – 40 copies

- International audience (700 copies in all - 200 copies for Cities Alliance and 500 copies for participants at the Africities conference, which took place shortly after the report was launched)
- Libraries – 50 copies
- Sponsors (other than DPLG, SALGA and Cities Alliance)– 40 copies (10 each for USAID, SIDA, DANIDA and DBSA)
- Writers/referees – 53 copies

By the end of 2006, 1410 hard copies had been distributed. In addition, 1379 copies of the report had been downloaded from the SACN website. Presentation of the findings occurred at various fora, including the Portfolio Committee on Local Government, the Department of Provincial and Local Government and the Africities conference (by the end of 2006, the findings had been directly presented to more than 1200 people). The key findings from the report were also covered in numerous newspaper and magazine articles and on television and radio.

2.10 Impact

It is clear that the South African State of Cities reporting processes had a real impact, but the magnitude of this impact is difficult to measure.

As the first comprehensive look at South African cities, the 2004 State of Cities report had a major impact on the way key stakeholders saw South African cities. It highlighted the importance of the big cities in South Africa and helped reinforce other urban policy initiatives. In the words of Alan Mabin, one of the foremost commentators on urban issues in South Africa:

*“The report puts on the table a new picture of what is happening in the cities. The analysis by principal author Graeme Gotz, tested with a range of advisors, tells us far more than any other available source about the urban situation. Such a coherent and readable book creates a platform for corporate actors and community organisations to engage in policy debate on where the cities are going, and raises tough questions for government and big municipalities”.*²⁶

The 2004 State of Cities report is widely believed to have had an impact in terms of highlighting city issues at national government level, especially with the National Treasury, and possibly contributed towards an increase in funding towards urban areas. In the words of Alan Mabin, “for the first time we have a national position from those in or close to authority which makes the claim that more, not less, urban bias is critical to our collective future”.²⁷

A specific impact of the 2004 report was that of “urban development zones” (areas with tax incentives for investment), which the National Treasury subsequently took over. The National Treasury’s Neighbourhood Redevelopment Programme, which will result in further state investment in urban areas, was partially a spin-off from the urban development zones.

Another very specific impact was that of introducing the concept of the Gauteng Global City Region. The 2004 report introduced the notion of the polycentric urban region (with two paragraphs on p. 24). More specifically, it emphasized that the Gauteng SACN municipalities will need to “anticipate, take advantage of, and mitigate the effects of the fact that a continuous polycentric urban region in the province will soon be equivalent to some of the largest cities in the world”.²⁸ Thus a key impact of the report was “motivating the case for the

²⁶ Mabin (2004)

²⁷ Mabin (2004)

²⁸ SACN (2004: 167)

Gauteng Global City Region”.²⁹ This approach of seeing Johannesburg, Tshwane and Ekurhuleni (and surrounding areas) as an interlinked entity was subsequently taken up in a major way by the relevant government bodies.

The 2004 State of Cities report helped pull together and reinforce the various dispersed urban initiatives (such as the draft New Urban Development Framework, the National Spatial Development Perspective and Breaking New Ground) into a more coherent urban agenda. “No single document provides a clearer exposition of the new urban policy agenda and approach than the... *State of the Cities Report 2004*”.³⁰ In particular, one important impact of the 2004 State of Cities report was to provide reinforcement and support to the draft National Spatial Development Perspective, a pro-urban policy document released in March 2003, which had met much political opposition. There was also cross-pollination with the new urban development policy (on which work had started in 2001), due to many of the same people being involved in both the State of Cities reporting process and the drafting of the new urban policy. The State of Cities Report possibly also influenced the Department of Housing’s Breaking New Ground policy, which was launched in September 2004 (partially due to one of the people involved in writing this policy also having played a prominent role in the State of Cities reporting process). The Breaking New Ground policy takes a broader, more integrated approach to housing delivery and the creation of “sustainable human settlements”.

Another, more subtle, impact was that areas like Ekurhuleni, that had previously not been thought of as entities, began to be thought of as cities.

The State of Cities reporting process also helped to bring officials from the nine municipalities together to discuss and debate issues, which possibly would not have happened without the State of Cities reporting process as a platform and might be its greatest achievement. It is unclear how widely read the State of Cities reports are at municipal level, however. It appears that the largest of the nine cities do not make use of the statistics in the State of the Cities reports as they have their data collection processes (and larger budgets for this). The statistics may be useful for the smaller of the nine municipalities, though. One municipal respondent added that the recommendations in the reports are useful, as officials are then able to adopt and promote them in the knowledge that they are from a credible and authoritative source (whereas municipal officials are constrained in developing and promoting their own recommendations, as this starts to intrude into the political arena). The fact that municipalities can benchmark their performance against each other has also been useful – it helps municipalities to think more about their performance and how to improve their performance. Another municipal respondent noted that the State of Cities report findings and recommendations would be useful for municipal staff, e.g. urban planners, but currently participation in the launch/dissemination seminars is largely limited to senior management, and there is no awareness of the State of Cities report below senior at management level.

The SOCRs have had an important impact on the SACN, becoming a focal point for all its programmes and a reason for municipalities to come together and debate issues and become familiar with themselves as entities and with each other within the South African national context:

“For the nine member cities of the SACN, the SOCR has become a source of reference, influencing a ‘new and different approach to conducting the business of developmental local government’. In many instances, national independent public organizations, government associated bodies and departments, Committees of Parliament in both the national and provincial legislatures, local government

²⁹ Interview with Rashid Seedat, Director, Central Strategy Unit, City of Johannesburg on 24 June 2008.

³⁰ Boraine et al. (, 2006: p. 261)

councillors and officials have all supported the SOCR as being reflective of the mature levels reached by local sphere of government in a short space of time".³¹

The SOCRs also helped stimulate the production of other similar State of Cities reports in other parts of the world. As the Cities Alliance³² affirms:

"South Africa's widely-read State of the Cities Reports have generated interest, particularly among countries in sub-Saharan Africa. The Cities Alliance has now received preliminary and formal requests to support the preparation of country SoCRs for Ethiopia, Kenya, Nigeria, and Tanzania."

The *State of Iraq Cities Report 2006/2007* was also modelled on the 2004 South African State of Cities report.

³¹ SACN (SACN, 2005:17)

³² Cities Alliance (2007a: 18)

3 STATE OF CITIES REPORTING PROCESSES ELSEWHERE IN THE WORLD

3.1 Description of State of Cities reporting processes

The first significant State of the Cities reports were the United States State of the Cities Reports produced annually by the Clinton government from 1997 to 2000. They were brief reports that highlighted challenges facing US cities and suggested possible solutions. These were followed by the State of English Cities report (2000). At an international level, UN-HABITAT took up the concept with the publication of the State of the World's Cities Report from 2001 onwards (every two years).³³ A number of other countries and sub-national regions have also carried out State of Cities reporting processes. The full list of State of Cities reports (or close equivalents) is:

- ❑ “State of the Cities” reports for the USA (annually 1997 to 2000);³⁴
- ❑ “State of the English Cities”;³⁵
- ❑ UN-HABITAT’s “State of the World’s Cities Report” (biennially from 2001);³⁶
- ❑ “The Review of Scotland’s Cities”;³⁷
- ❑ “State of the Philippine Urban System” (“*Ang Bahanggunihanan*”) report;³⁸
- ❑ The “State of the Cities Report” for Minnesota (annually from 2004 to 2008);³⁹
- ❑ “The State of the Cities Report” South Africa (2004 and 2006);⁴⁰
- ❑ The Association of Washington Cities’ “State of the Cities”;⁴¹
- ❑ “The State of the Cities: Revitalization Strategies for Smaller Cities in Massachusetts” report;⁴²
- ❑ “The State of Iraq Cities Report 2007/2007: Cities in transition”;⁴³ and
- ❑ The European Union’s “The Urban Audit: Towards the Benchmarking of Quality of Life in 58 European Cities”.⁴⁴

The reports vary quite widely in their style and nature. The South African reports are among the largest and are probably the most voluminous in the amount of data presented. Of the others, only the Washington State report approaches the same data richness, with dozens of tables and figures in its 118 pages.⁴⁵ In contrast, the “*Ang Bahanggunihanan*” report of the

³³ UNCHS (2001) and UN-HABITAT (2004; 2006)

³⁴ e.g., HUD (2000)

³⁵ Robson et al. (2000)

³⁶ e.g., UN-HABITAT (2006)

³⁷ Scottish Executive (2002b)

³⁸ Philippine Urban Forum (2003)

³⁹ e.g., League of Minnesota Cities (2008)

⁴⁰ SACN (2004; 2006b)

⁴¹ Association of Washington Cities (2005a)

⁴² CHAPA and MACDC (2006a)

⁴³ UN-HABITAT and Ministry of Municipalities and Public Works (2007)

⁴⁴ European Commission (2007)

⁴⁵ Association of Washington Cities (2005a)

Philippines⁴⁶ is about 20 pages and contains no tabulations. The various State of Cities reports are discussed in detail below.

It should also be noted that a number of other countries in Africa and elsewhere are also starting to prepare their own State of Cities reports, having been convinced that critical reflection on one's development is essential if future challenges are to be addressed effectively. Organizations such as the United Cities and Local Government of Africa (UCLGA) have supported this development.⁴⁷

3.1.1 State of the Cities Reports for the USA (1997-2000)

The first of the four *State of the Cities* reports for the USA was produced in early 1997.⁴⁸ This was after the then President, Bill Clinton, asked the US Department of Housing and Urban Development (HUD) to examine two important questions:

- What is the current state of the cities; and
- What can the Clinton-Gore Administration do to prepare US cities to meet the economic and social challenges of the future?

The last of the series, *The State of the Cities, 2000: Megaforges Shaping the Future of the Nation's Cities*⁴⁹ identifies four megaforges that are shaping the future of the Nation's cities. These are

- the new high-tech, global economy;
- the new demography;
- the new housing challenge; and
- the powerful major trend of continued decentralization—the continuing shift of jobs and people to the metropolitan edge

The report sees these four megaforges as framing the challenges for a 21st century urban policy agenda, and presents the impact of these megaforges in four major findings for America's cities. The findings utilize new data from HUD's 2000 State of the Cities database which tracks employment, population, and other demographic trends in more than 300 metropolitan areas, central cities, and suburbs.

From the State of the Cities Data Systems (SOCDS)⁵⁰, users can extract detailed demographic and economic data on many different topics for individual metropolitan areas, central cities, and suburbs based on government statistics and ten-yearly Censuses from 1970 to 2000. SOCDS also provides:

- (a) the latest available unemployment rates;
- (b) information on jobs, business establishments, and average pay in the 1990s;
- (c) data on violent and property crime rates collected by the FBI;
- (d) information on local building permits, and
- (e) information on city and suburban government finances.

⁴⁶ Philippine Urban Forum ((2003)

⁴⁷ SACN (2007)

⁴⁸ Four State of the Cities reports were produced under the Clinton-Gore Administration, in 1997, 1998, 1999 and 2000. The first three can be downloaded in pdf format from the HUD website (<http://www.huduser.org/publications/polleg/tsoc.html>). The fourth is available as a pdf file at <http://usinfo.state.gov/infousa/economy/finance/docs/socrpt.pdf>.

⁴⁹ HUD (2000)

⁵⁰ <http://socds.huduser.org>

3.1.2 State of the English Cities (2006)

The first *State of the English Cities* report was produced in 2000, and it was followed by another one in 2006. Written by well-known academics for the Office of the Deputy Prime Minister, the 2006 *State of the English Cities* report is presented in two volumes.⁵¹ It is intended to be an authoritative statement of the state of English cities; the challenges and opportunities facing them in the current international context; and the policy steps needed to build upon recent progress. The report addresses the following main themes:

- Demographics;
- Economic competitiveness and performance;
- Liveability;
- Social cohesion;
- Governance.

The report draws on many sources, including extensive academic and consultancy literature; a review of international experience; a review of demographic trends; case studies in 12 cities; interviews with over 250 policy makers; and analysis of public attitudes to cities. It provides:

- a comprehensive audit of urban performance in England;
- a review of the impact of government policies upon cities;
- insights into how cities are changing;
- an assessment of the drivers of urban change;
- a review of lessons learned;
- explores the opportunities & challenges cities face in an international context; and
- an assessment of policy implications to enable cities to build upon the progress that has been made in recent years.

The report is underpinned by a comprehensive set of key indicators of urban performance specifically created for the project – the State of the Cities Database. The database contains all the key indicators of urban performance used in the report.⁵² The indicators are available for 56 cities (built-up or urban areas with a population of 125,000 or more). In addition to enabling users to identify recent changes in English cities in greater detail, the database also allows future monitoring of cities and the impact of policies. The key indicators are also listed in Appendix 1 of Volume 2.⁵³

3.1.3 The State of the World's Cities

UN-HABITAT produces three main flagship publications: *Global Report on Human Settlements*, *The State of the World's Cities* and the journal *Habitat Debate*. *The State of the World's Cities* report series aims

“to provide information on urban conditions and trends around the world and, in so doing, on progress on the implementation of the Habitat Agenda and towards the

⁵¹ Parkinson et al.(2006a; 2006b)

⁵² The database can be accessed at <http://www.socd.communities.gov.uk/socd>. There are over 60 key indicators that draw upon the analytical framework and drivers of urban success developed in an earlier study— *Competitive European Cities: Where do the Core Cities Stand?* (Parkinson et al., 2004). These drivers are: economic diversity; skilled workforce; connectivity; innovation in firms and organisations; quality of life; and strategic capacity to deliver long term development strategies. The indicators of these drivers are grouped under four broad headings: social cohesion, economic competitiveness, liveability and governance.

⁵³ Parkinson et al. (2006b: 155-158)

realizations of the Millennium Development Goals and Targets on slums, water and sanitation".⁵⁴

UN-HABITAT's *State of the World's Cities* reports use data to inform policy recommendations. They provide real evidence of urban trends and conditions around the world based on a wide range of indicators, including access to shelter, water and sanitation facilities, health, employment and education, in an easily accessible format. Conceived as a sister series to the *Global Report on Human Settlements*, and published every two years, the reports are aimed at readers "who like an accessible, yet evidence-based, report on current urban issues and trends around the world".⁵⁵ The *Global Report on Human Settlements*, also published biennially, covers many of the same urban issues in greater depth, offering a more comprehensive and detailed range of concepts, narratives and data sets.

The State of the World's Cities 2001

The premier edition of *State of World Cities*, published in 2001, was the first attempt by UN-HABITAT to monitor, analyze and report on major areas of the Habitat Agenda in terms of the realities faced by urban populations and urban policy makers. It was also the first time that the city, rather than the country, was used as the basis for analysis.

Drawing on, among other resources, UN-HABITAT's Urban Indicators and Best Practices databases, the report provides regional comparisons of city-level analyses. It begins with a global region-by-region review of urbanization trends and concerns. It then explores briefly "a range of urban policy issues and policy responses in five all-encompassing subject areas: shelter, society, environment, economy and governance". It highlights key messages and a sample of policy actions taken by national governments since Habitat II (1996) that help cities for each of the five subject areas listed. The report concludes with an "Epilogue – On Evidence" which looks at the urban indicators.

The State of the World's Cities 2004/2005: Globalization and Urban Culture

The second in the series, *the State of the Worlds Cities 2004/2005*⁵⁶ adopts a thematic approach and focuses on globalization and urban culture. It discusses the socio-economic impacts of globalization on cities that are relevant to urban development, including "metropolitanization", international migration, urban poverty, urban governance and urban planning, as well as cultural impacts. It ends with a synopsis of the principles of a new urban planning culture with a focus on the dominant global cities.⁵⁷

State of the World's Cities 2006/7: The Millennium Development Goals and Urban Sustainability: 30 Years of Shaping the Habitat Agenda

The third edition of the *State of the State of the World's Cities* forges new ground in the area of urban data collection, analysis and dissemination.⁵⁸ Breaking from the traditional idea that "urban" is a single category, the report disaggregates urban data at the *slum* and *non-slum* levels. The primary data source for the report is Phase III of UN-HABITAT's Urban Indicators Programme that compiles global, regional, country and household-level data of specific relevance to the Habitat Agenda and the Millennium Development Goals.

⁵⁴ UN-HABITAT (2004: vii)

⁵⁵ UNCHS (2001: 5)

⁵⁶ (UN-HABITAT, 2004)

⁵⁷ Lamsam (2005)

⁵⁸ UN-HABITAT (2006)

The report highlights the major urbanization trends across the world and provides a global and regional overview of the slums. It presents a detailed analysis of the five indicators that reflect conditions that characterize slums, also known as “shelter deprivations”, namely: lack of durable housing; lack of sufficient living area; lack of access to improved water; lack of access to improved sanitation; and lack of secure tenure. The report provides evidence of the negative impact of poor access to basic services and inadequate housing conditions on the life chances of slum dwellers. It concludes with an analysis of policy responses to the challenge of slums in more than 100 countries around the world. The report also includes a Statistical Annex which provides monitoring data on the Habitat Agenda and the Millennium Development Goals.

3.1.4 The Review of Scotland’s Cities

The Review of Scotland’s Cities was first announced in December 2000 but it began in earnest in June 2001 with the establishment of a project team led by Professor Duncan MacLennan, Expert Adviser to Scottish Ministers, and staffed by members of the Scottish Executive Policy Unit. The wide-ranging remit agreed for the review was:

*“To review the current prospects for the economic, environmental and social development of our 5 cities; and to identify Executive policies which will improve those prospects, taking account of interactions between the cities, their surrounding areas and the rest of Scotland”.*⁵⁹

The report, *Review of Scotland’s Cities – The Analysis*,⁶⁰ was prepared at a time when devolution gave it powers over planning that had previously been directed from the UK government at Westminster. It was, therefore, flexing its regional muscles in determining a way forward for Scotland’s main cities. It is intended as “a starting point for debate as well as a mechanism for identifying some immediate actions that already command wide support.”⁶¹ It sets out to:

- Assess how cities matter in achieving Scotland’s core objectives;
- Develop a way of thinking about cities and policies for the future;
- Bring together all that was known about key processes, problems and potentials in the cities.

The contents examine changes and challenges in cities, why cities matter, population changes; city economies, quality of life, housing, shopping, arts and culture, tourism, transport and travel, environmental issues, sustainability and environmental justice, and how to shape the future with some immediate, medium-term and long-term proposals. The report sets out the evidence, the analysis and the challenges faced by Scotland’s five cities—Aberdeen, Dundee, Edinburgh, Glasgow and Inverness. It contains 67 tables and 36 charts. It does not make a list of recommendations as such, but rather presents some broad conclusions arising from the research and analysis, thereby setting out the long-term policy issues for Scotland’s cities.

The accompanying report, *Building Better Cities: Delivering Growth and Opportunities*⁶², sets out the challenges and directions that will shape policy in the future. In addition, it gives a short analysis of the issues and prospects for each of the five cities. The two reports draw together the existing wealth of knowledge held by the Executive, academics and the broader policy-making community.

⁵⁹ Scottish Executive (2002b: 4)

⁶⁰ Scottish Executive (2002b)

⁶¹ Scottish Executive (2002b: 18)

⁶² Scottish Executive (2002a)

3.1.5 State of the Philippine Urban System

The Philippines' equivalent of a State of the Cities Report⁶³ was completed in 2003 and was a product of a series of consultations with city mayors. It is only 18 pages long; it reflects the major themes of good urban governance and secure tenure and covers little else. Thus, issues addressed are demographic and socio-economic trends; population growth and urbanisation; urban poverty; inequity in social and economic development; housing and human settlements (increasing efficiency in supply and planning); urban governance (improving capacity, participation, increasing budget for development, stronger partnerships with NGOs); and a vision for the urban system involving reforms towards sustainable development and in governance. proposals are given for urban sector policies; civil society reforms; formation of the Philippine Urban Forum; Good Urban Governance and Secure Tenure reforms; decentralisation; and a participatory approach in formulating the action agenda.

3.1.6 State of Minnesota's Cities Report (2008)

The *State of the Cities Report 2008* for Minnesota⁶⁴ is the most recent in a series of annual reports on city fiscal conditions produced by the League of Minnesota Cities since 2004.⁶⁵ Within this fiscal focus, the 2008 report deals with two very topical issues: the effects of the foreclosure crisis in the housing market, and the pursuit of energy efficiency. The last is composed of a number of case studies of "green practices". It is a 62 page document with 16 charts and maps and 12 tables. As there is no associated database, it is little different from its predecessor reports. The 2005 report focused on clean water within the context of fiscal conditions.⁶⁶

The State of the Cities Reports page of the League of Minnesota Cities web site⁶⁷ contains current and past reports. There is also supplementary information that was prepared to complement the reports and background information on the methodology that was used in preparing the reports.

3.1.7 The Association of Washington Cities' "State of Cities Reports"

The Association of Washington Cities' State of the Cities reporting process is an ongoing research effort exploring the fiscal health of Washington's cities and towns. The Association prepared a comprehensive "State of the Cities" report in 2005⁶⁸, and it is intended to produce further reports every four years (to coincide with the new governor's taking office). The report was prepared "[a]s part of an ongoing effort to support Washington's cities and towns [providing] an extensive analysis of the current health of our local communities".⁶⁹ Annual interim reports are also published on topics including forming municipal partnerships,⁷⁰ infrastructure⁷¹ and economic development.⁷²

Two versions of the report are available on the internet as downloadable PDF files: a very comprehensive and attractively presented 19 page executive summary, including tables and

⁶³ Philippine Urban Forum (2003)

⁶⁴ League of Minnesota Cities (2008)

⁶⁵ The League of Minnesota Cities is a membership organization dedicated to promoting excellence in local government. The League serves its more than 800 member cities through advocacy, education and training, policy development, risk management, and other services.

⁶⁶ League of Minnesota Cities (2005)

⁶⁷ <http://www.lmnc.org/page/1/resource-library.jsp?keywords=Reports&reports=on&alpha=true>

⁶⁸ Association of Washington Cities (2005a)

⁶⁹ Association of Washington Cities (2005a: 4)

⁷⁰ Association of Washington Cities (2006)

⁷¹ Association of Washington Cities (2007)

⁷² Association of Washington Cities (2008)

charts; and a full 118 page document with dozens of tables and charts (but no photographs). Data came from the state-wide fiscal reporting system and from a postal survey of city chief administrators. They were asked:

- What city officials identify as essential, citizen-demanded and economic development services.
- Whether cities are better or worse off than they were five to ten years ago.
- Whether revenues are keeping pace with service demands and other expenditures and if service levels can be maintained without raising taxes/fees.
- What are the major causes of budget challenges and how cities have responded to those challenges.
- Whether the challenges and successes in providing city services as well as the responses to those challenges are different for cities, based on key economic characteristics.
- What guiding principles could help solve any identified problems for local and state policies.

Thus, the finished report concentrates on fiscal conditions, economic activity and infrastructure provision and tells a rather bleak picture of good times past and hard times to come:

*“We’ve been living on borrowed time ... Cities are being strangled by health care costs ... We’re okay now but ...”*⁷³

3.1.8 The State of the Cities: Revitalization Strategies for Smaller Cities in Massachusetts

Prepared by the Citizens’ Housing and Planning Association (CHAPA) and Massachusetts Association of Community Development Corporations (MACDC),⁷⁴ The Massachusetts report⁷⁵ examines the policies and practices that support 38 small cities as they move to a more diverse economy. The report recognizes that many of Massachusetts’ smaller cities offer an interesting opportunity to apply the best current thinking about smart growth development, yet have often been overlooked in policy formulations geared toward the thriving Boston metropolitan market and expanding suburban market.

During the first part of the project, City Profiles were prepared for each of 38 cities. The profiles include data on population and demographic changes, municipal finance, federal funding levels, housing characteristics and market conditions, educational scores, and public safety information. This was then summarized into tables highlighting key demographic, housing and other data to allow for more accessible analysis and comparison of the cities. Through a review and discussion of the compiled data, the cities were categorized by a number of shared characteristics that might show larger trends, and six were selected as the case studies for in-depth analysis. The report examines recent demographic and economic trends among the cities and shares lessons and best practices for economic revitalization for the six case study cities

The final section of the report presents lessons learned during the study, focusing first on recommendations for the legislature and state government, followed by key recommendations of best practices. A summary of these recommendations is included at the

⁷³ Association of Washington Cities (2005b)

⁷⁴ Citizens’ Housing and Planning Association (CHAPA) is a non-profit umbrella organization for affordable housing and community development activities throughout Massachusetts, and Massachusetts Association of Community Development Corporations (MACDC) is the policy and capacity-building arm of the community development movement in Massachusetts.

⁷⁵ CHAPA and MACDC (2006a)

end of the section and also in the Appendices. The Appendices are included in a separate document⁷⁶ which, like the report, can be downloaded from the CHAPA website.⁷⁷

3.1.9 The State of Iraq Cities Report

The State of Iraq Cities Report (SICR) 2006/2007 was produced to provide a base line of urban data for planning the reconstruction of the country after 30 years of war, sanctions, poor governance internal strife, genocide and invasion. More specifically, the objectives were threefold:⁷⁸

- To update the people who need it with the best current data and future trends in urban policy by carrying out research-based analysis of the key urban development issues.
- To promote innovation and strategic thinking about cities and their place in Iraq's future development policy.
- To foster co-operation, information sharing and networking, and exchange of best practices among Iraq's cities.

It is a 190 page report with 61 figures and 71 tables. It covers the full spectrum of urban activities as follows: urban population issues, governance, servicing, housing, economic performance, inclusion, services, an assessment of urban potential and ways forward.

In the SICR, writers met with a representative of the Ministry of Municipalities at the very start of the process, in December 2005, fourteen months before handing in the final text in English (in February 2007). The lead author discussed each indicator from the UN-Habitat list with UN-Habitat staff and the chief civil servant in the Ministry to consider relevance, availability, etc., before accepting a list of 104 across all the sectors (except housing which were being collected in a parallel study, the Iraq Housing Market Study - IHMS). The data were delivered by the cities to the writing team in February/March. In parallel, a government-source had released the basic data of a large household survey, "The Iraq Living Conditions Survey" to the writing team for extracting city data from the governorates data. Two attempts had to be made at this as more was learned about the data and it became clear that the city could be defined by using the data from the core urban enumeration districts in the SICR.

Immediately all the data were available, writing started (using the South Africa SOCR 2004 as a model) guided by the sectoral data rather than the conceptual framework. Housing was put on hold against the receipt of the IHMS data but, eventually, ILCS data were used to meet early deadlines with at least something.

Six cities were being examined: Erbil and Mosul in the North, Hilla and Najaf in the centre, and Nassiriya and Basra in the south. This balance was politically essential in the early days after the invasion of April 2003.

In early 2006, parallel Rapid Urban Sector Profiles for Sustainability (RUSPS) were conducted in the six cities following a training workshop in Cairo. They provided information on a different and inter-related set of issues; shelter and slum conditions, urban governance, gender and women's role in society, and urban environment, allowing a set of SWOT analyses to be conducted (see Appendix 1 for more details).

For various reasons, Erbil became detached from the project quite early on. Thus, only five cities were available for two interim presentations using the first iteration of the ILCS data. The first was to all the teams and to the governors of the cities at a workshop in Amman in May, 2006. This draft, in the form of a long power-point presentation, was a useful dry run of

⁷⁶ CHAPA and MACDC (2006b)

⁷⁷ http://www.chapa.org/resources_publications.htm

⁷⁸ UN-HABITAT and Ministry of Municipalities and Public Works ((2007: 3)

the data and allowed some issues to emerge half way through the process for detailed discussion among the governors and Iraqi researchers. The Amman workshop consisted of presentations of the Rapid Urban Sector Profiling for Sustainability (RUSPS) results by the city teams and the first draft by the writing team. All were power-point presentations. The second presentation was as an interim launch at the World Urban Forum (WUF3) in Vancouver in June 2006.

Immediately after WUF3, Erbil was dropped officially and Baghdad replaced it. This was sensible in that an analysis of cities in Iraq is hardly valid without the capital, largest city and 26 per cent of the national population being included. However, it added a level of complexity which a single number, mean or set of frequencies could not adequately reflect.

In the months up to November, 2007, the text was re-written sectorally to include Baghdad and then edited to fit into the four-way analytical framework. At this time, decisions had to be made where to place particular topics such as housing (into economic sustainability) and to split some so that electrical generation and distribution were in 'The Productive City' and availability of power in dwellings was in 'The Socially Inclusive City'.

In October, 2006, a first draft (in English) was distributed to the six teams in Iraq and a workshop was held in Amman in November to discuss the contents, the findings, and what should be included in the recommendations. Only three months later, the final document was delivered in English after a week's collaborative work in Amman, between the lead author and the Jordanian co-ordinator, in the UN-HABITAT office for Iraq. In the interim, an Arabic translation had been sent to Iraq and had elicited some comments on the report.

The translation into Arabic was probably the most fraught exercise and has no parallel in the other countries' reports. The production and translation into Arabic were scheduled for only one month but took much longer. Indeed, a three month period would have been more reasonable. Two volumes were produced, one in Arabic and one in English. They were hard bound and on glossy paper which bestows a respectability on the data which is neither deserved nor sought. It has also led to UN-HABITAT in Nairobi not adopting the report.

The work was expected to start by mid October 2005 and last until the launch at WUF3 in Vancouver in June 2006 (nine months). In the event, the project started in December, 2005 and the final reports were ready by April 2007 (16 months). The fixed event in Vancouver became an interim launch.

The activities took place in Amman, Baghdad and the selected Iraqi cities covering all regions. The lead author, indicators specialist and Jordanian co-ordinator were not expected to travel to Iraq.

3.1.10 The State of European Cities Report

The *State of European Cities Report*⁷⁹ is part of the European Urban Audit project⁸⁰ which started by collecting 450 variables for the 58 largest cities (excluding Paris and London as they were too complex!). Later it was expanded to 258 cities (including Paris and London) but a much more focused list of variables was collected.

The report seeks to answer one fundamental question, which is "What is the current State of European cities?" This is broken down into the following key components which are examined in-depth in the report:⁸¹

- *Question 1: What are the current patterns of population growth and stagnation? (Chapter 2)*

⁷⁹ European Union (2007)

⁸⁰ <http://www.urbanaudit.org/>

⁸¹ European Union (2007: 5-6)

- *Question 2: How much do cities contribute to competitiveness, growth and jobs? (Chapter 3)*
- *Question 3: What is unique about city life? (Chapter 4)*
- *Question 4: What power do cities have to determine their own future? (Chapter 5)*

The contents cover a broad range of topics starting with whether Europe's cities are expanding or contracting, what factors lie behind the expansion and contraction, and which cities are growing and which are stagnating. The competitiveness of cities is a basic tenet of the report and discussion is entered on the economic performance of cities and the nature of their competitiveness, whether it be as international hubs or regional poles. Under the title of 'Living in Cities' there is analysis of unemployment as a key challenge for social cohesion, housing, household size, education, and whether cities are healthy places to live in. A chapter on urban transport completes the main contents. The final sections discuss city government and the role of size and wealth in city competitiveness. The 227 page report includes 19 tables and 62 figures. For full data availability, it leads the reader into the Eurostat website⁸² where there is a huge amount of data on Europe by topic and country.

The *State of European Cities: Executive Report*⁸³ draws on key elements of the wide range of data gathered by the Urban Audit in chapters on population change, urban competitiveness, living conditions and the administrative power of cities. Data refer to fixed times—1991, 1996 and 2001.

3.1.11 Other reports/exercises dealing with the state of cities

In addition to reporting processes that explicitly analyse the state of cities, there are many other reports and exercises that address similar concerns, including the following:

- "Quality of Life in New Zealand's eight largest cities"
- "Canada's Urban Strategy: A Vision for the 21st Century"⁸⁴ and "Canada's Urban Strategy: A Blueprint for Action".⁸⁵
- "The European reach of French Cities (DATAR)".
- Conference on the state of Australian cities in December 2003.

In addition, a number of countries are planning to undertake State of Cities reports. The *Evaluation of Cities Alliance: Final Report*⁸⁶ affirms that the engagement of the Cities Alliance with the SACN and the subsequent production of the two South African State of the Cities reports have helped set the standard of the State of Cities Reports, currently under preparation or planning in Brazil, Ethiopia, Kenya, Nigeria, Tanzania and the Philippines.

3.2 Key characteristics of State of Cities Reports

In this section, we introduce the key characteristics of State of Cities Reports in other parts of the world and the Cities Alliance "City Development Strategies" (where relevant). The section is arranged topically and focuses on those characteristics which speak to the way the South African reporting process operates. Table 5 shows the characteristics of the different State of Cities Reports for comparative purposes.

⁸² http://epp.eurostat.ec.europa.eu/portal/page?_pageid=1090,30070682,1090_30298591&_dad=portal&_schema=PORTAL

⁸³ European Commission (2007)f

⁸⁴ Caucus Task Force on Urban Issues (2002b)

⁸⁵ Caucus Task Force on Urban Issues (2002a)

⁸⁶ Scanteam (2007)

Table 5. Characteristics of States of Cities Reports

State of Cities Report	Date of most recent	Part of a series	Arranged on a Conceptual framework	Arranged by sectoral chapters	Data rich through tables and figures	Database associated with text	Typically limited or general urban issues	Topical focus(es) of the most recent
USA	2000	Annually 1997-2000	No	Yes	No	Web-based	Topical	Governance, the economy, housing, smarter growth and quality of life
England	2006	Yes, 2000 and 2006	No	Yes	No	Web-based	Topical	Economic and social issues, and governance.
World	2006/7	Biennially	Yes	No	Yes	Attached	Topical	Slums
Scotland	2002	No	No	Yes	Yes	None	General	-
Philippines	2003	No	No	Yes	No	None	Topical	Good governance and secure tenure
Minnesota	2008	Annually 2004-08	No	Yes	Yes	None	Topical	Fiscal conditions, the foreclosure crisis and energy efficiency
South Africa	2006	Yes, 2004, 2006, 2010/2011	Yes	No	Yes	Attached	General	-
Washington	2005	Intended to be four yearly	No	Yes	Yes	None	Topical	Fiscal conditions, economic activity and infrastructure provision
Massachusetts	2006	No	No	No	Yes	None	Topical	Economic revitalization strategies for smaller cities
Iraq	2007	No	Partly	Partly	Yes	None	General	-
Europe	2007	No	No	Yes	Yes	Web-based	General	-

3.2.1 Analytical frameworks/ thematic structuring

Although the South African State of Cities reports are firmly based within a clear conceptual framework, most of the others are only conceived as a series of topics with inter-linkages examined within the text.

As the South African SOCR is well established, authors of other SOCRs are likely to refer to it early in the process of preparation. Thus, when the team at UN-Habitat Iraq Office in Jordan wrote the terms of reference for the State of Iraq Cities Report⁸⁷, they adopted a modified version of the analytical framework used in South Africa's SOCR 2004. Its simplicity of form and ability to move away from strictly sectoral chapters are two major advantages of which the UN-HABITAT team took advantage.

The following analytical frameworks and thematic structures are discussed below:

- The Cities Alliance's City Development Strategies framework (which, for example, directly influenced the analytical framework of the South African State of Cities reports)
- The State of English Cities Reports
- State of the World's Cities Reports
- Review of Scotland's Cities
- Philippines' "*Ang Bahanggunihanan*" report
- State of Iraq Cities Report

Cities Alliance's City Development Strategies

The Cities Alliance's City Development Strategies Guide⁸⁸ advises that:

"Although each city's strategy will be unique, experience has shown that virtually all successful cities deal, albeit in different ways, with

- (i) livelihood enhancement (making a living [getting a job, starting a business], competitiveness, and human resource development);
- (ii) environmental quality, service delivery, and energy efficiency;
- (iii) spatial form and infrastructure (supplying land for shelter and livelihood, enabling transaction-rich environments, and optimising mobility through cost-efficient and environmentally sound transport systems);
- (iv) financial resources; and
- (v) governance" 89

Expressed as themes for City Development Strategies they are:

- (i) Livelihood (Jobs, Business Start-ups, and Household Income);
- (ii) Environmental Quality, Service Delivery, and Energy Efficiency;

⁸⁷ UN-HABITAT and Ministry of Municipalities and Public Works (2007)

⁸⁸ Cities Alliance (2005)

⁸⁹ Cities Alliance (2005: 27)

- (iii) Infrastructure and Spatial Form;
- (iv) Financial Resources; and
- (v) Governance.

The full range of issues in the South African conceptual framework are included but not structured in the same way or called the same things. One major loser in this is the inclusion theme as it is difficult to see how it could be handled well, except as a means of analysis in each sector.

In its Resource guide to 'Understanding your local economy', Cities Alliance⁹⁰ uses a four-fold grouping of economically-focused indicators:

- (i) Economic structure (the size and nature of the economy);
- (ii) Local endowments (infrastructure, real estate, utilities);
- (iii) Human capital (demographics, employment and income, education and skills); and
- (iv) Institutions (the environment for enabling local businesses).

Obviously, this only focuses on the economy and issues which the writers feel impinge closely upon it. Thus it does not include environmental issues and inclusion is not likely to be given much emphasis in this form. Otherwise, the contents are similar to those of the South African conceptual framework but not distributed according to its tenets.

State of English Cities

The *State of the English Cities* report⁹¹ was written to emphasise the importance of

- Spatial policies and multi-sectoral activity – how space and place matter in an economy.
- Establishing a national to local framework for realising subsidiarity⁹² and ensuring that wider strategic connections and objectives are achieved.
- Recognising the importance of development processes.

In doing so, it adopts a broadly sectoral structure, as follows:

- (i) Economic failures and successes (with respect to economic issues, assets and employment, urban asset base, trends in employment; cities and their regions, population and households).
- (ii) Social failures and successes (with respect to social issues, deprivation including education, very cheap housing, housing need, neighbourhood management and re-populating city cores).
- (iii) The policy and governance context (with respect to the role of agencies, cities and city regions).
- (iv) Comparisons (with USA and the mainland Europe).
- (v) Issues to be addressed (including continuing current principles, rethinking and linking scales of intervention, encouraging co-operation across service areas, promoting

⁹⁰ Cities Alliance (2007c)

⁹¹ Parkinson et al.(2006a)

⁹² Subsidiarity is the principle of allowing control of something to pass down to the lowest level of the governance structure capable of carrying it out.

partnership and inclusion in the policy process, maximising the impact of resources, and recognising a degree of diversity).

Here again, we have links with the South African conceptual framework with Productive City, Inclusive City, and Well Governed City reflected in the first three sectors above but reflecting particularly English concerns.

State of the World's Cities Reports

After starting as a general introduction to world urban conditions,⁹³ the most recent State of the World's Cities Reports are closely focused on a particular theme with strong editorial control over content, even though specialists write drafts on particular topics. The 2006/7 report⁹⁴ is arranged in four sections, each represented by a component of the UN-HABITAT logo (cities, shelter and people) leading to policies with the complete logo. Part one comprises cities, slums and the Millennium Development Goals; part two focuses on the state of the world's slums; and part three shows that where we live matters, dealing particularly with hunger, mortality, education and sustainability. Part four examines current policy initiatives focusing on slums.

Review of Scotland's Cities

There is a six-fold segmentation on the cover (Transport, Arts/culture, Housing, Jobs/economy, Sustainability, Demography) but the content is presented in a nine-fold thematic division:

- (i) Cities, Changes and Challenges (why cities matter);
- (ii) City Demographics (population change);
- (iii) Cities as Places to Work (economies, GDP, jobs, incomes, unemployment, deprivation, competitiveness, etc.);
- (iv) Cities for Living (quality of life, housing, neighbourhood quality, crime and fear of crime);
- (v) Lively Cities (cities as public realm, shopping, arts and culture, tourism);
- (vi) Connecting Cities (transport and travel, intercity transport, air travel);
- (vii) Sustainable Cities (environmental importance of cities, neighbourhood environments, waste and resource use, energy consumption, transport to work and pollution, ecological footprint, planning for sustainability and environmental justice);
- (viii) Shaping the Future – Delivering Change (means of change, shared vision, partnerships, leadership, new opportunities); and
- (ix) Beyond City Limits (policies at city-region level).

⁹³ UNCHS (2001)

⁹⁴ UN-HABITAT (2006)

The thematic divisions into cities as Places to Work, Cities for Living; Lively Cities; Connecting Cities and Sustainable Cities appear to be as useful as the South African conceptual framework. Of course, they reflect local priorities and issues.

Ang Bahanggunihan – Philippine Urban Forum

The Philippine report focuses on five themes which are incorporated into an acronym “*Ang Bahanggunihan*” used for the report and for a related campaign for good urban governance and secure tenure. They are; *Bahaginan* – Sharing; *sanggunian* – consultation; *bayanihan* – co-operation; *pamamahala* – governance; and *tahanan* – home. While these could provide an analytical framework, they do not. The report is structured by sectoral chapters.

State of Iraq Cities Report

The State of Iraq Cities Report was requested by the Iraqi Ministry of Municipalities and Public Works from UN-HABITAT in 2005, not long after the change of government following the invasion of 2003. The South African conceptual framework was modified by adding the words “socially” to Inclusive City and “economically” to Sustainable City. The themes are, therefore:

- Socially Inclusive: based on the full participation of all segments of society (Chapters 3, 4, 5 and 7);
- Economically Sustainable: reflecting progress towards curbing unemployment, poverty and promoting self-reliance on local resources (Chapters 4, 5 and 6);
- Productive, promoting entrepreneurial culture: observing high efficiency in Market performance and social responsibility of the private sector (Chapter 6);
- Well Governed: encouraging institution building and organizational development and quality public sector performance (Chapter 3);
- Cities as part of a balanced regional development network.” (UN-HABITAT, Terms of reference for SICR, Amman, Jordan, 2005)

There was an obvious expectation that the cities are not all of these things, following 30 years of dictatorship, internal and external conflict, and a recent invasion, but there was uncertainty about how far they fulfilled or fell short of each, and how much they varied.

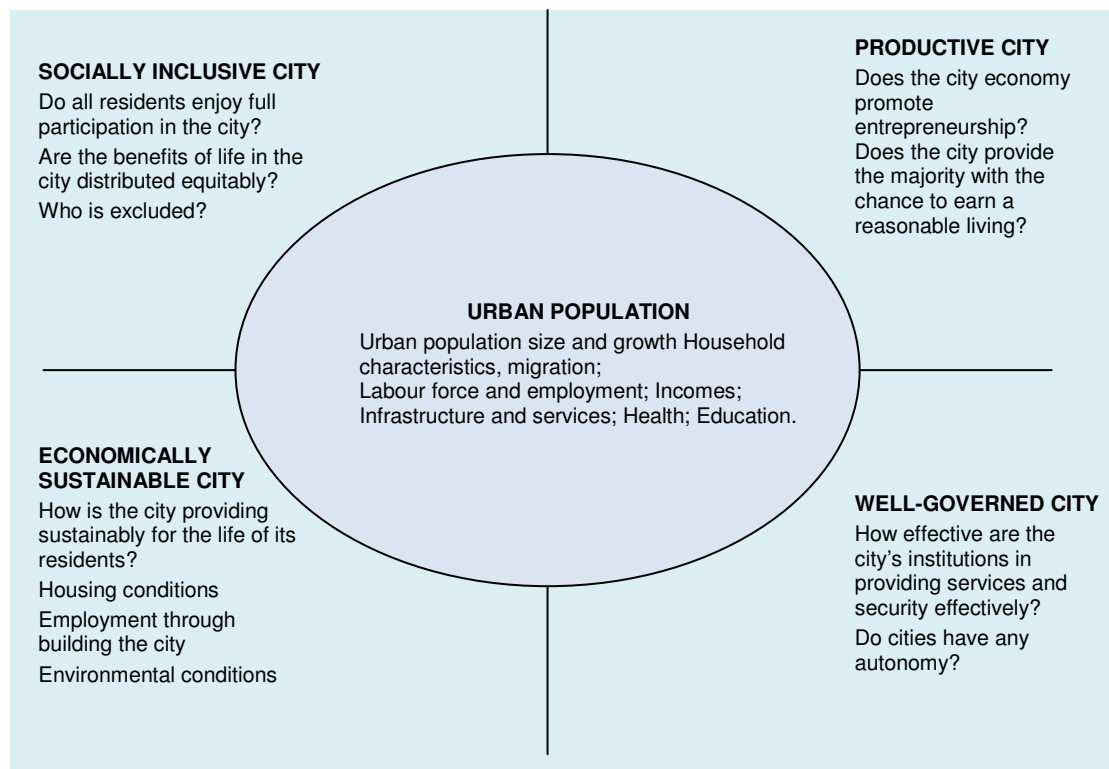


Figure 3: Analytical Framework for the State of Iraq Cities Report, 2006/2007⁹⁵

Both South Africa and Iraq use “Urban Population” as a central theme. The chief writers/editors of both the 2004 and 2006 South African reports and the lead author of the Iraqi report found the conceptual framework only partly useful and actually problematic in certain circumstances. All had it imposed upon them from outside the writing team. Both the manager and the lead author of South Africa 2004 were appointed after the decision had been made to use the conceptual framework, under the encouragement of Cities Alliance. The editor of the 2006 South African report also had to conform to the conceptual framework even though it was difficult to fit sectoral arguments into it and it discouraged cross-sectoral references as much as it was thought to encourage them. The lead author on the Iraqi report ignored it until the recommendations were being considered when a meeting with UN-HABITAT staff confirmed that they wished to remain loyal to the framework spelled out in the terms of reference, even though it appeared to be unhelpful to the writing team. Even then, it was only adopted for the executive summary and the “Ways forward” recommendations section.

Internal agendas are influencing the analytical framework in both South Africa and Iraq. In addition, there are some similarities between the two countries’ recent experiences. Iraq has emerged from a period of dictatorship and continual war into a contested democratic era. South Africa has had a revolutionary change through the defeat of *apartheid* and the adoption of a fully democratic process. In both, large numbers of people have rightly felt that government has not represented them in the past as they saw resources devoted to some sectors of the population, based mainly on ethnicity, and denied others. Now, the majority of the people are having to become used to accepting that perhaps the new government does, or would, represent them. A “them and us” philosophy is being replaced, at least officially, by a more participatory and inclusive attitude within cities, albeit more slowly than was hoped.

⁹⁵ UN-HABITAT and Ministry of Municipalities and Public Works (2007: 19)

It is obvious that an analytical framework is not a necessity in writing an effective State of Cities Report. Indeed, those who have used one (the chief writers/editors of the two South African State of Cities reports and the lead author of the State of Iraq Cities Report) all found the four-fold analytical framework originating with Cities Alliance as quite a problem. All recognised its benefits in clarity of thought and making links across commonly-separate sectors. However, there were also times when the analytical framework discouraged a cross-sectoral view. For example, housing was fitted into the inclusive city by the South African teams because it is dealt with as a welfare good in South Africa as part of the social wage.

In the Iraq report, however, the lead author resisted any impetus to associate housing with either productive city (where it seemed best suited) or socially-inclusive city (where its current welfare status would point to). Indeed, the terms of reference had designated both the analytical framework and a list of chapter headings. It was for reasons such as the dilemma on housing that the analytical framework was conveniently sidelined and the chapter headings favoured as a structure.

3.2.2 Reporting process

Reporting processes vary considerably. The reporting processes of the State of the World's Cities reports and the State of Iraq Cities Report are discussed below.

State of the World's Cities

UN-HABITAT's biennial flagship *State of the World's Cities* report is driven by data from the Global Urban Observatory in UN-HABITAT, Nairobi. It is written in-house by a statistical specialist and a writer. Subject specialists are contracted to write discussions of the data, which the writer uses as background for the textual analysis. Thus, there is very tight editorial control and the themes selected can be emphasised and re-emphasised throughout the volume. This contrasts to the 2006 South African report which has been criticised for not focusing on any particular message.

The State of the World's Cities team is very experienced and highly organised. It operates on a two year cycle, publishing its reports to coincide with the World Urban Forums (Nairobi, 2002; Barcelona, 2004; Vancouver, 2006; Nanjing, 2008). There may be much that others can learn from their experience. The process is carefully managed with clear lines of responsibility set out among the team and external consultants. The reports are data-led. The first year is spent collecting the data and deciding on the key messages in the report. All the data analysis is completed and the key findings are fixed about nine months before publication. This gives plenty of time for reviews, internal and external editing, and production. The programme of activities for the State of the World's Cities process (Appendix 2) provides more details.

State of Iraqi Cities Report

The SICR was written by a team of academics from the Global Urban Research Unit (GURU), School of Architecture, Planning and Landscape, Newcastle University. The lead author (Graham Tipple) had overall responsibility for the report and wrote most of the chapters. The writers met with a representative of the Ministry of Municipalities at the very start of the process, in December 2005, fourteen months before handing in the final text in English (in February 2007). As the authors did not know Iraq, they relied heavily on the participatory inputs of the Iraqi teams, in particular for the SWOT analysis and the formulation of the recommendations. This is very different from other SOCRs where the

authors are involved in urban issues in their country. However, it also meant that various issues were interrogated in greater depth. UN-HABITAT's Office for Iraq in Amman, Jordan, had overall editorial control and controlled the production of the final volume in both English and Arabic.

This model may have parallels in the processes used in some countries where there is a lack of capacity within the country and overseas funding imposes the involvement of some international specialists. While there is unlikely to be another case where the international specialist(s) cannot even visit the country, the local teams liaising with an outsider with regional expertise might well be a model suited to some countries.

3.2.3 Indicators/ data

There are many ways to use data in State of Cities Reports and no one way seems to be best for all. Some present data mainly within the discussion and without many tables or graphs. Philippines and USA fit into this category. Others have a number of tables or graphs but much less than one per page. England, Scotland and Europe fit into this category. Finally, some have as many tables and graphs as the South African report. These include Iraq and Washington.

In countries where there is a large amount of data and sources are easy for researchers and policy-makers to access, the report process includes online databases; England and USA have these. In this context, the South African reports might be seen as very data-rich with both much data in the report and spreadsheets attached.

The presentation of data by city is suitable where there are few cities (Scotland - 5) or where only a few have been sampled (Iraq - 6, South Africa - 9) but may be less helpful when there are many sampled (England – 56, Europe 258), when grouping and aggregation is necessary for clarity.

3.2.4 Selecting/ defining cities

In some countries, all large urban agglomerations are included. In Scotland, for example, all the five large cities are included (though Inverness was included in only some topics), Washington and Minnesota are similarly inclusive. In USA and Europe, inevitably only some of the cities are chosen but the numbers are large (258 in Europe). At the other end of the spectrum, in Iraq, only six cities in the country are covered.

Choices must take account of the availability of data, the ability of the team to interpret and present data for many cities, the need to be comprehensive or to show examples, and the minimum number of places which can successfully represent the urban milieu.

The way in which cities are defined is also important. In the UK, there are some very small cities which bear the name because of historical importance but are now very small. Towns such as Ripon, St David's and Elgin are all legally classified as cities but are small towns, even villages, now. The Scottish Report excludes them.

It has a useful definition of "cityness". The Scottish Executive⁹⁶ defines cityness through a number of key, interrelated variables as follows:

- (i) Population scale;
- (ii) Co-location of activities (agglomeration economies);
- (iii) Large scale, pressure for locations implying high land values with consequently dense development and dominance of built environment over natural;

⁹⁶ Scottish Executive (2002b)

- (iv) High level of interaction between land uses with both positive and negative externalities;
- (v) Proximity offering social and economic interactions;
- (vi) Interactive networks and localised forms of social capital;
- (vii) Diverse economic and service activities;
- (viii) Centres for innovation;
- (ix) Social and cultural diversity;
- (x) May have sharp distinctions between income and ethnic groups

Boundaries for the cities included are quite broadly drawn (the functional area – commuting, shopping, housing market areas and environmental footprint).

In several reports (e.g., England and Scotland) the cities are defined by their regions, in Iraq, a very tight definition is adopted to separate the urban area from the governorate and try to introduce a specifically urban context to the national planning discourse.

The *State of European Cities* report uses a typology of cities to classify the 58 selected cities in the Urban Audit. Based on into such criteria as size, economic structure, economic performance and drivers of competitiveness, the cities were categorised as established/ reinvented capitals, knowledge/ research hubs, modern industrial/ de-industrialised or transitional cities, gateways, visitor centres, national service hubs, regional market/ public service centres, and satellite towns. The typology aimed at providing insight into urban developments and serving as a basis for city comparisons.

The criteria for categorising the cities included were. The report recognizes that while the typology has its advantages, it also has some limitations. Among them are that city types are defined by the characteristics of their core rather than by their wider boundaries; and cities may see themselves as being in more than one grouping. The report, therefore, advises that the typologies be used as “*a complementary tool for a better understanding urban dynamics and to help in addressing the question of which policy mixes are most appropriate for different types of cities.*”⁹⁷

There are also issues of cities which are legally autonomous but physically part of a larger urban entity. In the UK, Manchester and Salford are legally separate but contiguous in reality. Similarly Newcastle and Sunderland are both part of a single metropolitan area but separated by other small local authorities. In Iraq, Hilla is part of a larger urban area but was dealt with on its own in the SICR. Similarly, Najaf was contiguous with the smaller city of Kufa but dealt with separately. In both of these, the boundaries were not easy to locate and even officers in the local authorities did not know where they were.

In some reports, e.g., South Africa and England, the city region or larger metropolitan local authority is taken as the unit, even though it includes large rural areas. In others, e.g., Iraq, the city is tightly drawn to separate it from rural conditions. In any State of Cities reporting process, the choice of the cities to be used and their boundaries must be carefully debated and agreed upon in advance.

⁹⁷ European Union (2007: vii)

4 CHARACTERISTICS OF EFFECTIVE STATE OF CITIES REPORTING PROCESSES

Box 6: Characteristics of an effective State of Cities reporting process

Based on the experiences of the South African State of Cities reporting process and State of Cities reporting processes elsewhere in the world, an effective State of Cities reporting process should be characterised by the following key elements:

- **The reporting process:**
 - should have a clearly defined purpose/target audience.
 - should have an appropriate institutional home.
 - should be inclusive and incorporate the views of a range of key urban stakeholders.
- **The analytical framework** should be appropriate to the context and easily-understandable.
- **The analysis** should be based on quantitative and qualitative statistics and indicators that are relevant and reliable.
- **The end products:**
 - should be appropriately presented for the purpose and target audience
 - should contain an appropriate analysis of relevant qualitative and quantitative information
 - should provide an understanding of the dynamics of cities within their broader context
 - should have clear conclusions and recommendations regarding key urban development challenges
 - should be widely disseminated to relevant urban stakeholders in easily-usable formats at appropriate times, in order to have a real impact on policy and practice.

The key characteristics of effective State of Cities reporting processes are discussed below under the following headings:

- Purpose/target audience
- Institutional home
- Reporting process
- Analytical framework
- Indicators/ data
- End products
- Dissemination

4.1 Purpose/target audience

The purpose of the report should be clearly defined, as should the target audience(s).

Firstly, there needs to be clarity on the selection and definition of the cities to report on. The precise definition of a “city” will vary from country to country. In the case of South Africa, each of the nine cities the process focuses on is defined as a municipality. In other countries,

however, municipal boundaries do not always coincide with functional urban areas, and other ways of defining cities will usually need to be used.

The prioritization of purposes and target groups may well vary from country to country, but the South African State of Cities reporting process provides a good example of the typical range of purposes:

- To maintain and improve the profile of cities in national debates and policy-making;
- To highlight the importance of big cities to key stakeholders and interest groups (in South Africa to national government bodies, parastatals and provincial government);
- To get large municipalities thinking about key issues they face and the way they operate;
- To compile and disseminate reliable and consistent statistics for cities for use nationally and internationally;
- To contribute to the body of knowledge, nationally and internationally, on performance of cities South African cities and other cities in the Global South.

In order to fulfil these purposes, the main target audiences of the South African State of Cities reports are defined as:

- National government departments (political heads, senior managers and data analysts/planners);
- Provincial government departments (political heads, senior managers and data analysts/planners);
- Parastatals/ government-established agencies (senior management, data analysts/planners). In South Africa this includes both the large national parastatals, such as Eskom and Transnet, and regional or city-specific organisations, such as Joshco;
- Large municipalities (political leadership, senior management, data analysts/ planners);
- Other key role-players in cities. In South Africa this would include organisations such as the Congress of South African Trade Unions (COSATU), the South African Property Owners Association (SAPOA), political parties, etc;
- Researchers on urban issues, both nationally and internationally.

As it is impossible to address all these purposes and target groups adequately simultaneously, some prioritization is necessary. In particular, there should be clarity on the extent to which the report is targeted at raising the urban agenda with national government versus improving the way municipalities go about their work. This is because the two objectives have very different implications in terms of timing, process and content.

It is also easier to address more objectives and target groups simultaneously by producing a range of end products (for example, a short and easy-to-read summary report to supplement the comprehensive full report).

4.2 Institutional home

An appropriate institutional home is fundamental to an effective state of cities reporting process. Institutional homes vary from country to country; they include the following:

- National government (e.g. Scotland)
- A single government department (e.g. the Department of Housing and Urban Development in the United States of America)
- A purposely set up think-tank (e.g. for the State of the World's Cities Report and the Washington State reports)

- an *ad hoc* team of academics appointed as a project team by a government department (e.g. England).

The South African Cities Network (SACN), the home of the South African State of Cities reports, provides a particularly good model of an institutional home for a State of Cities reporting process. SACN has a membership that includes the municipalities of nine big cities in South Africa. It is not a government agency, but rather a not-for-profit organisation accountable to a board of directors. Although the board consists of politicians and officials from the nine cities and representatives of the Minister of Provincial and Local Government and the South African Local Government Association (SALGA), SACN is not a representative structure. It has a degree of autonomy and independence, which enables it to have a different point of view from government. As an autonomous body with strong links to local and national government, SACN is an appropriate institutional home for a reporting process, such as the South African Cities one, which aims to provide a comprehensive overview of issues facing large cities and to raise the awareness of decision-makers about the urban agenda.

While there should be one institutional home for the State of Cities report, various organisations should be involved in setting it up and driving the reporting process. In the case of South Africa, SACN works closely with its nine member municipalities and its partners and sponsors, which include SALGA, DPLG, DBSA, SIDA, USAID and DANIDA.

The issue of an institutional home is closely linked to the issue of funding. The reporting process requires funding for a range of operational aspects and also for capacity-building. If adequate financial resources are not available, the process will be in danger of failing owing to, for example, lack of stakeholder participation, effective implementation, facilitation and information dissemination.

For the ongoing collection and analysis of data relating to cities (which is essential for many reasons), the best institutional option would seem to be a National Urban Observatory (NUO) and extended network of Local Urban Observatories (LUOs), modelled on UN-HABITAT's Global Urban Observatory. Relevant stakeholders (such as data collection agencies and research institutions) should be involved in the establishment of the LUOs in the various cities and the NUO as a joint venture. Other stakeholders who are involved in the collection of city-level data (such as municipalities and various other government bodies) should also be involved in some way. Wherever possible, NUOs and LUOs should build on existing initiatives and be hosted by existing institutions. The institutional home for the State of Cities report should have a close relationship with the NUOs/LUOs and be able to input into the data that it collects and holds, and have unquestioning access to its data.

The collection and management of the data should be centrally co-ordinated. However, the analysis and interpretation of the data, and the subsequent write-up should involve a wide range of subject specialists and resource persons. By doing so, the reporting process will be able to draw on a wider base of relevant, reliable and up-to-date data and in-depth analysis and understandings.⁹⁸ The institutional home for the State of Cities reporting process should be part of the steering committee(s) guiding the data collection and analysis, so that it can input into the selection of data that is collected and the identification of research projects and selection of researchers.

The consolidation of existing funding sources and/or acquisition of new funding sources, especially those which can commit for several years, would be required to fund the proposed programmes.

⁹⁸ The close relationship with universities should also help to identify emerging issues and trends which might form themes or case study boxes in the State of Cities report.

4.3 The reporting process

State of cities reporting processes consist of various stages. These typically include the stages shown in Figure 4:

- The formulation of a terms of reference for the reporting process
- The selection and design of an analytical framework and key indicators
- The compilation of data and gathering of additional information (by a team of data experts, the writers and the editor-in-chief, with input from an editorial committee)
- The analysis of the data and identification of key trends/issues (by the writers and editor-in-chief, with input from an editorial committee)
- The formulation of conclusions and recommendations (by the writers and editor-in-chief, with input from an editorial committee)
- Producing the final end products (by the writers and editor-in-chief, with input from an editorial committee, and in collaboration with a layout/design specialist and a website designer)
- Dissemination of the findings of the process through various means

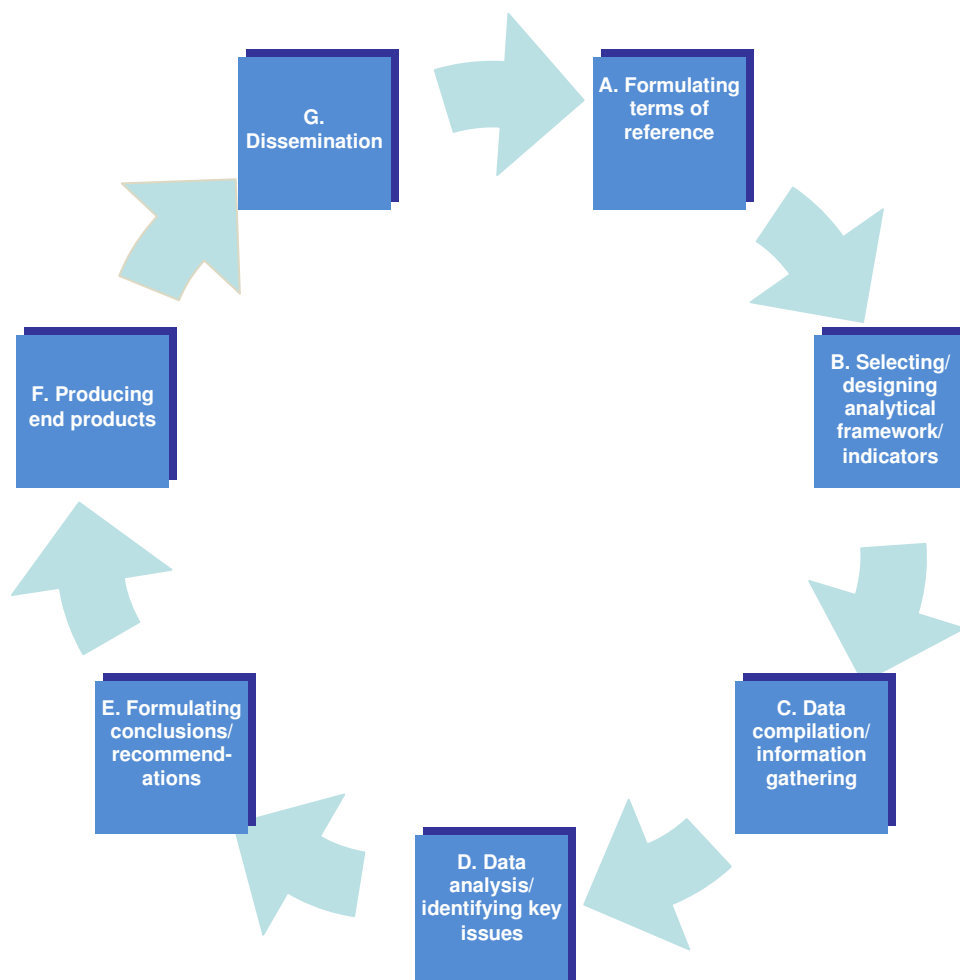


Figure 4: State of cities reporting process

Each situation requires the design of a reporting process specifically suited to local circumstances, needs and competencies. A number of organisations will be involved in the State of Cities reporting process, and it is important that there is collective clarity on the process. Some of the key considerations in developing and framing a state of cities reporting process include: the goals and objectives of the SOCR; the specific activities that are to be undertaken; the composition and respective roles and responsibilities of the team; and the implementation agenda.

Box 7: Key considerations in a state of cities reporting process⁹⁹

- The goals/objectives of the SOCR
- Specific activities that are to be undertaken.
- Composition and respective roles and responsibilities of SOCR group members.
- Responsibilities of facilitators and other positions within the SOCR group.
- Resources to be provided by each member of the SOCR group.
- Types of information to be shared and standards for sharing of information, including agreements on confidentiality.
- Time-frame for completing each phase of the work.
- Methods for group decision-making and conflict resolution.
- How outcomes of the SOCR will be integrated into the official decision-making processes.

Setting the agenda

Setting an agenda, the process of which is shown in Figure 5, is a first step towards a successful reporting process. It is important at the outset of the reporting process to compose the team that will take the lead; to formulate the goals and objectives; and to set an agenda and framework for action. If it is to be effective, the reporting process team must be committed to the vision and mission; the goals and ideals reporting process; and also the rules and procedures of the reporting process. The constitution of the reporting team in terms of representation and diversity is also significant.

The goal formulation process should be led by a steering committee, which also has overall responsibility for overseeing the reporting process; but key stakeholders should be also be consulted and agree on the goals. The setting of the agenda is another important part of the reporting process, and should ideally be done through a participatory, consensus-driven approach. A realistic timetable should be drawn up and followed, with the amount of consultation and the format(s) that it will take being key considerations.

⁹⁹ After (Hemmati, 2002)

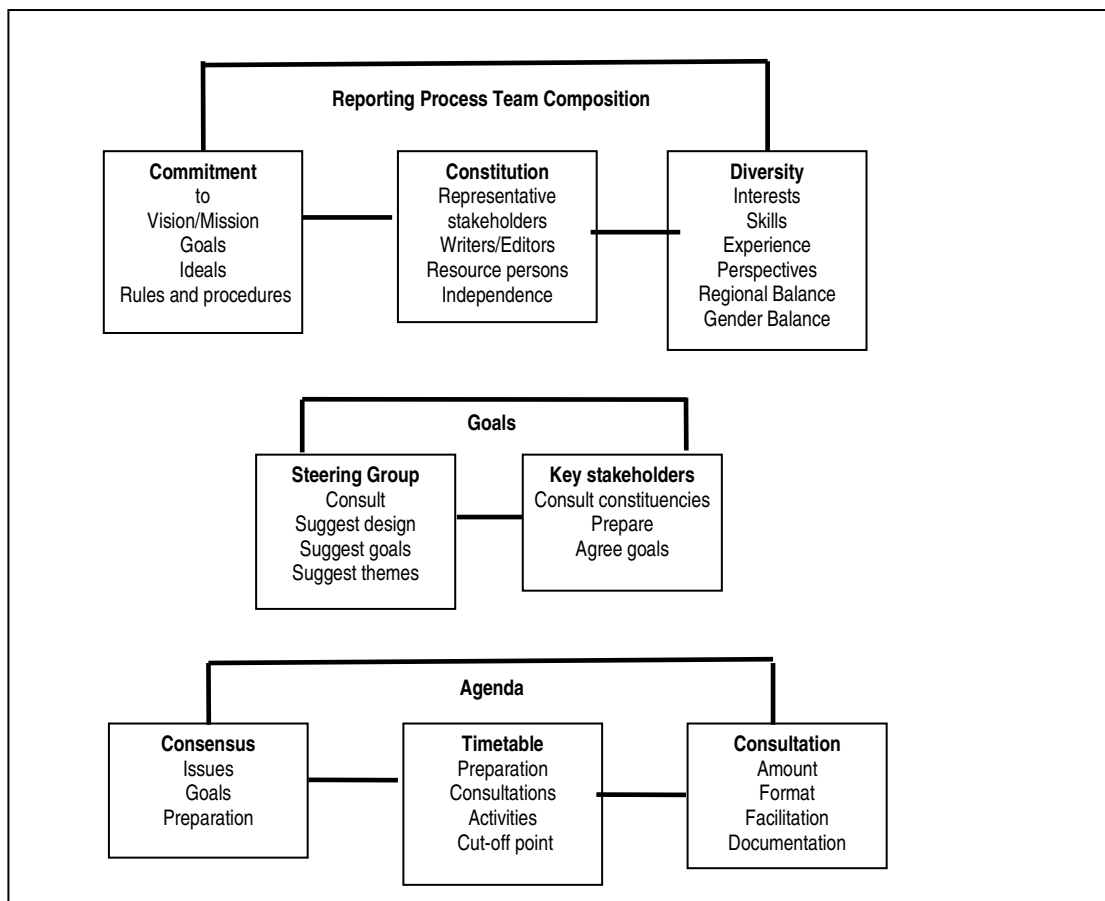


Figure 5: Setting the agenda¹⁰⁰

Writing/editing

There should be a small core group of writers under an editor-in-chief, all involved early in the process and influencing decisions about the main messages and themes. It is advantageous to have a range of writers with different expertise and perspectives. The selection of the writing group and editor-in-chief is important, as the quality of the end product will largely depend upon the quality of the writers and editor-in-chief. If several contributors/authors are to be involved in the writing process, there needs to be a clear framework to ensure a coherent end-product.

A small editorial committee should have the final say with regard to the content of the report. The editorial committee ideally should be independent, for example, not to include current mayors and city managers. Municipalities should be involved in identifying key issues and verifying data, but the editorial oversight ideally should have a degree of independence from narrow municipal interests. Acknowledgement of who wrote what should be direct (as this is likely to result in better quality).

One of the key lessons from the writing process of the 2006 South African SOCR was that in addition to the contributors/authors writing the “parts” (individual chapters/sections), there is need also for others who can look at, and have a good grasp, of the “whole”.

¹⁰⁰ Source: After Hemmati (2002)

Budget/time

It is important that there is a sufficient budget and that timelines are adequate. Sufficient time should be allowed for, firstly, collecting a reliable and useful set of statistics from which the writers can work, and, secondly, for peer review and debating the draft content of the report (amongst the writers group and the editorial committee). The publishers should be given adequate time to produce a good quality, high standard product. Where feasible, some of the graphical content, which might require special preparation, should be sent in advance of the textual content. Time to respond to queries from the publishers should also be factored in.

It has been suggested (based on the 2006 South African State of Cities report), that a period of 18 months from inception to handover for publication is ideally required for a substantial, data-rich State of Cities report. The amount of time required will, however, vary from context to context, depending on a number of factors, including the purpose and nature of the report and the availability of data.

Inclusivity

Inclusivity in the reporting process is important. All relevant stakeholders should be involved in the process as appropriate. The relevant stakeholders in the reporting process are likely to include the key urban actors and institutions shown in Figure 6. A stakeholder analysis, following a process along the lines of that shown in Figure 7, can be useful in identifying the key stakeholders. It can also be relatively cheap in terms of money and time.

The State of Iraq Cities reporting process was made more inclusive through the RUSPS methodology that was used in a parallel exercise. The information collected through the participatory RUSPS process was incorporated into the report, especially in the governance and environmental sections.

It is important that the reporting process remains politically neutral and does not promote a particular political agenda. However, the purpose of several reports is to explain and monitor politically-driven change in urban agendas (as it seems to have been in the USA (the Clinton Administration) or England (the early Blair years) or Scotland (the new Scottish Executive).

Box 10: Developing performance measures

“Designing and developing the most effective performance measures requires a combination of expert research and analysis in conjunction with extensive consultation with key stakeholders across the country. These stakeholders include all orders of government, the public service, private sector partners, community leaders, and the general public. Involving these stakeholders in the process enhances the commitment to the measures and targets, which is essential for implementing a successful performance-management program and obtaining results.”
(Caucus Task Force on Urban Issues, 2002b:4)

Figure 6: Key urban actors and institutions¹⁰¹

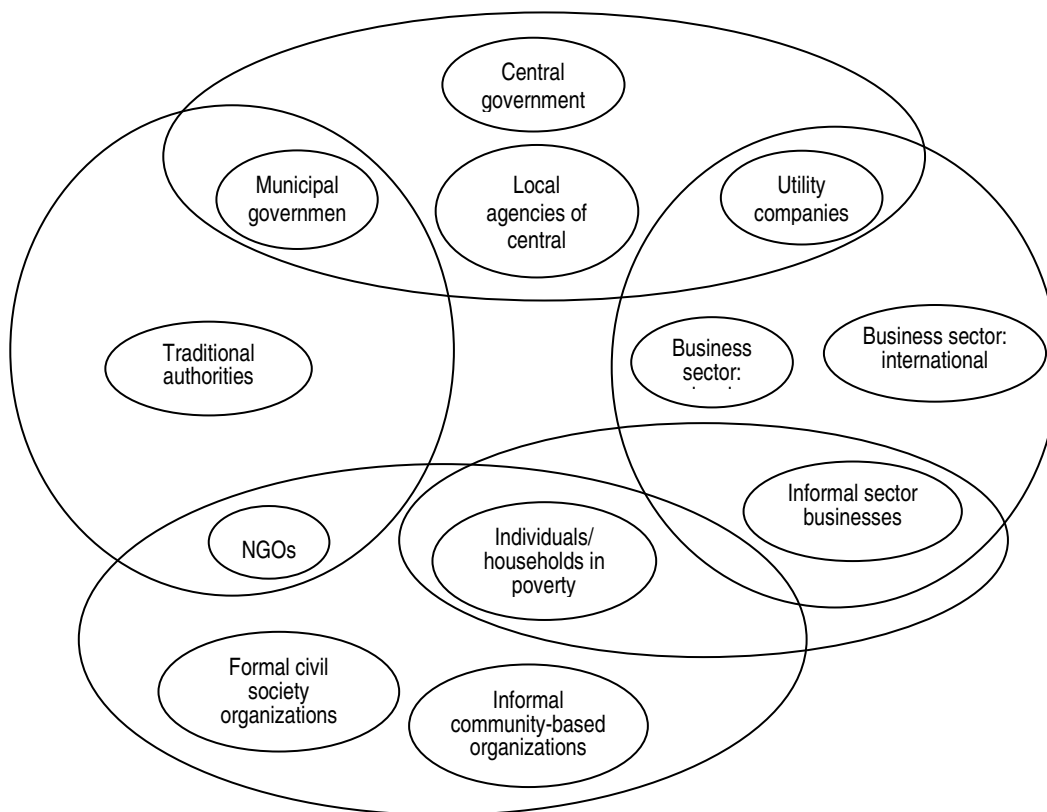
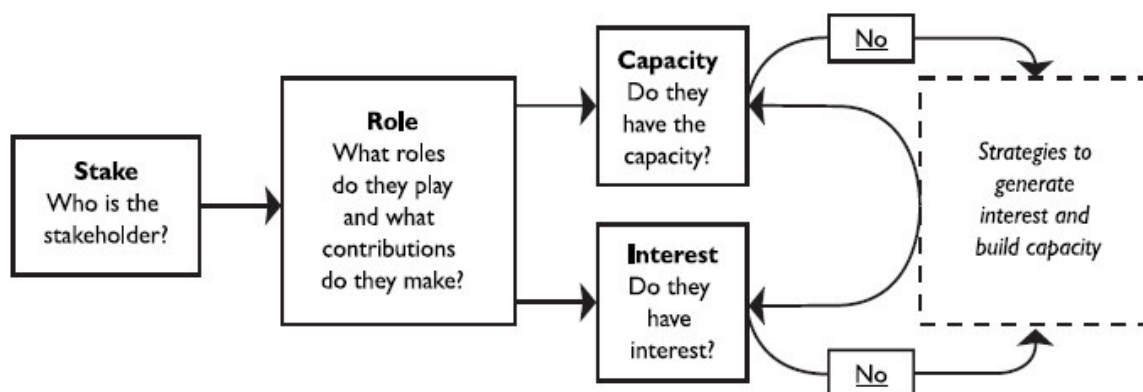


Figure 7: Stakeholder Analysis for Participation¹⁰²



Box 8: Questions for a stakeholder analysis

A stakeholder analysis can address the following questions:

- Who are the key stakeholders in the city's performance?
- What are the specific interests and roles of the stakeholders?
- What is their influence on (and interests in) improving city performance?
- Who are the most important stakeholders to involve in the reporting process?

¹⁰¹ Source: Devas (2004:25)

¹⁰² Source: UN-HABITAT (2001: 25)

Stakeholders can be involved in the process in various ways. The two main options are reference groups (i.e. relatively small groups of relevant stakeholders and experts, which meet regularly to give input into the process) or workshops (i.e. relatively large groups of relevant stakeholders and experts are invited to one-off events held at key points in the process). Table 6 suggests some of the key points at which there should be participation through reference groups and/or workshops.

Table 6. Participation through reference groups and/or workshops

Step	Description	Ensuring inclusivity
A. Formulating terms of reference	<i>Setting the terms of reference for the State of Cities reporting process, including selecting institutional home, selecting cities to report on, and outlining the overall reporting process.</i>	<i>Partner organisations in the State of Cities reporting process would need to agree on common goals/objectives and the outline of the process.</i>
B. Selecting/ designing analytical framework/ indicators	<i>Selecting/ adapting analytical framework and selecting key indicators (which would need to be based on a preliminary scan of data availability).</i>	<i>Comment from various stakeholders and experts should be obtained, either through an ongoing reference group or at a workshop.</i>
C. Data compilation/ information gathering	<i>Compiling quantitative and qualitative data from a range of sources. The reliability and consistency of the data would need to have been verified. This stage should also include direct engagement with a range of key stakeholders at city level.</i>	<i>The information gathering process would need to include various stakeholders. A participatory methodology such as UN-HABITAT's Rapid Urban Sector Profiling for Sustainability (RUSPS) methodology, which involves having city-level workshops for various stakeholders, is a good way to ensure that a diversity of views are reflected.</i>
D. Data analysis/ identifying key issues	<i>Analysing quantitative and qualitative data in order to be able to identify trends and key issues, and writing this up.</i>	<i>The analysis of the data, and the identification of key issues, by the writers group should be presented for comment from various stakeholders (either through an ongoing reference group that includes various stakeholders and experts, or at a workshop attended by various stakeholders and experts).</i>
E. Formulating conclusions/ recommendations	<i>Formulating conclusions and recommendations based on the analysis of the data.</i>	<i>The conclusions and recommendations formulated and written up by the writers group should be presented for comment (either through an ongoing reference group that includes various stakeholders and experts, or at a workshop attended by various stakeholders and experts).</i>
F. Producing end products	<i>Finalising content of full report and summary report, and designing and producing the reports. Designing the content of the web site.</i>	<i>The range of end products would need to cater for different target audiences. Some form of "peer review" by experts is desirable for the full report.</i>
G. Dissemination	<i>Disseminating the key findings of the process through distribution of reports, through seminars/workshops through the media and through the website.</i>	<i>The dissemination strategy should be aimed at various target audiences.</i>

An inclusive reporting process contributes significantly to overall quality and credibility in the following ways:

- **Making it more relevant:** A report built upon local perspectives and grounded in local development plans and policies is far more likely to be relevant and useful.
- **Making it more concrete:** With the contributions of key stakeholders, a report is better equipped to offer sound and realistic analysis and policy messages, and more reliable quantitative and qualitative data.
- **Making it more valued:** Ownership among key sectors tends to generate strategic involvement and the commitment of those who can incorporate findings in their deliberations and decisions.
- **Making it more used:** Broad ownership generally results in greater demand and use of the SOCR by different constituencies, including policy makers, donors, NGOs and academic institutions

Box 9: Measures of minimum standards for participation

Four key questions help SOCR teams meet minimum standards for participatory and inclusive preparation:

1. *Is the team multidisciplinary, drawing on perspectives and expertise from diverse groups and institutions?*
2. *Do consultation, research and writing involve participatory mechanisms at various stages (such as steering committees, readers' groups, seminars, etc.)?*
3. *Has dialogue and interaction been established between the SOCR process and key stakeholder groups?*
4. *Does the report include a description of its preparation?*

Box 10: Some recommended action for participation:¹⁰³

- Ensure transparency at each step of the process.*
- Involve a multi-disciplinary team with different perspectives and from different institutional affiliations.*
- Select authors in a participatory manner involving key stakeholders.*
- Make selection for substantive contributions based on professional reputation and technical skills.*
- Engage in a peer review process when the full draft is available.*
- Ensure collective ownership by a broadly inclusive reference group/advisory committee to guard against the SOCR becoming a tool of any one group.*
- Clarify that the SOCR reflects a range of views and that key stakeholders and experts have been involved throughout the process, but the final report is not a "consensus document" where all institutions involved must align their varied views.*

¹⁰³ After UNDP (2004)

National/local ownership

It is important that State of Cities reporting processes are driven by the countries and cities concerned, and that there is national and local “ownership” of the reports emerging from the process. A state of cities reporting process achieves national/local ownership by drawing upon national and local development actors and capabilities throughout preparation, yielding a product firmly grounded in the country’s past, current and planned future situation. National/ local ownership not only implies a commitment to broad, collective ownership encompassing different viewpoints, but also contributes to capacity development.

Box 11: Four key questions can help SOCR teams meet minimum standards for national ownership:

1. *Is the report nationally/locally driven and owned?*
2. *Does it reflect national/local perspectives, including through recommendations linked to the country’s development plans and policies?*
3. *Does it rely primarily on national/local expertise and capacities?*
4. *Is preparation participatory, building national/local credibility and ownership?*

There are a number of actions that can be taken to ensure that the above questions are adequately addressed.

Box 12: Some recommended actions to encourage ownership of the SoCR¹⁰⁴

- Ensure a commitment among principal stakeholders to collective ownership of the reporting process.*
- Establish participatory mechanisms for report research, writing and follow- up (ongoing processes, one-time consultations, joint research, etc.) that draw upon key stakeholders (government and non-governmental) at various levels and stages of the process*
- If the report is going to have an overarching theme or themes, select the theme(s) through: a review of previous State of Cities reports; consultations among policy makers and other key stakeholders; and brainstorming sessions with partners on theme definition.*
- Determine the target readership for the report through consultation among principal stakeholders.*
- Through the report drafting process, situate analysis and recommendations within the context of the cities’ past and existing policy development plans and policies.*

¹⁰⁴ After UNDP (2004)

Principles for the design of the reporting process

Although the design of the reporting process will need to vary from context to context, the principles for multi-stakeholder processes in table 7 are worth considering when starting the design process.

Table 7. Design principles

PRINCIPLES	STRATEGIES
Accountability	<i>Employ agreed, transparent, mechanisms of engagement, implementation, and monitoring and evaluation; make these mechanisms transparent to all relevant stakeholders.</i>
Effectiveness	<i>Provide a tool for addressing urgent city performance issues; promoting improved decision-making by means of wider input; generate recommendations that have broad support; creating commitment through stakeholder participation and identification with the outcome, thereby increasing the likelihood of effective implementation of recommendations</i>
Flexibility	<i>Allow for various levels of engagement, depending on issues, stakeholders, time-frame, linkages to decision-making, etc; remain flexible over time while agreed issues and agenda provide framework for implementation</i>
Good governance	<i>Base the process on clear norms and standards; enabling effective participation of all relevant stakeholders</i>
Inclusiveness	<i>Provide for representation of all views, thereby increasing the legitimacy and credibility of the reporting process as fully participatory</i>
Learning	<i>Adopt a learning approach throughout the process and its design; facilitating learning</i>
Legitimacy	<i>Ensure that the reporting process is transparent and accountable in its design; requiring participants to adhere to those principles</i>
Ownership	<i>Ensure a commitment among principal stakeholders to collective ownership of the reporting process, thus increasing the chances of successful implementation</i>
Participation and engagement	<i>Ensure the participation of all relevant stakeholders; challenge and support all stakeholders to be actively engaged</i>
Partnership	<i>Develop partnerships and strengthen networks between stakeholders; address conflictual issues; integrate diverse views; create mutual benefits (win-win situations)</i>
Societal gains	<i>Create confidence by convincing stakeholders of their contribution to the bigger picture; help stakeholders to overcome stereotypical perceptions and prejudice</i>
Transparency	<i>Bring all relevant stakeholders together in at least one forum and within an agreed process; publicise activities in an understandable manner to non-participating stakeholders and the general public</i>
Voices	<i>Ensure that the voices of various stakeholders are heard</i>

4.4 Analytical framework

Analytical frameworks are useful as a more strategic way of analysing cities (as opposed to the traditional sectoral way). In the words of Cities Alliance:¹⁰⁵

Using the SACN framework, cities can formulate long-term strategies that promote intergovernmental and intersectoral approaches to planning, focus on points of leverage, and mobilise city partners. The city analysis framework has received overwhelming support from public, social, and private sector stakeholders in member cities. It is regarded as an essential instrument of analysis that, in allowing all stakeholders to participate in a critical analysis process, draws on the distributed knowledge within society to develop a city strategy while enhancing networking between city stakeholders.

It should be kept in mind, however, that, although the analytical framework is important as a way of helping analyse cities and the challenges they face, the inevitable overlap between the themes in any analytical framework means that it may not necessarily be the best way of structuring all the contents of a State of Cities report.

There are various options for analytical frameworks, and the one chosen should reflect national priorities. The South African analytical framework was adapted specifically for the context of South Africa, and is closely aligned with the national priorities in the Urban Development Framework of 1997, but aspects of it may also be relevant elsewhere. Although it does not specifically use the same terminology as the SACN analytical framework, the South African Urban Development Framework's 2020 vision for urban settlements does tend to implicitly arrange itself in four clusters that correspond very closely to the four quadrants of the analytical framework (as shown by the comparison with the SACN definition in Table 8).

¹⁰⁵ Cities Alliance (2006: 25)

Table 8. Comparison of concepts¹⁰⁶

Theme	Urban Development Framework (1997) 2020 urban vision	South African Cities Network programme philosophies/ objectives
Productive city	Urban settlements are seen as ideally being “Integrated industrial, commercial, residential, information and educational centres which provide easy access to a range of urban resources”, and as “Leaders of a robust national economy as well as being economically competitive internationally”.	Philosophy: Can the local economy provide the majority of residents with opportunities for making a reasonable living? Objective: To grow the economy by facilitating co-operation and by enhancing competitiveness in both the formal and less formal parts of the economy.
Inclusive city	Urban settlements are seen as ideally being “Spatially and socio-economically integrated, free of racial and gender discrimination and segregation, enabling people to make residential and employment choices to pursue their ideals”; and, as being “Marked by housing, infrastructure and effective services for households and business as the bases for an equitable standard of living”. The vision of urban settlements as “Centres of economic, environmental and social opportunity where people can live and work in safety and peace” probably also fits into the concept of inclusive cities.	Philosophy: Do residents have the opportunities and capacities to share equitably in the social and economic benefits of city life. Objectives: To enable cities to address the socio-economic challenges of ongoing inequality in South Africa’s cities.
Sustainable city	Urban settlements are seen as ideally being “Environmentally sustainable, marked by a balance between quality built environment and open space; as well as a balance between consumption needs and renewable and non-renewable resources. Sustainable development is therefore development that meets the needs of the present while not compromising the needs of future generations”.	Philosophy: How is the city impacting on the limited reserve of non-renewable resources that sustains the settlement and makes it viable? Objective: To ensure that social and economic development responds appropriately to natural and other resources, and promotes equity and efficiency.
Well-governed city	Urban settlements are seen as ideally being centres of “vibrant urban governance, managed by democratic, efficient, sustainable and accountable metropolitan and local governments in close cooperation with civil society and geared towards innovative community-led development”, and as “Planned for in a highly participative fashion that promotes the integration and sustainability of urban environments”. In addition, they are also seen as being “Financed by government subsidies and by mobilising additional resources through partnerships, more forceful tapping of capital markets, and via off-budget methods”.	Philosophy: Is the political and institutional context is stable, open and dynamic enough to accommodate varied objectives and interests? Objective: To provide information and mechanisms that will facilitate innovative, inclusive, and proactive decision making and governance.

It is important to emphasise that the themes in analytical framework cut across traditional sectors such as housing and transport. Locating specific sectors solely within specific quadrants is severely constraining and limits the usefulness of the analytical framework. In order to avoid specific sectors only being seen as being in one quadrant, the analytical framework should be accompanied by a matrix which shows how various sectors cut across the four quadrants. The suggested intersection of three selected sectors (housing, transport and education) with the four quadrants of the South African analytical framework is shown in Table 9, to give a sense of the high degree of inter-relatedness.

¹⁰⁶ Source: 2020 Urban Vision in the Urban Development Framework (Section 2.1, pp. 7-8); SACN (2006: 1-4).

Table 9. Suggested intersection of various sectors

Sector	Productive city	Inclusive city	Sustainable city	Well-governed city
Housing	The contribution of housing supply and the housing sector to employment and economic growth, and the ways in which the location of residential areas facilitates/ constrains economic growth/ development.	Patterns of access to/ exclusion from access to security of tenure, basic services, durable housing, well-located land, etc.	The extent to which residential development is contributing to urban sprawl, and the energy efficiency and environmental impact of new residential development.	The management of public rental housing by the municipality, and the development of new subsidised housing.
Transport	The ways in which the transport system facilitates/ constrains economic growth/ development.	The affordability, efficiency and spatial accessibility of public transport.	The energy efficiency and environmental sustainability of the dominant modes of transport, and the extent to which more sustainable forms of transport (such as walking and cycling) are being promoted.	The management of the public transport system and the maintenance of transport infrastructure.
Education	The extent to which education is providing people with relevant skills for the economy, and the contribution of the education sector to the economy.	Patterns of access to education (both spatially and in terms of affordability), and the contribution of the education system towards creating a more integrated society.	The extent to which the education system is raising awareness around issues of energy efficiency and environmental sustainability.	The management of educational institutions.

4.5 Indicators/data

Indicators play a vital role in State of Cities reporting processes. Within the context of urbanization and decentralization, the need for improved capacity at the local level coupled with improved systems of urban data and indicators has become essential. As control moves to lower levels, it is increasingly more important to monitor performance to ensure directions follow national planning goals and that sufficient information is available for local and central planning decisions. The relationship between indicators and strategic planning is represented in Figure 8.

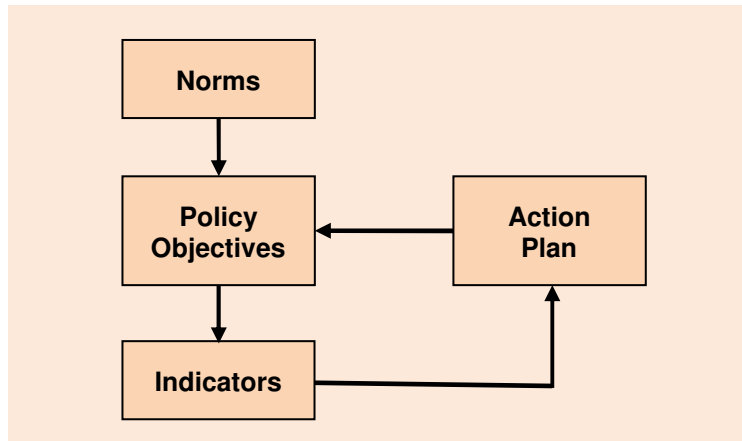


Figure 8: Policy Indicator Model

SACN (2002) recognizes that

“the use of indicators in urban management has become more important in relation to two major sets of issues impacting on cities. The first is the urban policy challenges that have intensified as a result of globalisation and urbanisation and the second is the push for more efficient public sector management including the shift to performance management.”

Box 13: Indicators and data¹⁰⁷

Figure 1 shows the relationship between data, statistics, and indicators.

At the bottom level of the data triangle are raw data, or information. These data are usually assembled into statistics, which often take the form of tables, or other partially organized data frameworks. The latter are not generally of much value for policy purposes, since most people cannot read large tables or perceive the importance of the results. They thus require further interpretation and analysis.

The next step of organization is indicators. These are usually single numbers, mostly ratios (such as economic growth rate or the unemployment rate), which facilitate comparison and have normative and policy implications. Indicators are generally highly aggregated, so that changes or differences in the value of an indicator may be more important than its absolute level. Indicators can thus simplify a complex subject to a few easily understood numbers.

At the top level of data organization are indexes. These are combinations of indicators designed to measure the overall performance of the object of study. The consumer price index (CPI), gross domestic product (GDP), and Human Development Index (HDI) are all well-known indexes.

In sum, the main difference between indicators and other kinds of data is that the connection with policy is, or should be, explicit — indicators are about the interface between policy and data.

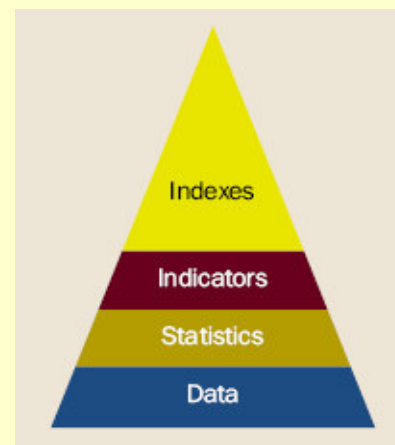


Figure 1: The data triangle

It is therefore essential that a small number of strategic indicators are selected for each key theme for the State of Cities report, that they are appropriately defined, that reliable data is available for them. The data should be available in good time for the writers (at least a year

¹⁰⁷ Source: ADB (2004: 20)

ahead of the publication date), so that debate, analysis and writing can occur on the basis of reasonably reliable and consistent data.

The selection of indicators to be used for State of Cities reports should result from two parallel processes:

- Selecting strategic and well-defined indicators for each theme. Where possible, these indicators should be consistent with internationally-used indicators.
- Assessing the availability and reliability of statistics on South Africa's large cities, which will then determine which of the selected indicators can be used in the short term and what data collection gaps should be filled in the long-term.

Through convergence of these two processes, a small number of key indicators, for which there are reliable and consistent data, should be selected in the short-term (and in the long-term there should be attempts to collect data for other key indicators). It should be noted, however, that there will often be some problems with the available data, and these should be qualified where necessary. It is essential that all reservations and potential problems with data are noted in footnotes to the statistical tables (blanket disclaimers are necessary, but are not sufficient on their own). In some cases, where there are competing data sets of a similar degree of reliability, both data sets should ideally be used (with accompanying notes on the differences).

It is important that internationally-used indicators are used where possible, as these have been developed, defined and tested over time and their use will facilitate international comparison and lesson-sharing. UN-HABITAT's indicators for the Millennium Development Goals and Habitat II Agenda¹⁰⁸, which include both quantitative indicators and qualitative indicators (checklists), are worthwhile to look at in the process of developing indicators for State of Cities reporting processes (see Appendix 3). The checklists would be of particular value, as they would complement the largely quantitative indicators that are conventionally used. The UN-HABITAT indicators also correspond quite closely to the themes that most State of Cities reports focus on. For example, the UN-HABITAT indicators for "Economic development", "Environmental management" and "Governance" are similar to the South African State of Cities reports' themes of "Productive cities", "Sustainable cities" and "Well-governed cities" respectively.

- The UN-HABITAT indicators for "Economic development" are:
 - Key indicator 17 (informal employment);
 - Key indicator 18 (city product);
 - Key indicator 19 (unemployment).
- The indicators for "Environmental management" are:
 - Key indicator 11 (urban population growth);
 - Key indicator 12 (planned settlements);
 - Key indicator 13 (price of water), Extensive indicator 8 (water consumption);
 - Key indicator 14 (wastewater treated);
 - Key indicator 15 (solid waste disposal), Extensive indicator 9 (regular solid waste collection), Extensive indicator 10 (houses in hazardous locations);
 - Key indicator 16 (travel time) and Extensive indicator 11 (transport modes).
- The indicators for "Governance" are:
 - Key indicator 20 (local government revenue), Extensive indicator 12 (voter participation) and Extensive indicator 13 (civic associations).

In addition, many of the UN-HABITAT indicators for "Shelter" and "Social development and eradication of poverty" are of relevance to the "Inclusive cities" theme in the South African State of Cities reports, for example:

¹⁰⁸ UN-Habitat (2004)

- Key indicator 2 (overcrowding);
- Key indicator 3 (secure tenure), Extensive indicator 3 (evictions)
- Key indicator 4 (access to safe water);
- Key indicator 5 (access to improve sanitation);
- Key indicator 7 (under-five mortality);
- Key indicator 8 (homicides), Extensive indicator 5 (HIV prevalence);
- Key indicator 9 (poor households);
- Key indicator 10 (literacy rates), Extensive indicator 6 (school enrolment) and Extensive indicator 7 (women councillors).

It should be noted that it will often not be possible to allocate specific indicators to one theme only. In some cases, indicators will be relevant to more than one theme or may cut across all themes. It may, therefore, be useful to distinguish between indicators for specific themes and indicators which cut across a number of themes. The UN-HABITAT indicators that are cross-cutting could include: literacy rates; school enrolment; urban population growth; travel time; and transport modes.

It is essential that municipalities are involved in the process of developing the key indicators. They should also agree on what the key indicators are and collect data on these. Municipalities which lack data collection capacity may need some support for this. In the long-term, as discussed above, it would be desirable to establish a National Urban Observatory and network of Local urban Observatories.

Development of indicators

The importance of establishing effective indicators for monitoring city performance cannot be overstated:

The methods by which indicators are developed, who is involved in the indicator selection and how data are interpreted all have a significant impact on how the indicators are received and applied in practice.¹⁰⁹

“SMART” indicators, which best capture the situation with the available and resources, should be developed. Ideally, the indicators should:

- capture the essence of the problem and be clearly understood;
- be robust and statistically validated;
- be responsive to policy interventions but not subject to manipulation;
- be measurable in a sufficiently comparable way across cities, and be comparable as far as practicable with the standards applied nationally and internationally;
- be timely and susceptible to revision;
- not impose too large a burden on a local authority, enterprise, or others in terms of data collection;
- be consistent and with proportionate weight given to single indicators in the portfolio;
- be as transparent and accessible as possible to citizens

Box 14 and Table 10 respectively outline key characteristics of, and summarize recommendations for, SMART indicators.

¹⁰⁹ (Regional Vancouver Urban Observatory (2006:11)

Box 14: Characteristics of Good City Indicators¹¹⁰

Good data are a necessary but not sufficient ingredient for the construction of good urban/city indicators. The following are characteristics that an indicator must possess for it to be **Suitable**, **Meaningful**, **Accurate**, **Relevant** and **Timely** for policy purposes:

- Objective:** clear, well defined, precise and unambiguous, simple to understand.
- Relevant:** directly related to the objectives.
- Measurable and replicable:** easily quantifiable, systematically observable.
- Auditable:** valid, subject to third-party verification, quality controlled data (legitimacy across users).
- Statistically representative** at the city level.
- Comparable/ Standardized** longitudinally (over time) and transversally (across cities).
- Flexible:** can accommodate continuous improvements to what is measured and how. Have a formal mechanism for all cities and interested parties to comment on.
- Potentially Predictive:** extrapolation over time and to other cities that share common environments.
- Effective:** tool in decision making as well as in the planning for and management of the local system.
- Economical:** easy to obtain/inexpensive to collect. Use of existing data.
- Interrelated:** indicators should be constructed in an interconnected fashion (social, environmental and economics).
- Consistent and sustainable over time:** frequently presented and independent of external capacity and funding support.

Table 10. Recommendations for 'SMART' indicators

SIMPLE/SPECIFIC/SUITABLE	MEASURABLE/MEANINGFUL	ACCURATE	RELEVANT/RELIABLE	TIMELY/TIME BOUND
Easy to collect	Statistically verifiable, reproducible and comparable	Accurate to use	Relevance to local policies and objectives	Measure an indicator within a fixed time frame.
Easy to interpret	It is possible to combine them with other indicators to form new indicators	Verifiable	Relevance to regional policies and management objectives	Indicate change over time by making annual comparisons (2000 – 2005)
Easy to monitor	It is possible to point out at trends over time	-	Relevance to national policies and management objectives e.g. PRS	Or highlight a single year of measurement
Easy to map	-	-	Relevance to international agreements and commitments i.e. MDGs	-

Inclusivity and partnerships are essential in developing indicators. While the key role of local government in making policy changes that improve people's lives is unquestionable, it is also widely recognized that local governments seldom have the authority nor the capacity to act alone. Indeed,

¹¹⁰ Source: Hoornweg et al. (2007: 13)

“The nature and breadth of partnerships involved in developing indicators or monitoring progress can determine the relevance of the indicators, their application and impact. Partnerships can also be an important avenue for sharing best practices and addressing common challenges.”¹¹¹

Box 15: The Need to Build Indicators Capacity

An effective and sustainable reporting process requires building indicators capacity at all levels of government

- ☞ to collect useful information on urban conditions and trends;
- ☞ to analyze this information to improve understanding of key issues;
- ☞ to improve targeting and operational performance of interventions in various sectors;
- ☞ to apply that knowledge in formulating and implementing urban policies and programmes.

This needs to be coupled with the development of a cadre of competent and well-resourced staff responsible to the local level. It also requires a move from central control towards local-level monitoring and accountability under agreed national targets and priorities.¹¹²

Data collection

The guiding principles for all data collected are that it should be the best available, the latest available and fully documented.

Data compilers should, therefore, make use of latest available secondary data for indicators, wherever possible, and document their sources. However, disaggregated data of high quality may be difficult to collect, and comparability difficult to achieve; but there are usually a number of alternative estimation techniques that can be applied to obtain best estimates. Indeed, implicit in most indicators is the possibility of quoting published data or of using a different methodology. If this is done, then the source or methodology should be fully documented (in the references or an annexure respectively). And if the data provided are for anything other than the stated definition, this should be explained (e.g., in a notes section).¹¹³

Box 16: Guidelines for collecting good data

The experience with the UN-HABITAT indicators programme to date has demonstrated that in order to collect good data:

- (i) highly qualified experts and officials in each country need to be consulted for the collection and estimation of the indicators;
- (ii) these experts should be in direct communication with the institutional home of the reporting process, and work should be reviewed and commented on at different stages.

No single person can be expected to be conversant with each of the subject areas. Therefore, subject specialists or knowledgeable departments should be contacted by the persons responsible for overall compilation of the data, in order to obtain authoritative data.¹¹⁴

¹¹¹ Regional Vancouver Urban Observatory (2006: 10)

¹¹² Newton (2001)

¹¹³ UNCHS (2000) Global Urban Observatory (2001)

¹¹⁴ UNCHS (2000)

Data Adequacy

Despite an almost universal recognition that accurate, timely and policy-relevant data are fundamental to effective urban planning and management and good urban governance, many countries and cities still lack the capacity to:

- design and articulate their data requirements,
- access and obtain the appropriate data; and
- use the data for policy design and monitoring.

If reliable data and the capacity to use that data are lacking:

- Local authorities will have no basis for problem solving, visioning or management by objectives and, in many cases, it will not possible to agree on what the real situation is.
- The private sector will be unable to use an informed approach to investment with increased risk.
- The community and constituents will not have the necessary feedback to assess government performance and the ability to effectively engage in lobby and advocacy on local issues.

In a large number of cities in both developed and developing countries, the problem is not so much the quantity of data, as a wide range is available from various sources. Rather, the problems are assessing the reliability of data and deciding how to apply the data in order to identify emerging trends and the most urgent problems upon which action is required.¹¹⁵ Some of the most common reasons for data inadequacy are presented in Box 17. However, important lessons have been learned about how local and city data can be improved. These are summarised in Box 18.

Box 17: Reasons for data inadequacy¹¹⁶

- Lack of local level skills to collect and analyze fresh data and to conceptualize data needs.*
- Administrative data appropriate for daily operations are not always suitable for policy, but resources to rework the data are not available.*
- Political bias in the collection and presentation of data.*
- Poor consultation between national agencies and local governments regarding data requirements.*
- Lack of capacity at the national level to disaggregate information for local analysis.*
- While social data are often locally available, local economic data are usually poor.*
- Lack of funding for data collection, as political leaders see little benefit in an accurate picture of the urban reality.*
- Few rewards for good practice, leading to loss of staff from local or government agencies when they gain skills that can pay better in the private or international sectors.*

¹¹⁵ UNCHS (2001)

¹¹⁶ UNCHS (2001: 114)

Box 18: Lessons learned on local and city data¹¹⁷

Generally speaking, local and city data can be improved by:

- Supporting data and indicator-related initiatives for local government, including management information systems and capacity building.
- Including data improvement components in larger infrastructure or capacity building programmes.
- Providing a modern GIS base for future national census collections, which will permit the display of small-area data.
- Documenting examples of good practice in local data use, and encouraging local benchmarking initiatives.
- Developing flexible software solutions which can be rapidly adapted for use in those local governments with computer networking capability.

Data analysis

Data analysis is one of the most important stages of the reporting process. It should be part of the overall reporting process design and should be planned to ensure the resulting product addresses the objectives of the process, and resources are available to complete the data analysis.

The data analysis should be independent, relevant, objective, and comprehensive; and it should add value to existing information. To meet these goals, those responsible for the data analysis should:

- Conduct the data analysis in an objective and policy-neutral manner that focuses on statistics, facts and issues relating to the urban sector.
- Maintain awareness of the urban agenda so that the data analysis can address issues of interest and importance.
- Consult with subject area specialists about relevant issues, the strengths and weaknesses of data sources and analysis methods, and important references to key topic elements.
- Indicate what further types of data analysis should be considered if the data analysis is not comprehensive.

Four key questions to help SOCR teams meet minimum standards for independence of analysis are listed below.

Box 19: Four key questions to help SOCR teams meet minimum standards for independence of analysis:

- 1. Does the report contain objective and reliable analysis as well as accurate and unbiased data, and avoid support for the policies or politics of any one group or institution?**
- 2. Do the author(s) take responsibility for the report's point of view; did they exercise full editorial independence?**
- 3. Does the editorial team represent a spectrum of perspectives?**
- 4. Was the full draft of the report peer reviewed?**

The quality of analysis is critical to the overall quality of the end product of the reporting process. Poor quality of data analysis, and poor quality of documenting and presenting it, will

¹¹⁷ UNCHS (2001: 115)

lessen the overall quality of the report. It is important to remember that the quality of data analysis depends on the quality of the data analysed.

The quality of the data analysis can be enhanced by addressing the six key questions below.

Box 20: Six key questions to help SOCR teams meet minimum standards for quality of analysis:

1. Does the report adopt a people-centred analytical approach throughout, including analysis of gender issues and social, economic and political exclusion?
2. Does it contain concrete, sound and realistic policy messages?
3. Is there disaggregated data and/or other disaggregated composite indices that are locally relevant?
4. Has the report considered all the key dimensions of city performance in both the analysis and recommendations?
5. Does it draw on experiences in other countries?
6. Are there standard references and notes (i.e., definitions, technical notes, bibliography, etc.)?

4.6 End products

The end products of the State of Cities reporting process should usually include:

- A full State of the Cities report;
- A summary report which has the key indicators and summarises the key issues;
- A State of Cities website.

Full report

The full report should contain a comprehensive overview of the cities being reported on, as well as statistical appendices (called a “statistical almanac” in the South African reports) at the back. In addition, it should ideally contain a section highlighting one or more key themes and examining these in more depth. The main structure of the report could therefore be as follows:

- Comprehensive overview of the cities (with a few important indicators); A comprehensive presentation and analysis of pertinent qualitative and quantitative information relating to cities to provide an understanding of the dynamics of cities within their broader context. As part of the comprehensive overview, there also need to be a detailed description and analysis of the response, by all sectors and at all levels, to urban development challenges.
- Identification and discussion of key themes facing the cities (with the indicators relevant to the themes). This could include a range of well-thought-out recommendations for addressing the key urban development challenges.
- Statistical almanac of all chosen indicators.

There should be a focus on the broader dynamics of cities outside of those under the direct control of municipalities. For example, a broader range of private sector and civil society issues should be reflected in addition to municipal issues. While the report cannot fully incorporate the views of all stakeholders on city issues; it should attempt to reflect a broad diversity of views.

Where possible, reference should be made to recent relevant local research on urban issues. There should be acknowledgement of a diversity of views. For example, if there are

credible research projects that reflect a negative view of a particular government programme, then these cannot be ignored. One potential way of making sure that the report builds on current relevant urban research is to engage published subject specialists to write detailed background papers that synthesize relevant current research work in their field, and for the State of Cities report then to draw on these background papers. The background papers could then be made available on the website for those who require more detail on specific themes. This approach is used in compiling the Global Reports on Human Settlements.

In terms of content, it is important that the full range of urban issues, not just those under the direct control of the state, is reflected in SOCRs. There is recognition in the South African SOCRs that “Cities are more than local authorities – they are spaces shared by business, communities, residents and other spheres of government.”¹¹⁸

Recognizing and acknowledging criticism of the state is important. The South African SOCRs tried to “strike a balance in providing space for ‘cheerleaders’ – those who acknowledge just how much South African cities have achieved in the eleven short years since democracy – and “coaches” – those who are critical of the pace of progress, the quality of services and perhaps express a lack of confidence in the cities’ ability to deliver on their potential unless more drastic measures are taken”.¹¹⁹

In terms of presentation, the 2004 South African State of Cities report provides a good model. It is A4 in size, perfect-bound, about 200 pages long, with two-page chapter title spreads and colour-coded chapters. It has strategically-selected photographs, maps, diagrams, tables and case study boxes integrated into the pages of text, and a section with statistical tables at the back. The layout and design should integrate text, tables, graphs, diagrams, photos, maps, boxes, etc., appropriately for the target audience. Only highly strategic data should be presented in the text, in as user-friendly a format as possible. While tables in the statistical appendices can be complex, tables in the text should be simple and easy to read. Detail can be kept for the statistical appendices. Thus in the text, fewer cells should be used rather than more. In the same vein, too many numbers in each cell can detract from the readability of the tables. Long numbers should be reduced to a readable complexity; a maximum of three significant figures – 0.214; 2.14; 21.4; 214; 2,140, 21 400; 2 140 000; etc. – would be appropriate. Also, superfluous characters such as % should be removed from the number cells and contained in title cells.

Box 21: Five key questions to help SOCR teams meet minimum standards for appropriateness and creativity in presentation:

1. Does the report summarize major policy recommendations in one place?
2. Is it written using easy-to-understand and non-technical language?
3. Does the year on the cover reflect the actual year of the launch?
4. Does the report provide real examples that highlight people’s perspectives?
5. Does it employ a variety of presentation techniques, such as tables, graphs, figures, etc.?

4.7 Summary Report

Although part of the value of documents such as the South African State of Cities reports is that they are integrated reports that include a comprehensive overview plus a comprehensive set of statistics, the reality is that a large document (that may be more than 200 pages) is not likely to be widely read by decision-makers. It would therefore make sense

¹¹⁸ SACN (2006b: 6-2)

¹¹⁹ SACN (2006a: II)

to produce a summary report (of not more than about 20 pages) in parallel with the full report, in order to supplement the full report and broaden its impact (and it would also be useful as a public relations tool). The short version should summarise the key issues from the full report. It should be noted that the summary report should not be a replacement for the full report – the full report should still be widely disseminated.

Website

A State of Cities website should complement and supplement the hard copy publications. Research and policy updates could be posted on the website. Frequently-updated statistics should ideally be available on a user-friendly database, as with the State of English Cities reporting process (updated data on English cities is publicly available at www.socd.communities.org.uk). In the long-term, collecting data and maintaining such a database should ideally become the function of National Urban Observatories.

4.8 Dissemination

The end products of State of Cities reporting processes should be widely disseminated to relevant urban stakeholders in user-friendly formats at appropriate times, with the aim of achieving a significant impact on policy and practice.

There should be a clear strategy to disseminate each State of the Cities report and raise awareness of the key issues emerging from each. The approach should combine multiple media dissemination pathways, each selected for its suitability to the needs and resources of the particular target audiences concerned.

The target groups that should be reached through the dissemination process include:

- National government and regional/provincial government: senior politicians, senior managers and data analysts/ planners (especially those in key departments)
- Local government: Mayors, senior politicians, senior management and data analysts/ planners.
- Parastatals/ government-established agencies.
- Other key roleplayers (such as trade union federations, business associations and political parties).
- International development agencies/international and local NGOs with an urban agenda and working on urban issues.
- Media (newspapers, magazines, TV, radio).
- Researchers on urban issues.

The dissemination channels could include the following:

- Presentations to national government departments, parastatals, regional/provincial government departments and municipal leadership. Dissemination to levels of staff below senior management is important, as having a holistic overview of urban issues would be very valuable for middle managers and practitioners. In circumstances where middle managers are not routinely exposed to urban data on this scale, the process could be very good professional development.
- Processes to facilitate internal debate about the findings of the State of Cities reports following the above presentations, such as participatory workshops and seminars. This should ideally occur as part of the work of a local government network. Learning from peers through city-to-city knowledge-sharing networks has proven the most

effective and sustainable way to transfer knowledge. The involvement of local government associations is crucial for the institutionalisation of the outcomes of a State of Cities report.

- The production and dissemination of a summary version of the State of Cities report which highlights the key issues in the State of Cities report (as many decision-makers would be more likely to read a brief summary rather than the full document, and the summary would probably be more suitable as a public relations document).
- Short focused papers on particular themes.
- Events to publicise the launch of the State of the Cities report amongst the general public (for example, an art competition on the theme of “city life” to help raise general public awareness about the State of Cities report and the urban agenda).
- Press releases.
- Ongoing updating of statistics and news on the State of Cities website. Material such as background papers could also be put on the website.

The impact of the State of Cities report and the dissemination campaign should then be measured. It is proposed that the evaluation of the impact should include an e-mail/telephonic survey aimed at selected individuals at various levels within targeted organisations (large municipalities, relevant national government departments, etc.). Minimum core questions in this survey should include:

- What is your view of the last State of the Cities report in terms of: content (statistics/analysis/conclusions/recommendations); format (length/presentation/style): and user-friendliness (readability/usability)?
- Was the dissemination process for the last State of the Cities report adequate? If not, why not?
- Has your organisation made use of the last State of the Cities report? If so, how?
- How can the next State of the Cities report, and the processes for producing it and disseminating it, be improved so as to make it more useful for your organisation?

The State of Cities reporting process could ultimately feed into a large-scale public awareness campaign (newspaper/TV/radio adverts, posters, pamphlets) to raise awareness about “cityness”, the important role of cities and the challenges facing cities amongst the public in general (in order to highlight the urban agenda amongst society as a whole). Such a campaign should be driven by a broader coalition, though, not just by the institutional home of the State of Cities report.

Box 22: Some necessary actions for dissemination and monitoring:

Media and outreach

- Establish a team for follow-up/outreach at early stages of SOCR production.
- Identify key target audiences for the dissemination and outreach strategy.
- Draw up an outreach strategy with distinct initiatives for various target audiences.
- Enlist people and groups involved in the SOCR in strategizing and participating in dissemination and follow-up activities.
- Identify key findings, policy messages, indicators and interesting “factoids” for press and outreach materials (often done through a participatory review).
- Prepare a press kit and any other press materials.
- Create outreach materials, including other language or simplified versions of the SOCR.

- Plan any necessary media readiness training for the primary spokespeople.
- Plan pre- and post-launch briefings with key policy makers to discuss the policy implications of the report's findings.
- Plan/hold pre-launch media briefings for key press, TV and broadcast media.
- Plan/hold launch on a date linked with a significant national or international event, if possible.
- Plan a series of targeted outreach events (over time) to reach varied audiences.

Dissemination

- Develop a dissemination plan.
- Determine if a partnership can be forged with a commercial publisher for SOCR sales and distribution.
- Implement the marketing plan, including through the preparation of promotional materials such as a brochure, video, web site, etc.
- Establish distribution lists, sorted by language preferences, if relevant.
- Distribute the SOCR to a wide audience.
- Include information in the report on how readers may receive copies (electronic and/or hard copy).
- Ensure that the year of the launch is the year of the report's title.
- Make the SOCR available online on the date of publication.

Monitoring impacts

- Identify indicators of success in reaching the target audience.
- Develop a method to survey feedback from the target audience.
- Devise a matrix to record information and the impact of the report.
- Monitor the report's influence on: policies, plans, legislation, budget allocations, programme implementation, parliamentary debate, public discussion, NGO advocacy work, curricula of educational institutions, media coverage, demand for report, etc.

SOCR teams can better meet minimum standards for effective dissemination and impact by addressing the six key questions below.

Box 23: Six key questions to help SOCR teams meet minimum standards for effective dissemination and impact:

- Has a dissemination strategy been planned, using expertise in the advocacy and communication fields, and does it aim to keep the report's messages alive for a sustained period beyond the launch?**
- Does the report contain specific policy messages to focus political attention and public debate?**
- Have key stakeholders involved in shaping the SOCR been called upon to be involved in the launch and follow-up activities?**
- Has a proactive dissemination plan been developed so key messages will reach the intended audience and contribute to policy impacts?**
- Is there a means to measure impact, and has management of the impact measurement process be organised?**
- Is the report available online along with information on how to obtain a hard copy?**

The timing of State of Cities reports is important. Ideally, they should be based on Census data, so they should be timed to make use of recent Census data. Releasing the report immediately before or after elections is not ideal. The best timing for the State of Cities reports would seem to be so that the current national government and local government leadership are able to be involved in the process and are able to action the conclusions/recommendations afterwards.

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LIST OF INTERVIEWS

The report was facilitated by the willingness of the following people to share their experiences with the review team:

- Borraine, Andrew: Former chairperson of SACN, interviewed 2 July 2008, Cape Town
- de Groot, Dave: World Bank (editorial committee of 2004 State of the Cities report), interviewed 27 June 2008, Tshwane
- Engelbrecht, Carien: Project manager of the 2004 State of the Cities process, interviewed 27 June 2008, Johannesburg
- Goldblatt, Mike: PDG, team member for 2006 State of the Cities report, telephonic interview, 26 June 2008
- Gouws, Andre: City of Tshwane, written response, 26 August 2008
- Gotz, Graeme: Principal author of the 2004 State of the Cities report, interviewed 26 June 2008, Johannesburg
- Haskins, Craig: City of Cape Town, interviewed 7 July 2008, Cape Town
- Hosken, Adele: Cities Alliance, interviewed 27 June 2008, Tshwane
- Jackson-Plaatjies, Madeleine: Msunduzi Municipality, telephonic interview, 16 July 2008
- Leon, Bernadette: Department of Provincial and Local Government, former alternate member of SACN Board, interviewed 26 June 2008, Tshwane
- Lewis, Sharon: Knowledge Manager, SACN, interviewed 24 and 25 June 2008, Johannesburg
- Marrengane, Ntombini: World Bank Institute, interviewed 27 June 2008, Tshwane
- Mbang, Sithole: CEO of the SACN, interviewed 25 June 2008, Johannesburg
- Mohan, Karuna: Ekurhuleni Municipality, telephonic interview, 2 July 2008
- Narsoo, Monty: former Executive Director of SACN, telephonic interview, 10 July 2008
- Nkhahle, Seana: National Programmes Co-ordinator, SACN, interviewed 23 June 2008, Johannesburg
- Parnell, Susan: University of Cape Town, interviewed 4 July 2008, Cape Town
- Pieterse, Edgar: University of Cape Town, interviewed 7 July, Cape Town
- Robbins, Glen: University of KwaZulu-Natal, team member for 2006 State of the Cities report, telephonic interview, 10 July 2008
- Schmidt, David: team member for 2006 State of the Cities report, interviewed 4 July 2008, Cape Town
- Seedat, Rashid: City of Johannesburg, interviewed 24 June 2008, Johannesburg
- Silverman, Melinda: Editor-in-chief of the 2006 State of the Cities Report, interviewed 25 June 2008, Johannesburg
- Todes, Alison: University of the Witwatersrand, co-ordinator of data for the 2006 State of the Cities report, telephonic interview, 10 July 2008
- Topham, Steve: International Organisation Development South Africa, team member for 2006 State of the Cities report, telephonic interview, 16 July 2008

APPENDIX 1: Rapid Urban Sector Profiling for Sustainability¹²⁰

Rapid Urban Sector Profiling for Sustainability (RUSPS) is an accelerated participatory action-oriented assessment of urban conditions in a city that can facilitate a better understanding of the potentials and limitations of cities. It entails carrying out, with the participation of relevant stakeholders, a rapid analysis of the current urban situation in seven thematic areas (see Table 1).

The RUSPS approach provides a framework to identify and evaluate urban sector interventions which will improve the prospects of the urban sector and reduce poverty through sustainable development strategies. It is intended as a tool to enhance the development of sustainable cities through the institutionalisation of more robust and effective urban governance institutions, systems, policies, regulatory frameworks, strategic urban planning mechanisms and management structures. It is also meant as a contribution to wider-ranging implementation of the Millennium Development Goals (MDGs).



Figure 2: RUSPS process

Table 1: RUSPS Themes

Theme 1	Shelter and Slums
Theme 2	Urban Governance
Theme 3	Gender
Theme 4	Environment
Theme 5	Local Economic Development
Theme 6	Basic Urban Services
Theme 7	HIV/AIDS, Heritage, etc.

The RUSPS process has three phases:

Phase One involves rapid profiling of urban conditions at national and local levels. The capital city, a medium size city and a small town are selected and studied to provide a representative sample in each country. Information is collected through standard interviews and discussions with institutions and other key individuals to assess the strengths, weaknesses, opportunities and threats of current national and local urban setups. The findings are presented and refined during city and national consultation workshops and

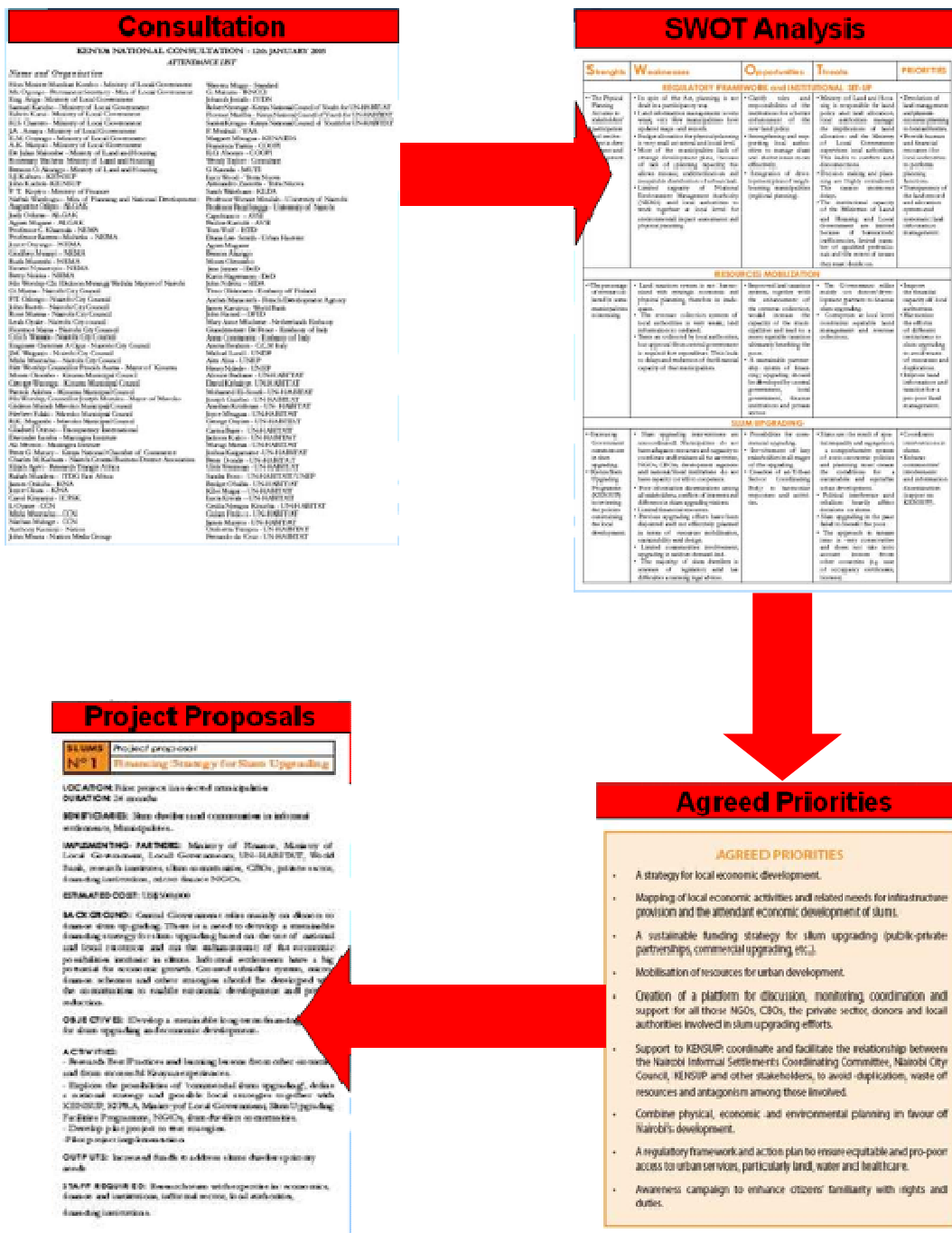
¹²⁰ UN-HABITAT (2006). "Rapid Urban Sector Profiling for Sustainability (RUSPS): an introduction." <http://www.unhabitat.org/content.asp?cid=4191&catid=525&typeid=54&subMenuId=0> (accessed 19th September, 2008)

consensus is reached on priority actions. National and city reports synthesise the information collected and outline ways forward to reduce urban poverty through holistic approaches.

Phase Two builds on the priorities identified through pre-feasibility studies and develops detailed capacity building and capital investment projects.

Phase Three implements the projects developed during the two earlier phases, with an emphasis on skills development, institutional strengthening and replication of the lessons learned by the stakeholders during the different phases in other cities. This contributes to national and local policy development.

Table 2: Profiling process



SWOT analysis: strengths, weaknesses, opportunities and threats across cities

One of the key elements of the RUSPS process is identifying cities’ strengths–weaknesses–opportunities–threats through a SWOT analysis. The findings of the SWOT analysis enable cities to leverage and build on their strengths and opportunities, which is essential if they are to achieve their full potential and become more competitive. However, equally importantly, it enables cities to recognise weaknesses and threats, and thus their limitations, and to take

action, as appropriate, to minimise and overcome them. **Table 3** shows the basic structure of a SWOT analysis.

“Strengths” and “weaknesses” refer to the internal characteristics of a city, in particular:

- its key public, private, and third sector (nonprofit) institutions;
- economic factors and endowments; and
- the status of its physical environment.

“Opportunities” and “threats” refer to the external environment, including economic, social, political, and technological trends, cycles, shocks, etc. (Cities Alliance, 2006).

Table 3: SWOT Analysis: External and Internal Environments



Source: (Cities Alliance, 2006:52)

SWOT analysis enables a city to:

- *Build on and leverage strengths and opportunities*— For example, a city’s emerging strengths and opportunities could be increasing world markets for its products. This additional wealth could lower the national interest rates to finance affordable housing.
- *Avoid threats or take actions to minimise them, or even reverse their impacts*—A city could derive an advantage from rising petroleum prices, for example, if it becomes more energy efficient than its competitors (Cities Alliance, 2006).

SWOT analysis facilitates the identification of realistic and pragmatic options that cities can pursue in a competitive, conflict-ridden world under conditions of rapid change and limited resources. It does this by paying close attention to the capacities of institutions operating within the internal environment, in this case the city in question and external change. SWOT analysis also applies a temporal perspective by analysing past experience against future expectations. It is generally most effective when deployed as an ongoing process, rather than a “one off” activity (UN-HABITAT, 2007).

PEER REVIEW OVERVIEW

Identifying strengths and weaknesses

SACN has adopted peer reviews as an important method of generating and sharing knowledge.

A peer review helps the host municipality assess its current achievements and its capacity to change. It is not an inspection. It offers a supportive approach, undertaken by friends, albeit 'critical friends' and its intention is to help a municipality identify its current strengths as much as its weaknesses. It is part of an ongoing change process. This can then be taken forward by the municipality with an improvement plan to address the areas where the review team recommends action.

APPENDIX 2: Plan of Activities for State of the World's Cities Report 2008

Part ACTIVITIES	2007										2008		
	March	April	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.	Jan	Feb	March
Part 1: Harmony within cities													
literature review													
data cleaning & initial tables													
data analysis of 15 cities													
cities & citizens reports													
first workshop													
gender disaggregation of data													
spatial analysis GIS													
LIFI cases coordinating/drafting													
Gini coefficient analysis/cities													
second workshop													
Part 2: Harmony regions													
literature review													
In-house collection of data													
Int. of country/region images													
Data analysis as agreed method													
Part 3: human set. - nature													
literature review													
In-house collection of data													
60 countries, 15/4 cities (energy/waste)													
Integration of country images													
review of studies and b practices													
Part 4: policy anlysis/rec.													
literature review													
score card/policy analysis													
review of studies and b practices													
drafting of the report													
preliminary draft different Parts													
First round editing (internal)													
10 boxes from external sources													
5 boxes from BLP (Part 3&4)													
preparation of maps													
second draft													
external editing / second draft													
final draft													
design & layout													
write up from ED, etc.													
executive summary													

ernationally Advisory Board expected comments

APPENDIX 3: UN-HABITAT Urban Indicators

Table 4: Urban indicator set

Habitat Goal	Indicators
Theme 1: Shelter	
Promote the right to adequate housing	Key indicator 1: durable structures Key indicator 2: overcrowding Check-list 1: right to adequate housing extensive indicator 1: housing price and rent -to-income
Provide security of tenure	Key indicator 3: secure tenure extensive indicator 2: authorized housing extensive indicator 3: evictions
Provide equal access to credit	check-list 2: housing finance
Provide equal access to land	extensive indicator 4: land price -to-income
Promote access to basic services	Key indicator 4: access to safe water Key indicator 5: access to improved sanitation Key indicator 6: connection to services
Theme 2. Social development and eradication of poverty	
Provide equal opportunities for a safe and healthy life	Key indicator 7: under -five mortality Key indicator 8: homicide check-list 3: urban violence extensive indicator 5: HIV prevalence
Promote social integration and support disadvantaged groups	Key indicator 9: poor households
Promote gender equality in human settlements development	Key indicator 10: literacy rates check-list 4: gender inclusion extensive indicator 6: school enrolment extensive indicator 7: women councillors
Theme 3. Environmental Management	
Promote geographically balanced settlement structures	Key indicator 11: urban population growth Key indicator 12: planned settlements
Manage supply and demand for water in an effective manner	Key indicator 13: price of water extensive indicator 8: water consumption
Key indicator 18: city product Reduce urban pollution	Key indicator 14: wastewater treated Key indicator 15: solid waste disposal extensive indicator 9: regular solid waste collection
Prevent disasters and rebuild settlements	check-list 5: disaster prevention and mitigation instruments extensive indicator 10: houses in hazardous location
Promote effective and environmentally sound transportation systems	Key indicator 16 : travel time extensive indicators 11: transport modes
Support mechanisms to prepare and implement local environmental plans and local Agenda 21 initiatives	check-list 6: local environmental plans
Theme 4. Economic Development	
Strengthen small and microenterprises, particularly those developed by women	Key indicator 17: informal employment
Encourage public-private sector partnership and stimulate productive employment opportunities	Key indicator 18: city product Key indicator 19: unemployment
Theme 5. Governance	
Promote decentralisation and strengthen local authorities	Key indicator 20: local government revenue Check-list 7: decentralization
Encourage and support participation and civic engagement	Check-list 8: citizens participation extensive indicator 12: voters participation extensive indicator 13: civic associations
Ensure transparent, accountable and efficient urban governance	Check-list 9: transparency and accountability

Source: (UNDP, 2005:74-75)

APPENDIX 4: Resources

Global Urban Observatory:

Background: The Global Urban Observatory (GUO) addresses the urgent need to improve the world-wide base of urban knowledge by helping Governments, local authorities and organizations of the civil society develop and apply policy-oriented urban indicators, statistics and other urban information. The GUO was established by UN-HABITAT in response to a decision of the United Nations Commission on Human Settlements, which called for a mechanism to monitor global progress in implementing the Habitat Agenda and to monitor and evaluate global urban conditions and trends. The GUO works closely with Best Practices and [Local Leadership programme \(BLP\)](#) which was established to make use of information and networking in support of the Habitat Agenda Implementation. Both programmes operate under the [Monitoring Systems Branch](#), which has the overall mandate to monitor progress on the Habitat Agenda and the Millennium Development Goals (MDGs)

<http://ww2.unhabitat.org/programmes/guo/>

City Development Strategies (CDS):

The premise of city development strategies (CDSs) is that well-positioned and well-timed public, private, and civil society strategic interventions can significantly alter a city's development path. If national urbanisation policy frameworks complement local strategies, change is likely to be deeper and quicker.

<http://www.citiesalliance.org/activities-output/topics/cds/cds.html>

The Urban Audit:

The Urban Audit provides European urban statistics for 258 cities across 27 European countries. It contains almost 300 statistical indicators presenting information on matters such as demography, society, the economy, the environment, transport, the information society and leisure.

<http://www.urbanaudit.org>

Urbanicity:

Urbanicity is a web based initiative to collate and disseminate information relating to all aspects of urban management and development.

Urbanicity operates in partnership with the Best Practices and Local Leadership division of United Nations Habitat, and is widely recognised as the foremost source of urban information available.

Urbanicity has been an online publisher since 2002 and is based in the UK and New Zealand.

<http://www.urbanicity.org>