

Tool 2: Guidelines for the Design of Effective Urban Capacity Building Programs

The **Guidelines for the Design of Effective Urban Capacity Building Programs** provides guidance on designing capacity building strategies for pro-poor organizations to better address urban poverty issues. This tool is not meant to prescribe one specific way to design a plan, but rather is intended to be an illustrative approach to help yield practical results in a relatively short period of time. Discovering and tapping into local expertise, tools, knowledge and experience is an important aspect of the program design. The approach should also build on the partner entity's previous organizational and/or technical capacity building efforts, when applicable. Overall, these guidelines are intended to assist practitioners in producing tailored capacity building programs by working with pro-poor organizations to identify and analyze the urban challenges they want to address, creating an action plan, and determining their skills and capacity building needs to effectively implement their plan.

The Urbis program is a three-year global learning initiative launched in September 2007 and implemented by the Development Innovations Group (DIG). Urbis strengthens the capacity of urban pro-poor organizations to increase their influence over the decision-making and planning processes that affect the lives of the urban poor. The focus of Urbis includes advocacy, slum improvement, provision of basic services such as potable water and sanitation, land tenure regularization, and financing for the urban poor, all of which DIG's local partner organizations have identified as priorities of the urban poor. The program is currently being implemented in seven cities in Africa, Latin America and Asia.

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Executive Summary and Summary Matrix

1 Page each

- Please include an executive summary of the key findings in city x.

Urbis Goals and Objectives

1/2 Page, same for all diagnostics

Goal:

- Help the Gates Foundation further develop its strategy for giving in the area of urban poverty and mainstreaming of community participation. This initiative will help the Foundation better understand organizations working with the urban poor. Urbis will explore methods for building the capacity of particularly strong NGOs and CBOs by analyzing their capacity and increasing their voice and reach. Ultimately, Urbis will enhance the Foundation's ability to promote and work with NGOs and CBOs working with the urban poor. Specifically, this will assist the Special Initiatives team as it strives to engage and integrate the urban poor into their larger municipal communities' planning and development processes.

Objectives:

- Identify innovative practices among NGOs that operate in the urban setting;
- Provide the Foundation with a better idea of the goods and services that are being provided by these NGOs, with an emphasis on urban planning and development issues;
- Determine which methods of capacity building are most effective and useful for relevant urban-focused NGOs;
- Offer insights into the needs of the urban poor in cities of different sizes and political climates;
- Identify measures for helping poor urban populations increase their knowledge of and influence over the community decision making and planning processes that affect their daily lives; and
- Lead to the creation of a “blueprint” (in the form of various learning reports and tools) to engage and integrate the urban poor into their larger municipal communities' planning and development processes.

City X: An Urban Profile

1 ½–2 ½ pages

- Introduction (optional): Overview of the Urban Profile for this City
- Basic Country Demographics and Macroeconomic Profile (population, GDP, per capita GDP, urban rural breakdown, etc.)
- Socio-political Context (type of national government, type of relevant local government in the city in question, etc.)
- Urban Conditions and Prevailing Urban Dynamics in [City X]
 - Demographics—Who are the Urban Poor?
 - Composition of the Urban Poor
 - Growth trends of the urban population

- Priority issues in the slums
- Economic activities of the urban poor
- Where the urban poor live
- Planning and Development in Urban Settings (1 page or 2) to include, as appropriate:
 - Official Planning and Development Practices for Public and Private Development (What are the official planning and development practices for public development projects in this city? For private-sector development projects?)
 - Optional section: Regulation “on the books” versus reality (How well known are the rules “on the books”? Do they ignore or adversely affect the poor?)
 - Regulation practices and their relevance to the poor (Which institutions regulate or coordinate these, including the mayor or city council, municipal agencies, civic associations, etc.? What access do the poor have to these institutions and their staff e.g., voting or lobbying?)
 - Rule of Law and Transparency (Are the official practices effectively and consistently followed? Are decisions transparent?)
 - Role and influence of the poor in official civic planning (Are these practices open for public bidding, planning, or criticism from all segments of the city’s population?) Are the poor effectively shut out because of location, timing, or other access issues? When given access, to what extent are the voices of the poor heard in public planning and development decisions? In private-sector planning and development decisions? Is the urban agenda a focus of government? Who are the key stakeholders representing the urban poor in the focus-city and what do they focus on? Has the city attempted to formalize the poor into official civic planning, for example, through formalizing titles?

City Selection Criteria

Six cities will be selected out of the ten diagnosed. City selection criteria include but are not limited to the following characteristics:

- The organizing issue can be determined;
- CBOs and local authorities work in partnership. If not, there is a window of opportunity to help them perceive each other as partners, not antagonists, and establishing such partnerships would be perceived as “win-win.”

Does the city incorporate the practices and knowledge of the poor into formal civic planning procedures (for example, allowing flexible zoning)? To what extent does the government confer with NGOs on urban poverty strategies and planning? What is the dynamic of the city? Is this a progressive, participatory city? Are people working in isolation? Is there a well articulated city strategy? Do the donors support that strategy? (To the extent possible, insert a diagram or graph that represents levels of influence)

- Capacity building assistance to the poor (Does the city offer capacity-building assistance - financial, technical, or otherwise- to organizations among poor communities? Same question with regards to donors. What are the city and donor levels of funding?)

- Conclusion (optional)
- Private Sector Involvement in Alleviating Urban Poverty (describe case studies)
- Main Urban Challenges [City X] (1 ½ -2 pages). (What are the key issues that are core to the city and that would represent the focus of the Urbis program? Proposed selection of organizations we will work with)

Overview of Organizations and Potential Urbis Activities in [City X]

1½ to 4½ pages, depending on number of NGOs pre-selected

- Introduction (optional)
 - Organizations working with the Urban Poor: Overview of the organizations and proposed selection of x organizations in light of the main urban challenges identified in the previous section. UPC, Fakta, Ecosoc and URDI
 - Selection Criteria
In addition to the organization selection criteria listed on page 6 in the Urbis project description, the organizations selected should demonstrate the following characteristics to be eligible for capacity building in the next phases of

“Urban Innovators”

Criteria for Selection of Winner Organizations Eligible for Gates-funded Capacity Building Support

- Forms partnerships/alliances with other CBOs or with government (find out how networked the orgs you meet with are)
- Achieved significant scale (find out whether there is scope for them to scale up even more)
- Pro-poor. Advocating for the poor and empowering them is the core of the organization’s business (find out if the extent to which the organization’s members and constituency really advocate for the poor. Is influencing the decision-making process a part of the organization’s agenda?)
- Receptiveness to technical assistance (as opposed to grants, which we don’t have under Urbis)
- Eligible organizations should be effective but struggling with impacting public policy. A capacity building effort would result in the organization’s improved ability to *increase the voice of the poor in decision-making processes*.

- the Urbis program.
- Proposed Selection of Organizations
- Potential Recipients of Urbis Assistance and Initial Assessment of their Capacity Building Needs (1½ to 4½ pages, depending on number of NGOs pre-selected)
 - Legal status and type of institution (service delivery or advocacy/lobbying)
 - Substantive areas of focus and current activities
 - Representation of communities (disfranchisement versus empowerment of the poor)
 - Funding sources and funding level
 - Operational capacity
 - Impact on urban poverty public policy (has the organization ever been able to bring about a change in policy?)
 - Capacity building goals (does the org have a training budget? If so, what does it cover and how much.)²
 - Constraints
 - Organizational development and strategic plans
 - Institutional partnerships
 - Outreach and effectiveness

Proposed Capacity Building Strategy

2 pages

- This section should include in some detail what combination of expert consulting, on site TA, study tours, training sessions, etc. will help address the challenges and capacity needs discussed earlier in this section. What is the menu of capacity building activities we could propose? When writing this section, keep in mind the city dynamic and constraints NGOs face.

Potential Challenges and Opportunities to Implementing Urbis in [City X]

½ to 1 page

- A SWOT-type Analysis on the Urbis Program Risks

Proposed Timeline

1 page, Gantt Chart

- Summary Matrix of Potential Urbis [City X] Initiative (1 page, log frame-type table showing a summary overview of the preceding pages)

Conclusion

1/2 page

- What is the bottom line of the diagnostic for this city? Is this city a strong contender for final selection? Are there any South to South learning opportunities? What are the lessons learned here that could be applied elsewhere? What is unique about this city? What are the next steps; and any other parting thoughts from authors of diagnostic. DIG's anticipated learning goals focus on addressing the primary questions that stem from the Foundation's priority areas—the quality and success of urban NGOs.

