

# SDG PROJECT ASSESSMENT TOOL



Durban

Informal Settlement Information Management System

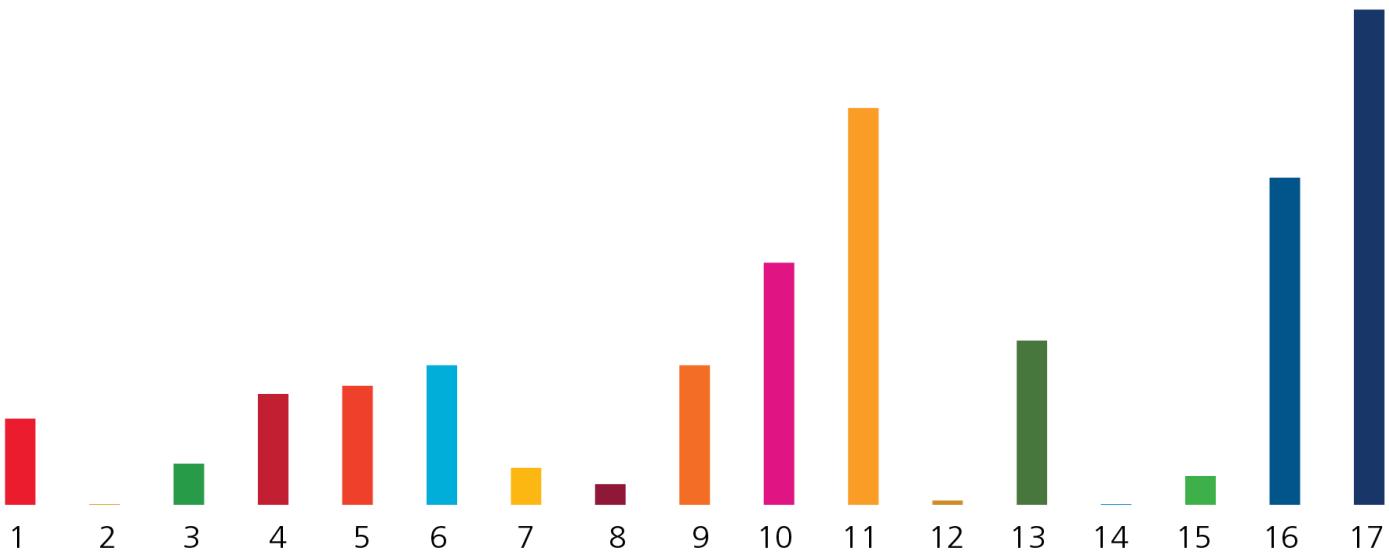
This tailor-made sheet aims to demonstrate how the SDG Project Assessment Tool's General Framework has been tailored to the project in Durban, South Africa. It highlights how the project includes the priorities within the Sustainable Development Goals, and the different principles that were selected for this project. As this sheet has been tailored to the project's scope and needs, the performance criteria has been selected in consultation with the partners of the Programme.

## Sustainable Development Goals

### A) This is the SDG alignment summary

This shows how the project includes the priorities stated within the SDGs.

## Sustainable Development Goals

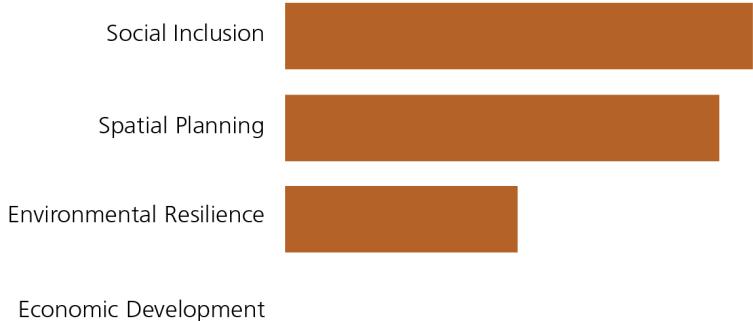


## Fields of Assessment

### B) These are the fields of assessment

This is a summary of the assessment in relation to 8 key drivers, split into Technical & Effectiveness aspects of the project. While the technical aspects show the technical design of the projects, effectiveness aspects focus on the long-term sustainability and impact

TECHNICAL ASPECTS



## EFFECTIVENESS ASPECTS

Data-Driven Process and Management

Capacity-Building and Market Maturity

Urban Governance and Legal Frameworks

Financial Strategies

### Selected Performance Criteria

This is a list of all selected performance criteria. Note that caveats/comments/amendments have been included in the internal version of this document to some performance criteria in accordance with the nature of the project and the participatory discussions with the city authorities and delivery partners.

Ref Sustainability Principle	Ref Performance Criteria
<i>Key Driver: Social Inclusion</i>	
1 Diversity of housing types based on income, tenure, and size ensures housing stock that meets local demand	<p>1.1 The project assesses current and future demographics and trends, and tries to meet the identified housing needs of the population.</p> <p>1.6 (If the project includes informal areas) The project provides strategies for informal settlement upgrading and other informal settlement solutions such as incremental housing or site-and-services schemes.</p>
3 Housing conditions, especially in informal settlements, are safe, secure, and promote well-being	<p>3.1 The project is based on a comprehensive assessment of existing housing quality, especially in informal settlements. The assessment includes accessibility, security, and safety.</p> <p>3.6 The project considers land tenure security as an essential part of access to housing, and proposes solutions to improve land tenure conditions where needed.</p>
4 Alternatives to evictions and resettlement planning mitigate negative consequences when unavoidable	<p>4.2 If evictions are unavoidable, the project identifies relocation sites that fulfil the criteria for adequate housing, access to affordable urban services, public transport and economic and livelihood opportunities, while avoiding segregation or marginalization of the relocated population.</p> <p>4.3 If evictions are unavoidable, relocation sites are not exposed to natural disasters, pollution, or other threats to health (including hazardous chemicals or contamination).</p>
5 Ensuring representativeness in datasets facilitates policy making for improving the conditions of all	<p>5.1 The project is based on stakeholder and beneficiary mapping that examines how data may be generated and used by different groups.</p> <p>5.2 The project provides access to managed, transparent and intelligible data sets, where the data is disaggregated and personalised (for example, according to age, sex, race, disability, economic status etc).</p> <p>5.3 The project allows citizens to voluntarily self-identify (for example, on the basis of gender, race, ethnicity, disability etc), protecting vulnerable or minority groups from being assigned conflicting identities by an external actor.</p> <p>5.4 The project includes policies for improving data literacy amongst the public.</p>
6 The inclusive design of urban services ensures accessibility for vulnerable groups	<p>6.1 The project is based on a background assessment that identifies the needs of vulnerable and disadvantaged groups, including women, children, the elderly, people with disabilities, indigenous people and migrants.</p> <p>6.2 The project contains a holistic strategy for social inclusion of vulnerable groups.</p>
7 Holistic design strategies improve safety and security of the urban environment	<p>7.1 The project is based on an assessment of urban safety and security issues in the city.</p> <p>7.2 The project develops risk mapping in consultation with the community to help identify crime hotspots and perceptions of safety.</p>
<i>Key Driver: Spatial Planning</i>	
8 Supply and distribution of urban services and mobility ensures equitable distribution of benefits and easy access for all	<p>8.1 The project is based on a background assessment of the distribution, design, quality and accessibility of urban services (e.g. basic services, mobility systems, social facilities and public space).</p> <p>8.2 The project contains a spatial assessment, mapping current and future flows and modes of transport, with particular attention to areas of lower socioeconomic status or near public services.</p> <p>8.3 The project proposes strategies for the provision of urban services.</p> <p>8.5 The project uses smart technologies to help design and deliver urban services to all residents. It considers how barriers to technology may affect how vulnerable groups can access services.</p>
10 Affordable and reliable public transport reduces cost burdens for all	10.3 The project promotes strategies and approaches to prevent and reduce the risks of developments (planned and informal) in climate hazard areas, considering their location, type and scale.
12 Integrated urban planning and design at different scales (neighbourhood, city, region) and across different sectors	12.2 The project uses data gathering and/or assessments in the design of all aspects of the intervention.

(transportation, infrastructure, land use, etc.) ensures consistency and positive catalytic effects

12.3 The project considers how it relates to other interventions including plans, projects, and strategies, in order to build on synergies and avoid overlap.

12.5 The project contributes to the creation of a georeferenced information platform (such as GIS), and helps define rules and processes for data sharing between government bodies.

12.6 (If relevant) The project considers opportunities for future replicability and/or scalability.

16 Urban design solutions that are climate responsive ensure comfort and enhance urban resilience

16.1 The project is based on an analysis of climate-related risks and hazards, including sea level rise, extreme heat, changing precipitation patterns, flooding etc.

17 Integrated planning and equal distribution of urban services with an adequate capacity helps to meet current and future population demands efficiently and ensuring inclusivity

17.1 The project is based on an assessment of existing urban services capacity, taking into account current and future population needs.

17.2 The project uses data to assess the spatial distribution, levels of access, and use of urban services by different groups, including women, youth, and vulnerable and marginalised communities.

17.5 The project ensures that public facilities and infrastructure are equally distributed and accessible by, including vulnerable and marginalised groups.

#### *Key Driver: Environmental Resilience*

24 Identification and assessment of vulnerable areas in planning helps reduce exposure and prevents damage from climate disasters

24.1 The project is based on an understanding of previous climate related disasters and their risks for damage.

24.3 An assessment of exposed and vulnerable areas is conducted at multiple scales, including, but not limited to, neighbourhood, district, city, regional and watershed levels.

24.4 The project identifies vulnerable urban communities and their needs including potential measures to mitigate vulnerability.

24.5 The project is based on an assessment of significant direct and indirect costs of potential disasters, including, but not limited to, human and financial losses.

25 Equipment and systems for early warning and monitoring help inform emergency response to reduce damage

25.2 The project ensures that early warning and appropriate response information is effectively communicated to reach all, particularly marginalized and vulnerable groups – especially those that might be neglected by mainstream communication channels due to language or technology.

25.3 The project identifies the institutional, systemic and/or individual needs and opportunities of the city in regard to capacity to respond to emergencies.

28 Integrated water systems, including hard infrastructure and nature-based solutions help improve storm water management

28.3 The project protects and strengthens relevant ecological systems, including but not limited to, water retention, infiltration, afforestation, urban vegetation, floodplain management, mangroves and coastal vegetation.

#### *Key Driver: Data-Driven Process and Management*

35 Efficient data collection based on planning needs supports efficient planning processes and resource management

35.1 The project is based on a background assessment to identify data gaps within the project scope that are critical for the urban planning and management processes.

35.2 The project establishes data collection strategies bases on an assessment of planning data needs.

35.3 The project delivers tools and applications that allow for efficient data collection and management.

35.4 The project delivers automated data collection systems and processes to enable real-time monitoring of service delivery.

36 Effective data management systems supports sustainable planning processes

36.1 The project is based on a background assessment (within the project scope) of the local government's current data framework, including omissions, redundancies, impediments and alike, as well as the institutional and internal organisational arrangements, levels of capacity and available hard-and-software.

36.2 The project establishes detailed policies and protocols for data sharing inside government, including legal advice and safeguards for internal data disclosure, as well as actions to mitigate risk aversion.

36.3 The project provides a detailed roadmap describing the participation process of the government and third party collaborators within the data framework, including best practices recommendations (e.g. data update routines and quality control).

36.4 Partnerships are supported by specific publicly disclosed and detailed sets of guidelines for collecting, preparing, publishing and updating data, as well as roles & responsibilities for each partnership entity.

36.5 The project explores the possibility for building collaborative and pluralist groups (committees that involve municipality, civil society, academia, private sector) for evaluating and validating data sources and data-related cooperation agreements.

36.6 The project is in compliance with technological sovereignty and digital service standards, attending to principles of interoperability, agility and usability, with particular attention to prevention of dependency on suppliers (vendor lock-in).

36.7 The project delivers a data custodianship framework, establishing policies and guidelines for promoting best practices in data management accountability.

36.8 The project establishes indicators for assessing the quality and richness of data from each data source.

37 Efficient use of data supports evidence-based and justifiable decision-making processes

37.1 The project contains a background assessment on data flows between stakeholders, identifying gaps and barriers.

37.2 The project delivers a functional and operational framework for a centre (or similar) within government focused on data science and intelligence that works across sectors.

		37.3 The project builds and formalizes practices for integrating data analysis into decision-making processes, taking into account relevant data sets.
38	Monitoring and evaluation ensures long-term impact	38.1 The project includes a background assessment on data availability and requirements to conduct impact assessments, as well as monitoring and evaluation beyond the programme period.
		38.4 A comprehensive monitoring and evaluation strategy has been defined that responds to the impact assessment and defines contingency measures beyond the programme period.
39	Inclusive, transparent, continuous and meaningful participation ensures that the needs and aspirations of the community are addressed through the project.	39.1 The background assessment identifies public, private, academia and civil society stakeholders at city, regional and national level that are relevant to the project. The project assesses how affected groups can be included and how to ensure a gender sensitive approach.
		39.2 The project builds on existing mechanisms to ensure community participation in urban planning and management processes. If these mechanisms do not exist, capacity development and recommendations are provided.
		39.3 The participatory process includes all relevant stakeholders and ensures that the views of marginalised and vulnerable groups are represented. The participatory process ensures a gender sensitive approach. If indigenous people are affected by the project, prior informed consent is ensured.
		39.4 The participatory process is ongoing throughout the project lifecycle, starting from the formulation stage onwards.
		39.5 Stakeholders have opportunities to influence the project through a meaningful participation process. The project targets the needs of the population.
		39.6 The project clearly communicates how participatory processes will be conducted. Relevant information is provided regularly to stakeholders and affected communities on the project development and outcomes of participatory engagements. Information is made available, shared in a reasonable timeframe and channels have been provided for stakeholders to submit their concerns or request information.
		39.7 The project uses data systems and civic technologies for public engagement.

*Key Driver: Capacity-Building and Market Maturity*

40	Strong technical and professional capacity from all relevant stakeholders secures long-term implementation	40.1 The project conducts a needs assessment (including skills, human resources, and equipment) to understand the ability of partners to support project implementation and ongoing maintenance.
		40.2 The background assessment identifies capacity gaps in all relevant partners and stakeholders. This can include stakeholders within government at technical or leadership level, and third parties such as the private sector, civil society and academia.
		40.3 The project assesses what technological and capacity gaps can be realistically addressed through capacity development activities.
		40.4 The project proposes strategic capacity development activities that will support implementation and sustainability.
		40.5 The project develops institutional memory through support to mechanisms that document project implementation and capacity development.
42	Building local partnerships and drawing on local resources and capacities facilitates sustainable project implementation	42.1 The project explores the opportunity to involve local partners in the execution and maintenance of the project.
		42.2 The project considers the involvement of local partners taking into account their level of professional capacity.
		42.3 The project considers sustainable practices for the building and execution of the project such as promoting locally sourced materials and resources and minimizing the carbon footprint through sustainable sourcing of materials and transportation.
		42.4 The project only proposes international partners for its execution and maintenance where local capacity and market maturity does not meet minimum standards.

*Key Driver: Urban Governance and Legal Frameworks*

44	Alignment and coherence with existing laws and policies at local, regional and national level enhances the viability and impact of projects	44.1 The project aligns with existing policies (at local, regional and national level).
		44.2 The project's development and implementation is enabled through the existing legal framework (at local, regional and national level) in housing, planning, transport, procurement, etc.
		44.3 The project aligns to the city's strategic goals including spatial, economic and environmental strategies as well as existing projects implemented or in the pipeline.
45	Action plans for long-term sustainability increase the impact of projects	45.1 The project includes risk assessment and built-in mitigation measures in the event of changes in leadership and lack of commitment to carry out the projects beyond the Programme. This includes but is not limited to strengthening institutional ownership both at high political and technical level.
		45.2 The project establishes a strategy to continue and maintain the projects after the Programme. This includes but is not limited to establishing clear steps for implementation and defining a process to formalize the project as a legal instrument.
		45.3 The project includes a communication and capacity development strategy to inform stakeholders about legal obligations, rights and appeal mechanisms.
46	Defined roles and responsibilities at all levels of government provides clarity in case of overlapping mandates	46.1 The project develops an assessment of the institutional setting and uses this to assign roles, responsibilities and authority to ensure success.
		46.2 Roles and responsibilities are assigned based on institutional capacities and abilities.

		46.3 Project stakeholders are given the necessary authority and capacity to carry out their responsibilities .
		46.4 Cross-sector and -government coordination mechanisms help to establish project legitimacy and buy-in, and multi-level coordination mechanisms are in place to ensure effective design and implementation.
		46.5 The project proposes third-party partnerships where appropriate to achieve better project outcomes (ie private sector, civil society, and academic).
		46.6 Proposed partnerships follow principles of good governance by being transparent, fair and promoting public benefits.
50	Ensuring privacy and confidentiality supports the protection of people's rights	<p>50.1 The project is backed by a background assessment on local and national legal framework on data disclosure/privacy/sharing, identifying gaps, barriers and possible cultural challenges.</p> <p>50.2 The project considers actions to ensure data de-personalization and private data confidentiality, aimed at guaranteeing individuals a right to privacy.</p> <p>50.3 The project establishes a detailed roadmap describing the process of data disaggregation and depersonalization.</p> <p>50.4 The project promotes capacity building on data protection, privacy and control, aimed at citizens and private and public data producers.</p> <p>50.5 The project delivers guidelines to maintaining human rights in data processing and management (freedom of speech, rights to privacy etc) in accessible languages and multiple platforms.</p> <p>50.6 The project defines processes for data protection and security for data management and storage systems, ensuring compliance on protection over the data life cycle.</p> <p>50.7 The project provides best practices for data security and privacy by means of implementing a Data Protection Impact Assessment (DPIA).</p> <p>50.8 The project provides policies for monitoring compliance with standards of confidentiality, ethical and moral conduct with regard to data use.</p>
51	Effective data dissemination to empower individuals and community	<p>51.1 The project considers a demand-based data approach identifying effective ways to disseminate data.</p> <p>51.2 The project establishes detailed and clear criteria for transparency and levels of openness of data.</p> <p>51.3 The project delivers a public, intuitive, responsive and assisted digital interface for data visualization/manipulation, allowing for efficient use by citizens.</p>
	<b>Key Driver: Financial Strategies</b>	
52	Realistic long-term financial strategy is essential for project implementation	<p>52.1 The project is based on a background assessment of the financial requirements needed for the execution, maintenance, and operation of the project. It also includes an assessment of existing financial capacity , financing mechanisms, and legal regulations.</p> <p>52.2 A financial strategy is developed that is aligned with existing financial capacity. Market conditions (including supply, demand, public budgeting, etc.) as well as political, social and environmental risks are assessed in this strategy.</p> <p>52.5 Mitigation measures are put in place to prevent common risks to the application of the financial strategy. This should take into consideration rules on cost-effective public procurement, corruption, cost coverages, lower than expected revenue streams and</p>
54	Data literacy and capacity building enhances technology development, research and innovation to support sustainable urbanization	<p>54.1 The project provides a strategic plan for digital literacy education and inclusion actions, aiming at diverse citizen groups, including marginalized and vulnerable communities.</p> <p>54.2 The project provides strategies for data-driven businesses and revenue-generation based on data.</p> <p>54.3 The project promotes digital working and data-focused skills, in particular within marginalized and vulnerable communities, improving formal employment opportunities.</p> <p>54.4 The project provides data-oriented capacity building for improving data-driven urban management in public departments.</p> <p>54.5 The project promotes urban-oriented data-driven entrepreneurship events, encouraging the emergence of new urban tech businesses.</p>