



# Strengthening and Enhancing Contextual Urban Resilience (SECURE) toolkit



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# Abbreviations

<b>ADA</b>	Ajmer Development Authority
<b>AMC</b>	Ajmer Municipal Corporation
<b>AMRUT 2.0</b>	Atal Mission for Rejuvenation and Urban Transformation
<b>CFAR</b>	Centre for Advocacy and Research
<b>CSO</b>	Civil society organisation
<b>MDS</b>	Maharshi Dayanand Saraswati (University)
<b>MoHUA</b>	Ministry of Housing and Urban Affairs
<b>NGO</b>	Nongovernmental organisation
<b>PHED</b>	Public Health and Engineering Department
<b>PRIA</b>	Participatory Research in Asia
<b>SECURe</b>	Strengthening and Enhancing Contextual Urban Resilience
<b>SHG</b>	Self-help group
<b>WASH</b>	Water, sanitation and hygiene

# Key terms

This list defines the key terms used throughout the toolkit and the step in which you will first encounter them. You may refer back to this list as needed.

Key term	Meaning	Where first addressed
<b>Actor</b>	A stakeholder that is part of the network in your city. Actors can be organisations, institutions, bodies or individuals from government, the private sector, academia or civil society. Examples include government departments, companies and enterprises, research institutions and nongovernmental organisations (NGOs).	Step 2
<b>Influence capacity</b>	Within a pair of actors, a function of each actor's incentives and the resources they produce, control or access to influence the other actor.	Step 5
<b>Intermediary resources</b>	Resources actors can use for leverage or influence over other actors. These can include financial resources, authority, information and data.	Step 5
<b>Issue of interest</b>	The issue you are interested in, affecting the climate resilience of marginalised and vulnerable group(s) in your city.	Step 1
<b>Key resources</b>	Available resources that can be directed towards the target group to help you achieve your objective. These can include government funding, private funds, land and basic services.	Step 3
<b>Network</b>	A network is made up of individual actors connected to each other in pairs; each pair is also connected to other pairs.	Step 2 Box 1
<b>Objective</b>	The objective you set to address the issue of interest, containing the sector, target group, location and time horizon (optional). When working through the toolkit, you will focus on this objective.	Step 1
<b>Pairs of actors</b>	The main unit of analysis for the toolkit, which helps you understand power through relationships between actors.	Step 4 Box 3
<b>Resource distribution pathways</b>	A route along which key resources can move from their source to the target group(s). Along this route, you will identify pairs of actors that need to be aligned.	Step 4
<b>Target group</b>	The vulnerable and marginalised people who are the focus of your intervention.	Step 1
<b>Urban labs</b>	Collaborative and experimental platforms that bring together stakeholders to co-design, test and implement innovative solutions addressing urban challenges, such as sustainability, resilience, and equitable development in real-world city environments.	Introduction Part 1

# Introduction

# Introduction

This document presents a toolkit, or a practical step-by-step guide, to applying the **Strengthening and Enhancing Contextual Urban Resilience (SECURE) framework**.<sup>1</sup> The SECURE framework is a structured approach through which researchers, policymakers and practitioners can understand urban power dynamics and inform the design of 'urban labs'. **Urban labs are collaborative and experimental platforms that bring together a wide range of city actors**, including government, civil society, researchers and private businesses to co-design, test, and implement innovative solutions addressing urban challenges such as resilience, sustainability and equitable development in real-world city environments. When designed strategically, urban labs can reduce differences in power between city actors and ultimately transform whose risk matters when it comes to urban development planning.

**Urban development in low- and middle-income countries is a major contributor to global climate risk and will continue to be in the coming decades.** Urban growth in these countries usually involves rapid and unplanned expansion without adequate infrastructure and basic services, which often results in the proliferation of informal settlements. These are residential areas where inhabitants have no security of tenure over the land or dwellings they live in. Neighbourhoods usually lack basic infrastructure and services — such as safe drinking water, sanitation, drainage, paved roads and electricity — and housing may not comply with planning and building regulations. They are often in or near environmentally hazardous areas, such as riverbanks, swamps, steep slopes or industrial/dump sites; and their houses are often built on sandy and degraded soils or flood-prone land.

The risks associated with living in these areas are exacerbated by climate change;<sup>2</sup> but **climate risk does not affect all residents equally**. Because poor and marginalised individuals tend to live in areas that are more exposed to hazards and have limited access to basic services, they tend to be more vulnerable. Understanding how urban development shapes risks for different people allows us to identify opportunities to rethink how urbanisation can reduce rather than amplify climate risk. This is particularly important in informal settlements.

In these areas, traditional linear, top-down planning, implementation and monitoring approaches have shown little success, largely because building climate resilience demands different interventions for different groups living within a city. City actors and institutions hold contradictory interests and climate resilience priorities, and governance is often fragmented. Poor accountability limits the way in which public institutions respond to the priorities of marginalised groups. Decision making within cities is shaped by the power held by different actors, and some hold more power than others. This affects decision making, as powerful actors, seeking to advance their agendas, may increase the likelihood of urban development exacerbating climate risk for more vulnerable actors, who have less power to influence decisions.

**Co-production is a promising alternative to the traditional approach, and urban labs are a platform for deploying co-production interventions.** Encompassing a wide range of participatory research methodologies that seek to explore and reframe complex problems through open dialogue and knowledge sharing, co-production considers multiple and diverse perspectives, and is well suited to foster innovation and generate creative solutions.<sup>3</sup> Urban labs bring together a wide range of city actors, institutions and organisations to collaborate, co-produce knowledge and prioritise interventions that can be used to inform urban development planning. Urban labs can facilitate locally led adaptation; they allow locally embedded actors to think through solutions to real problems. Ideas generated in urban labs are prototyped and tested to see what works best, which enables learning-by-doing.<sup>4</sup>

**Urban labs have emerged as a promising approach to risk-informed planning and decision making. But to be able to change patterns of marginalisation and vulnerability, they must be designed strategically to shift power relations in a city.** This demands a sound understanding of power dynamics between different groups and how they shape investment in climate resilience and urban development.

# Toolkit overview

Co-production is not a new concept, and many tools and methods already exist for analysing context and power dynamics, including political economy analysis, power analysis, and stakeholder and network mapping. But **SECURE is unique in providing an overall framework for urban labs, linking contextual analysis with the strategic design of a co-production intervention.**

In urban resilience programming, power dynamics are often neglected in favour of technical design. And when interventions are technically sound but fail to consider power dynamics, they can be ineffective. **This toolkit allows users to think politically about urban resilience interventions and design co-production strategies and interventions that are informed by an analysis of power dynamics.**

## Aims of the toolkit

It is important to establish what this toolkit does and does not do. The SECURE toolkit aims to expand users' understanding of power dynamics, guiding them to design an intervention strategy with a higher probability of success. It helps users design a power-informed co-production strategy and select implementation methods that are appropriate to their context.

The toolkit does not support the end-to-end implementation of a co-productive intervention. Rather, it guides users to identify specific issues to select appropriate co-production methods and tools for addressing those issues. It does not provide step-by-step guidance on how to implement those methods and tools, although it does point to useful resources.

Although a significant part of the toolkit is aimed at understanding how city actors engage with each other (Part 1), applying the toolkit itself may not require much participation. It is not always practical to start by involving all actors; indeed, it is often more effective to start small and engage more actors over time.<sup>5</sup> The analysis produced through this toolkit is not co-productive in and of itself; rather, it informs the way users develop their co-production strategy and interventions to build resilience in ways that are informed by power dynamics.

## Toolkit structure

The toolkit has three main parts (see Figure 1).

**Figure 1. Structure of this toolkit**

Part 1. Analyse the context	Part 2. Design co-production strategy	Part 3. Select co-production methods and tools
<p>Understand how the city context, particularly power dynamics, shape the distribution of resources and decision making.</p> <p>This will help inform interventions that lead to more equitable outcomes.</p> <p><b>Steps 1–5</b></p>	<p>Develop a strategy for co-production activities around a particular objective, focusing on what is useful and possible in the city context.</p> <p>Possible strategies include reframing problems, behavioural change, brokering agreements, empowerment, systems reform.</p> <p><b>Steps 6–7</b></p>	<p>Select co-production methods and tools to implement your strategy.</p> <p>You may need to use more than one method and tool, and can layer or use them in sequence.</p> <p><b>Steps 8–9</b></p>

Table 1 provides a high-level overview of the steps in the toolkit, their outputs and purpose, indicating how they relate to subsequent steps what they help you achieve.

**Table 1. Nine practical steps for co-producing strategies and interventions**

Step	Output	Purpose
<b>PART 1: ANALYSE THE CONTEXT</b>		
Step 1. Set the <b>objective</b>	<b>Objective statement</b> defining the issue, <b>target group</b> and <b>objective</b> for intervention	Guides and focuses the analysis
<b>Actor and resource mapping</b>		
Step 2. Map <b>actors</b> with an interest in or influence on the issue	Map with <b>actors, key resources</b> , and links between <b>actors</b> and resources	Provides a basis for understanding power dynamics in the city; later identifying which <b>actors</b> need to collaborate to ensure <b>key resources</b> reach the <b>target group</b> to achieve the <b>objective</b>
Step 3. Map resources and power dynamics		
<b>Resource flows, drivers and blockers</b>		
Step 4. Map <b>resource distribution pathways</b>	<b>Resource distribution pathways</b> , composed of <b>pairs of actors</b> who can influence the achievement of the <b>objective</b>  <b>Description of relationships (collaboration or conflict)</b>  <b>Analysis of drivers and blockers</b> of collaboration	<b>Pairs of actors</b> are the unit of analysis for the remaining steps of the toolkit
Step 5. Analyse drivers and blockers of collaboration		Drivers and blockers provide key information for unlocking collaboration/overcoming conflict in the second part of the toolkit
<b>PART 2: DESIGN A CO-PRODUCTION STRATEGY</b>		
Step 6. Refine the <b>objective</b>	Refined <b>objective statement</b>	Guides and focuses the strategy development
Step 7. Develop what-if scenarios (co-production strategies)	<b>What-if statements</b> that identify appropriate co-production approaches and strategy components	You will use the co-production approach(es) and strategy components identified in these statements as a basis for choosing methods and tools for implementation
<b>PART 3: PREPARE TO IMPLEMENT YOUR CO-PRODUCTION STRATEGY</b>		
Step 8. Select co-production methods and tools	<b>Workplan</b> with key parameters of the strategy including activity, output, outcome, <b>actors</b> , timeline.	The workplan is the basis for integrating the learnings from SECURE into your programme/project
Step 9. Draft a workplan		

## How to use the toolkit: your questions answered

This section tells you everything you need to know about using the toolkit: who it is for, when to use it, what you will need and how long you will need.

### Who is the toolkit for?

The intended users of the toolkit are actors, organisations, or partnerships/consortiums of more than one actor or organisation with:

- Comprehensive and detailed knowledge of the city context
- A presence in the city
- Strong relationships with city stakeholders
- The ability to convene them, and
- A willingness to influence politics and power dynamics.

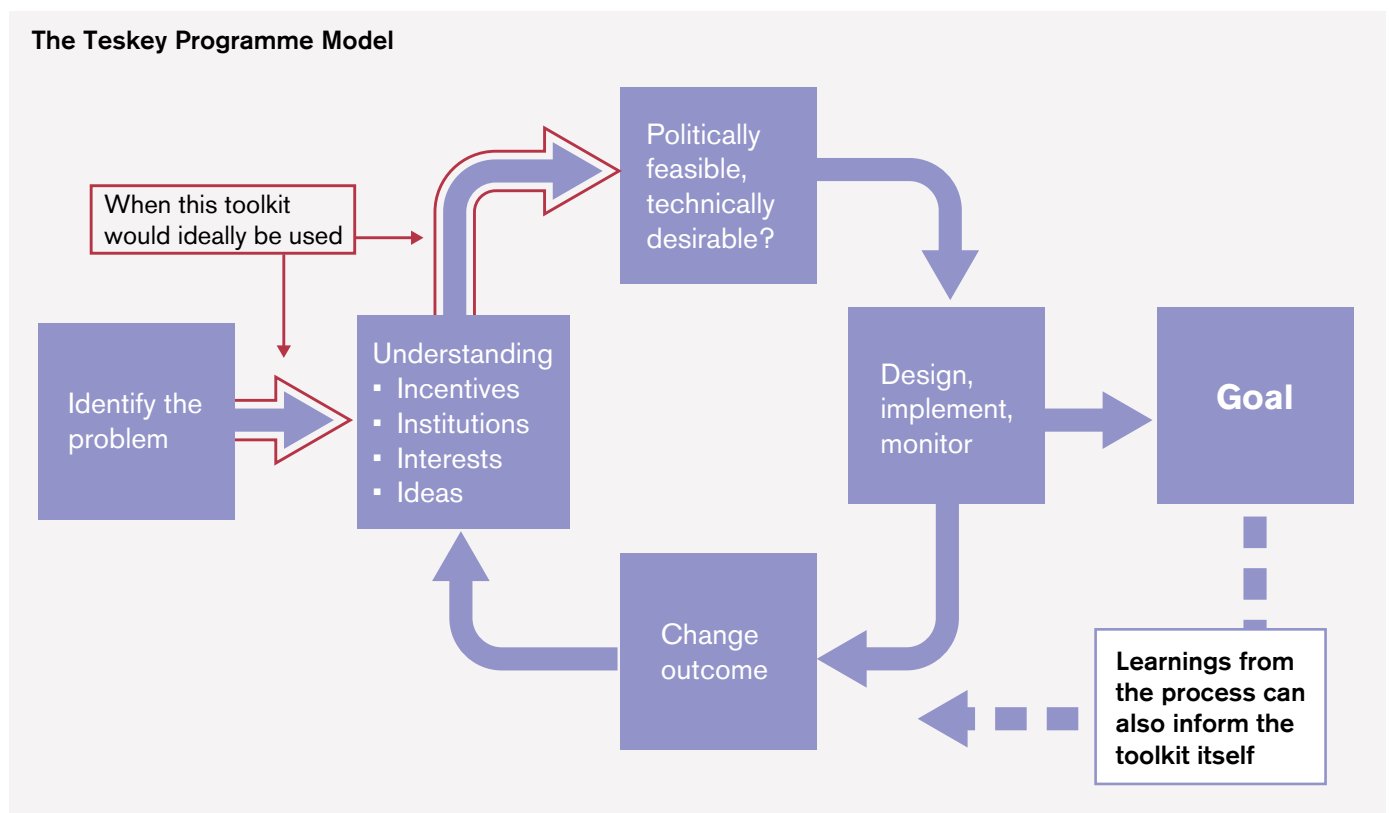
For example, a user could be a national/international research organisation that partners with a grassroots organisation that has contextual knowledge of the city.

### When should I use the toolkit?

The toolkit is ideally used at the start of a programme or project cycle, with learning integrated throughout the life of the programme or project (see Figure 2).

The toolkit is iterative in nature, and you are encouraged to revisit its steps over the course of the programme or project stages, as you gather further information and conditions change.

**Figure 2. When and how to use the toolkit**



## What will I need?

The toolkit consists of this guidance document and an accompanying Excel workbook ([https://bit.ly/SECURE\\_workbook](https://bit.ly/SECURE_workbook)). You will also need to use a mapping or whiteboard tool. This can be an online tool or a physical set-up with a flipchart, markers and Post-it notes.

## How long will it take?

An indicative timeframe for using the toolkit is approximately three months to design an intervention strategy, and one year to design and implement a co-production strategy and interventions. Timeframes can vary, depending on your understanding of the context and available resources.

## What are the different boxes for?



### Real-world examples

Throughout the toolkit, users can draw on real-world examples for clarity on how to conduct the step in question, with worked examples that draw on the experience of Participatory Research in Asia (PRIA).<sup>6</sup> These are marked with a book and magnifying glass. Users should note that, while the examples are based on PRIA's experiences, they have been simplified for the purposes of this toolkit. PRIA used the SECURE approach in the city of Ajmer in Rajasthan, India to inform the design of a programme of work designed to enhance access to climate-resilient water and sanitation services for women and girls at neighbourhood level. PRIA's overall mission is "Building capacities of citizens, communities, and institutions, to enable vibrant, gender-equal societies".



### Further information

The toolkit also includes boxes that provide extra information or deep dives on some topics. These are marked with a pencil.



### Check-ins and reminders

Finally, the toolkit includes check-in and reminder boxes, which summarise the outputs you should have at each stage and help you keep track of potential co-production interventions you think of in Part 1, to draw on in Parts 2 and 3. These are marked with a checklist for check-ins and an exclamation mark for reminders.



# Part 1: Analyse the context

# Part 1: Analyse the context

Cities are complex systems where individuals, organisations and institutions hold different and sometimes conflicting visions of urban development. They also respond to different incentives. As such, co-production interventions developed within urban labs must be informed by a thorough understanding of the city context. This includes:

- How individuals and organisations interact, sometimes forming networks to better influence urban resilience issues
- What motivates individuals and organisations to act
- How they influence urban planning and decision making, and
- How regulation and policy, as well as social norms, determine who has a better chance of accessing resources to implement their resilience priorities.

While most organisations that are interested in designing and implementing urban labs and co-production interventions will naturally consider at least some of the above, they may not do so in a structured way. **The context analysis section of the SECURE toolkit offers a structured way to tease out these complexities, helping users understand how power dynamics (see Box 1) and networks of influence shape urban development and risk.** It uses network and power analysis to explore how actors collaborate and conflict with each other.



## Box 1. Using power and power dynamics to identify entry points for co-production

**Power** is the ability to influence, control and impact the actions and lives of others. It exists in all relationships and institutions and is a fundamental part of the way society and culture works.<sup>7</sup> In policy, power can be expressed by the ability of individuals and groups to make others act in their interest, bringing about a specific outcome.<sup>8</sup>

**Power dynamics** refers to the balance of power between two or more actors when they engage with each other.

In the development and climate resilience space, it is helpful to be able to recognise power dynamics and strategic entry points for how interventions may either reinforce or transform the forms of power that sustain inequality.<sup>9</sup>

Power is exercised through relationships between actors. This toolkit analyses power through relationships between pairs of actors and the influence they have over resources.

Users will map out the **network of actors** relevant to the **objective** they want to achieve. This network will be formed by individual actors connected to each other in pairs and then connected to other pairs. The network is powerful because the actors work in a co-ordinated way, ensuring resources are distributed in a certain way. The co-production interventions users develop with this toolkit will eventually try to shape or influence the network they map out — through the relationships between **pairs of actors** — to ensure that resources reach marginalised groups.

This level of analysis helps you identify specific entry points for co-production.

## Step 1. Set the objective

**Aim:** Clearly define the issue of interest and desired objective for your co-production strategy. This will help focus and streamline your work using the SECURe toolkit.

**Time:** 30 minutes

**Activity:** Define the urban climate resilience issue that you will focus on, in a short statement that captures your desired objective and specifies your sector or subsector of interest, target group (be as specific as possible), location of interest and time horizon of interest (if applicable). The issue should:

- Relate to climate resilience of vulnerable urban groups
- Capture the attention of city stakeholders — that is, it should be something they will turn up to a meeting to discuss, and
- Be something the lead organisation has the mandate and capacity to work on.

**Output:** A statement that captures the issue and objective, along with a short rationale (2–3 sentences) that could include:

- Why this issue?
- Why this geographical focus?
- Why this particular scale (neighbourhood, ward level and so on)?
- Why this group of stakeholders?

Keep in mind that the rest of the toolkit will focus on the objective you identify in this step. See Box 2 for an example on how to articulate an issue and objective.

**Update your workbook:** Input your objective and rationale at the top of worksheet 1 in the accompanying Excel workbook.

**Good practice:** Once you have identified your objective, conduct a rapid scan of existing context analysis work in your city — for example, of stakeholders, the political economy or power — if any exists. This will help you work more efficiently by identifying gaps and focusing the context analysis on filling those gaps.



### Box 2. The SECURe approach in action: defining your issue and objective

PRIA defined the issue, target group, objective and rationale as follows.

**Issue:** Current water, sanitation and hygiene (WASH) services in Ajmer are inadequate and inaccessible for many informal settlement residents, particularly women and girls.

**Target group:** Women and girls.

**Objective:** Enhance access to climate-resilient water and sanitation services for women and girls at the neighbourhood level in Ajmer, India.

**Rationale:** Improving the accessibility of adequate water and sanitation services helps reduce risks and improve resilience for the population. The focus on WASH will draw the attention of national and municipal stakeholders who are mandated to provide these services, particularly through missions, which are issued at the national level. A neighbourhood approach will draw the attention of settlement improvement committees, citizen forums, ward councillors, welfare associations and other organisations. Focusing on women and adolescent girls as the target group is important to improve gender equality, as recognised in social inclusion guidelines that have recently been issued under the national urban transformation policy.



**Reminder:** Keep track of potential co-production interventions. As you work through the analysis, you will likely think of potential interventions that could help achieve your objective. Make a note of these in worksheet 1 in the box labelled 'Potential interventions' so you can draw on them in Parts 2 and 3.

## Actor and resource mapping

**Aim:** Develop a map containing the actors and key resources that are relevant to the issue of interest.

**Time:** Half a day

**Activity:** You can do this physically in a small workshop setting, using flipcharts and Post-It notes or index cards, or you can use an online whiteboard tool. If you do this physically, you will need to capture the outputs of the session and digitise them so you can refer to and update them later as needed.

## Step 2. Map actors with an interest in or influence on the issue

**Aim:** Identify which actors need to be on board to achieve the objective set in **Step 1**.

### Task 2.1. Identify and categorise actors

Identify and categorise all actors with an interest in or influence on achieving the objective identified, writing each actor on a Post-It note or in a text box (see Figure 3). Categorise the actors (using different colours for each category, if you wish) and reflect on whether any actors are missing in each category, or if any categories are missing.

Categories may include:

- Government (national, state, municipal)
- Private sector (formal and informal businesses)
- Civil society (local and international)
- Academic and research institutions
- Donors
- Religious groups
- Identity-based or other social groups
- Community members, such as women, girls, youth, and
- Others.

Ensure that you:

- Consider the types of actor (see Box 3). Who are the decision makers, subordinates, influencers, gatekeepers, and so on? You can make a note on the map if you want (see Figure 4)
- Be as specific as possible in identifying actors — for example, ward councillor, rather than local government
- Include your own organisation in the list, as it has an interest in achieving the objective and aims to influence the achievement of that objective. This will help you be realistic about what you can influence and how.



### Box 3. Types of actor

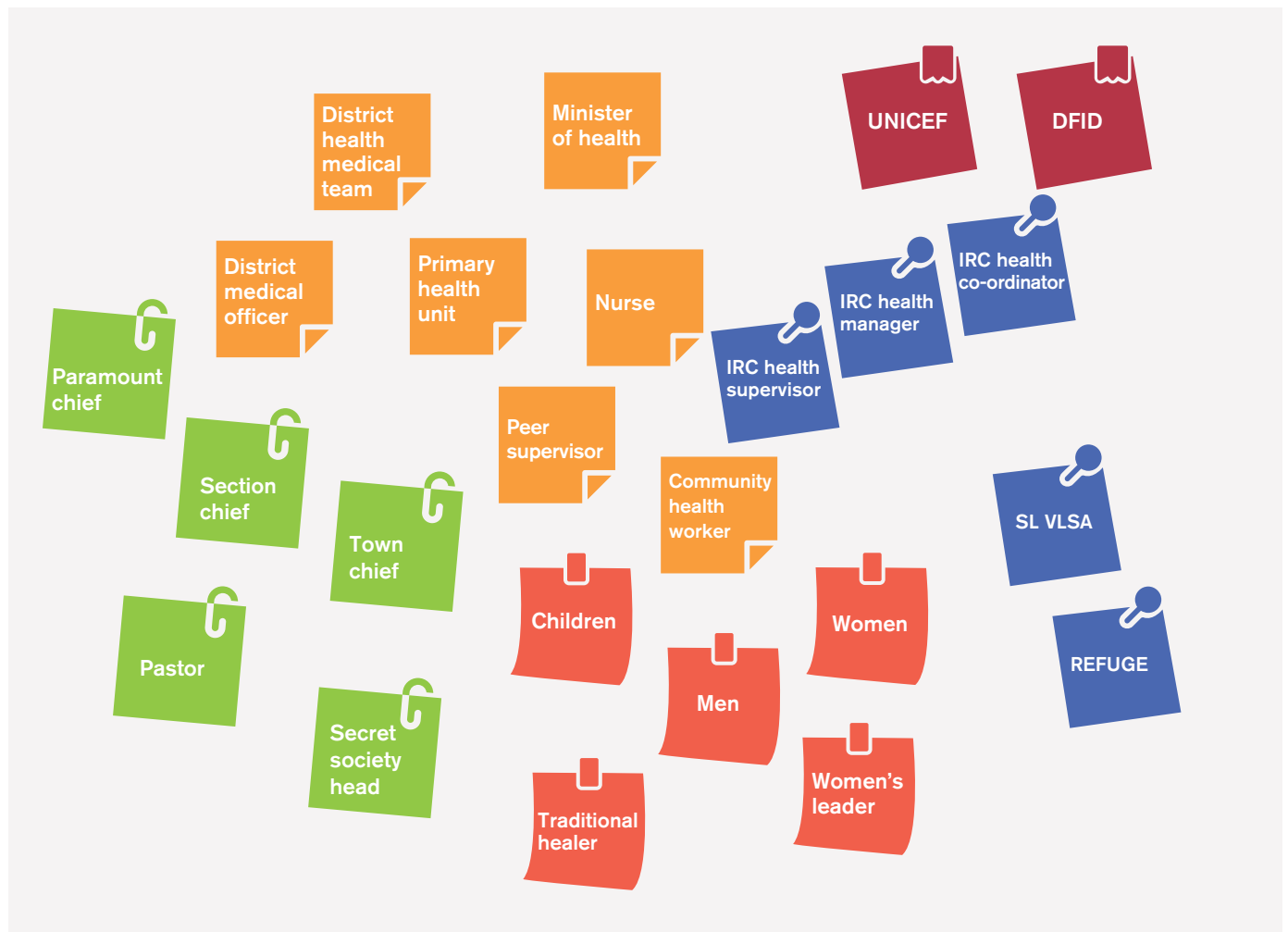
**Decision maker:** Responsible for making decisions on common resources such as land or public funding. An organisation can have multiple decision makers — for example, municipal government department.

**Subordinate:** Has a lower or less important position than decision makers within an organisation, but may still influence decisions — for example, through technical analysis or planning.

**Gatekeeper:** Controls the access to something valuable, such as resources or decision making, and acts as an entry point for the influence of other actors, who often sit beyond the organisation responsible for the planning and distribution of the valuable resource — for example, ward councillor.

**Influencer:** Changes or affects the way other actors behave but is not necessarily a decision maker or gatekeeper; tends to exert influence through gatekeepers and/or formal participation processes, such as participatory planning — for example, community leader, traditional healer.

Figure 3. Actor groups





## Box 4. The SECURE approach in action: mapping actors

The PRIA team identified the following actors:

**Ministry of Housing and Urban Affairs (MoHUA):** governs urban development issues at national level.

**Central and state finance commissions:** control government funds in a centralised manner. They develop centrally sponsored schemes, which are administered by joint secretaries and implemented in a decentralised manner — for example, by municipal departments. Funding is conditional on performance, and government auditing bodies monitor implementation.

**Municipal departments:** responsible for WASH. These include Ajmer Municipal Corporation (AMC), which manages water distribution and sanitation services, Ajmer Development Authority (ADA), which manages citywide water and sanitation infrastructures, and the Public Health and Engineering Department (PHED), which manages the city's water supply. Local decision makers are lodged in these departments.

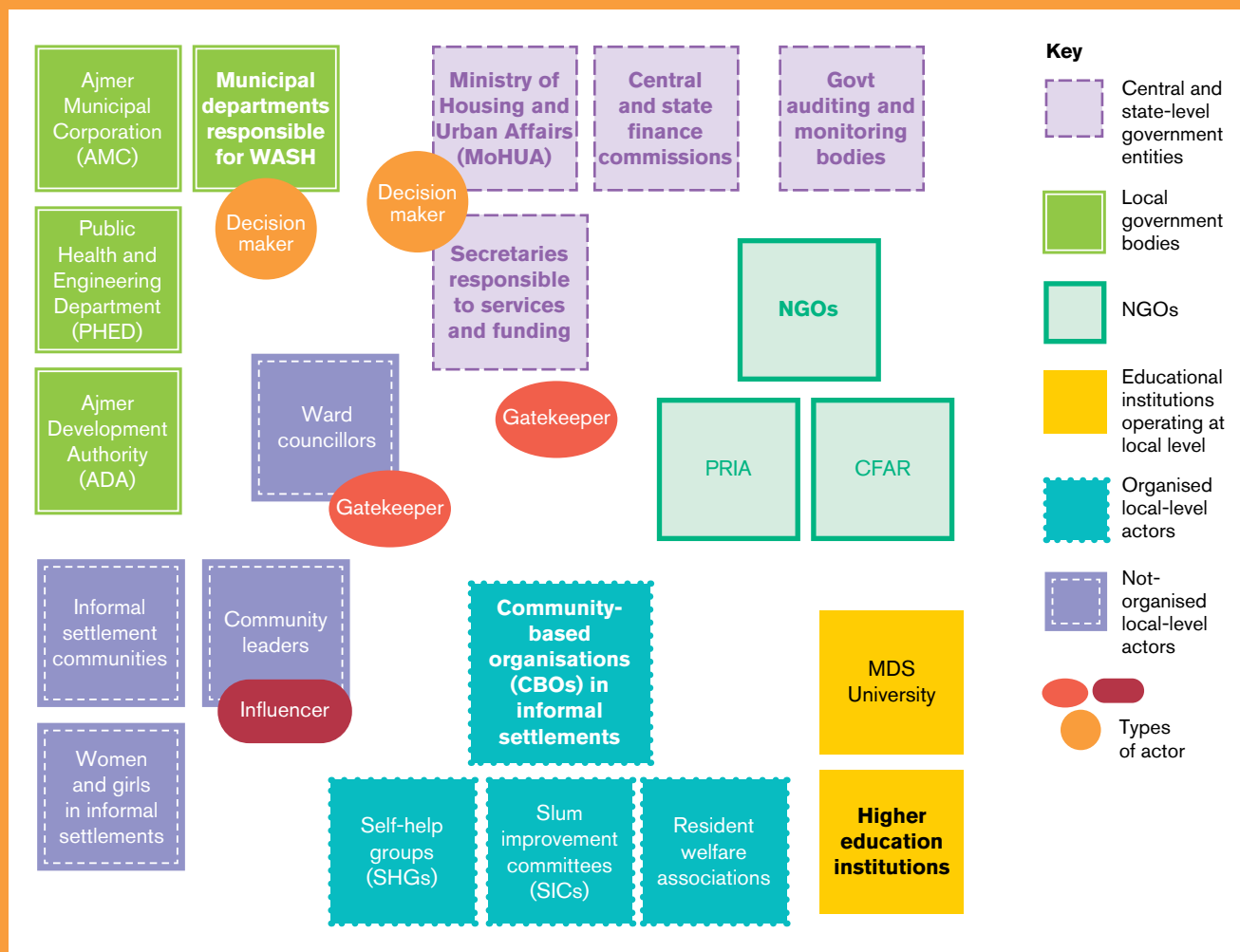
**Community-based organisations and community/citizen leaders** that represent their community (including women and girls): can serve as influencers by bridging the gap between residents and formal institutions, advocating for better services.

**Ward councillors:** play a vital role in local governance and community representation, support and advocacy, and grievance or conflict resolution; they can also act as gatekeepers, deciding whose interests are represented.

**Higher education institutions,** such as Maharshi Dayanand Saraswati (MDS) University: well respected and can play a role in joint data collection and data-driven advocacy around WASH.

**NGOs:** PRIA is an NGO active in Ajmer's informal settlements; Centre for Advocacy and Research (CFAR) is an important local partner to support implementation.

Figure 4. Groups of actors identified by PRIA



## Task 2.2. Prioritise actors (optional)

You do not have to include all actors in your network map. This optional task allows you to filter out certain actors to reduce effort and make your subsequent analysis as focused and simple as possible. An influence–interest matrix (see Figure 5) can help you determine which actors to include. You can exclude those with low influence over and low interest in the issue (lower left quadrant) from **Step 3**. If you do this, remember that you can come back and adjust the stakeholder mapping (add or remove actors) at any point in the process.

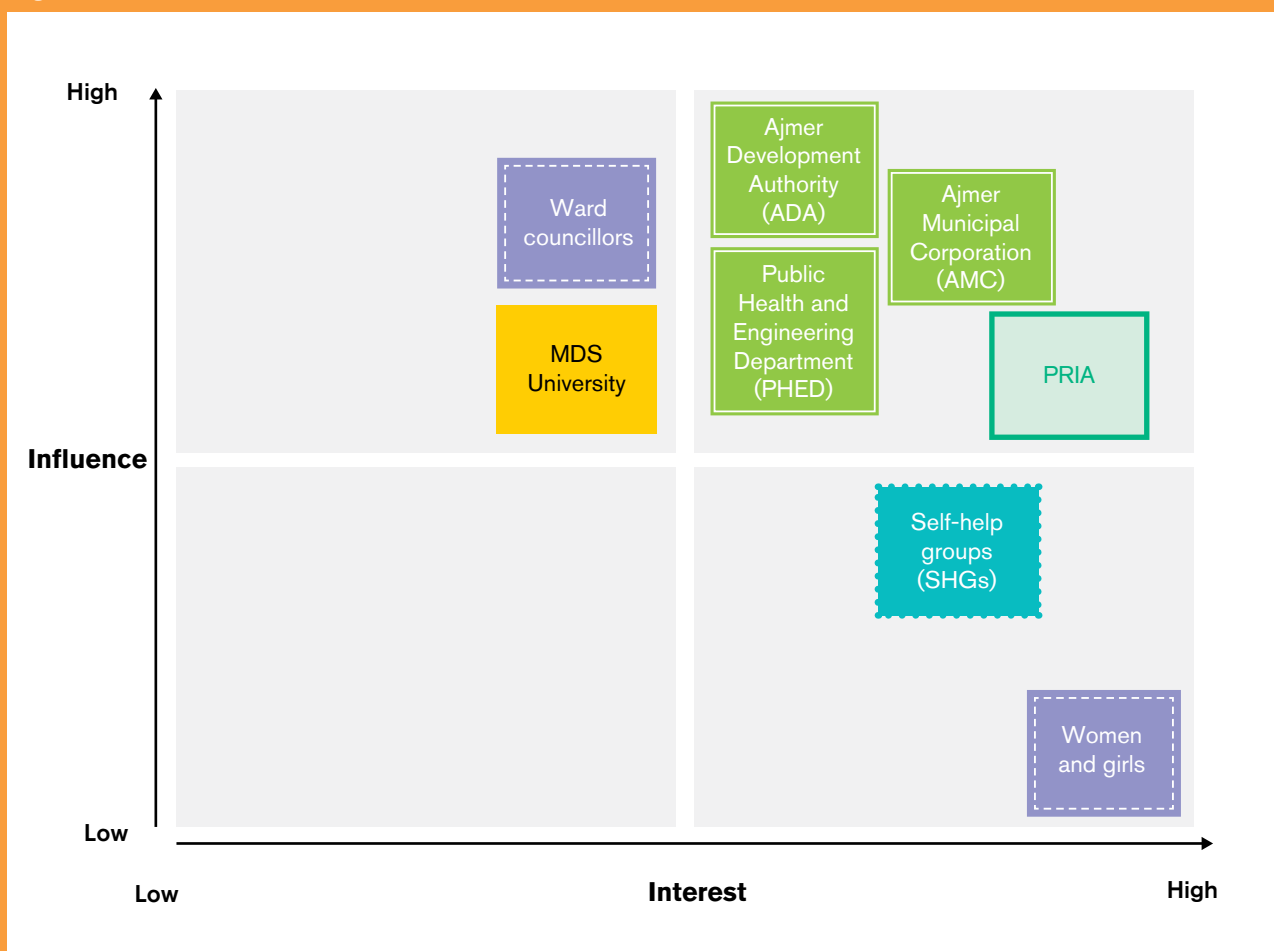


### Box 5. The SECURE approach in action: prioritising actors

The PRIA team decided to focus their efforts on:

- **Informal settlement communities, particularly women and girls**, who urgently need improved WASH services (high interest), yet have limited power to access services or opportunity to advocate for this (low influence)
- **AMC**, as the municipal department that is directly responsible for WASH provision, keeping PHED and ADA in mind as they also play a role in municipal service provision
- **Self-help groups (SHGs)**, who are active and recognised by government bodies
- **Ward councillors**, who play a vital role in local governance and community representation, support and advocacy, and help resolve grievances or conflicts
- **MDS University**, as an important, respected and influential university in Ajmer
- **CFAR**, as an important local partner to support implementation, and
- **PRIA**, because it has the capacity to work with and convene all of the above.

Figure 5. Influence–interest matrix



## Step 3. Map resources and power dynamics

**Aim:** Identify the resources available to achieve the objective defined in **Step 1**, and the actors identified in **Step 2** who access and control these resources.



### Box 6. The SECURE approach in action: mapping funds

Recognising the need for funds to enable access to WASH services, the PRIA team wanted to map what funds exist and who can use these to achieve the desired objective. Mapping funds in this way would allow them to understand whether the organisation responsible for WASH services had access to funds to deliver these services, and if not, what could help them access funds. And if they found that the organisation had the funds but was not using them for WASH services, mapping the funds would help them understand what could influence them to do so.

There are three tasks in this process:

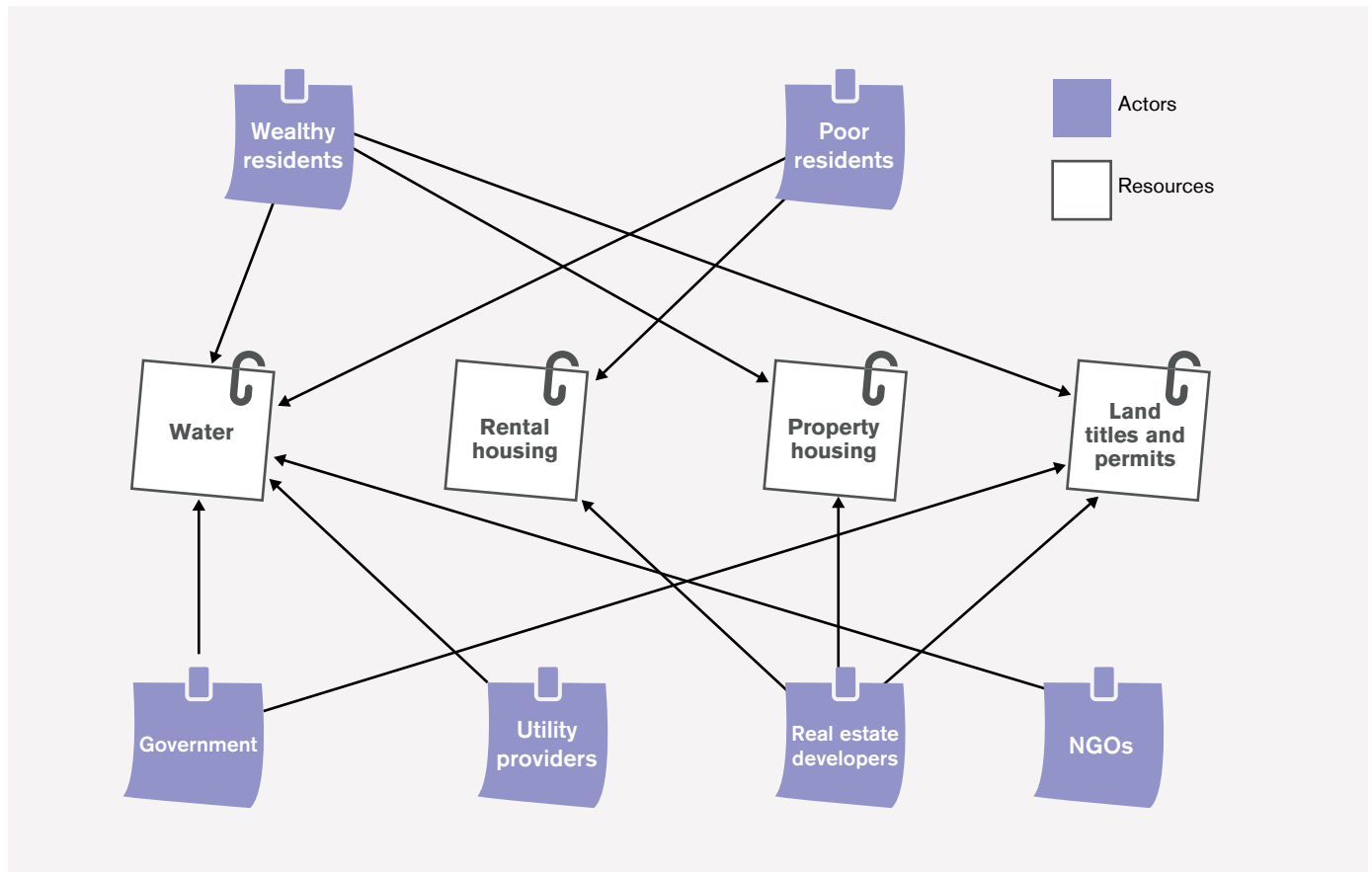
**3.1. Identify available key resources:** Building on the actor mapping from **Step 2**, map available resources — such as funding, land, permits and so on — that could have a positive impact on achieving the objective identified in **Step 1**.

**3.2. Map links between actors and resources:** You will identify actors, institutions and organisations that influence the way these resources are produced and distributed — for example, who controls the resources, and who has access to them.

**3.3. Identify windows of opportunity** in the broader policy, economic and environmental landscape that will make achieving the objective easier. These could include electoral or funding cycles, policy reform and changes in climate stresses.

**Output:** The output of this step is an actor and resources map (see Figure 6). This map will be a living document that you can come back to and refine as you progress through the toolkit and design and implement co-production interventions for urban resilience.

Figure 6. Actor and resource map



## Task 3.1. Identify key resources

**Aim:** Identify key resources that are available and could contribute to achieving the objective you defined in **Step 1**.

Identify the key resources you could use to address the issue and achieve your objective. Think about what resources could have an impact on achieving your objective, and are available but not currently accessible for the target group(s).

Table 2 provides examples of the types of key resource you may wish to consider. Not all these will be relevant for your objective, and you may wish to consider others not listed here. You should focus on the resources that can be used to achieve your objective.

**Table 2. Key resource types and examples**

Key resource type	Examples
Government funds	Central government grants, project funding
Private funds	Funds from international, national or local businesses
Land	Coastal areas, forests, green spaces providing ecosystem services, land used for housing or livelihood activities
Permits	Land titles, construction permits, water permits
Information	Socioeconomic, vulnerability or climate exposure data, climate projections, public health data, local market analysis, climate data and research
Basic services	Water, sanitation, electricity, roads

**Activity:** Capture each key resource separately on a Post-it note or text box (see Figures 7 and 8).

**Figure 7. Key resources**



### Box 7. The SECURE approach in action: identifying key resources

The PRIA team identified two key resources:

- **WASH services**, which are currently reported to be lacking in informal settlements, particularly for women and girls.
- **Government funding** for service provision, particularly central and state finances, which are channelled through national missions, such as the Atal Mission for Rejuvenation and Urban Transformation (AMRUT 2.0). AMRUT 2.0 focuses on developing basic water and sanitation services.

**Figure 8. Key resources identified by PRIA**



## Task 3.2. Map links between actors and resources

**Aim:** Identify who has access to and control over the key resources needed to achieve the objective.

Different actors, organisations and institutions will be involved in producing and distributing the resources you mapped in **Step 3**, which will affect the way other actors and organisations access these resources. Identifying who produces or controls resources, and who has access to them, will help you conduct the analysis in **Steps 4 and 5**.

**Activity:** Place each resource in the map and draw solid arrows between actors and resources, using the guiding questions below. You may want to move the actors around on the map, to place actors who exchange resources closer together. Consider all the actor types you identified in **Step 2** (see Box 3).

### Guiding questions:

- Who produces or controls the resource? Some resources — such as houses or water purification tablets — are produced, while others, such as land titles, are only controlled.
- Who has access to the resource? Is there a gatekeeper that controls access?

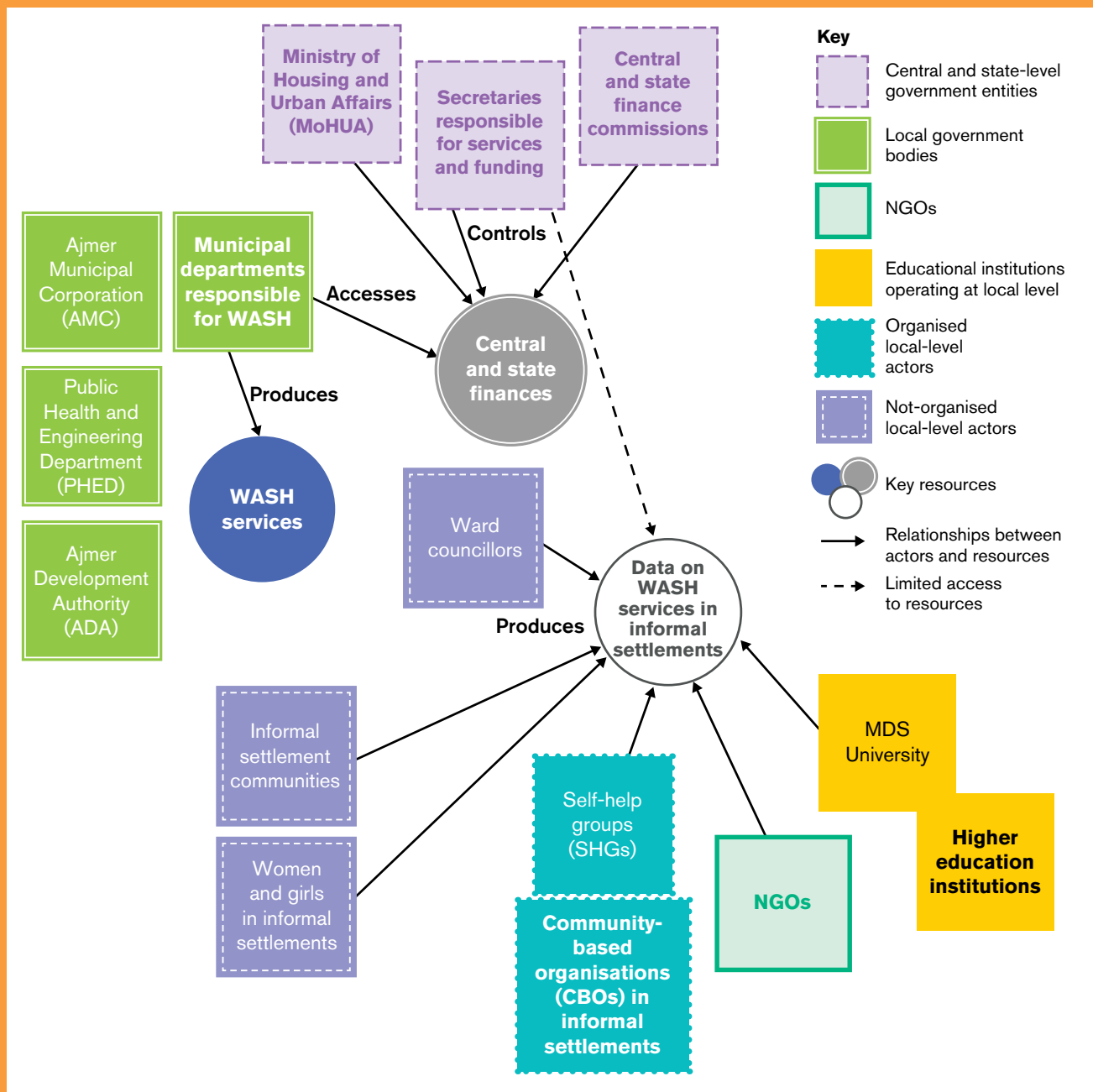


### Box 8. The SECURE approach in action: mapping links between actors and resources

Using arrows to show links between **actors** and **key resources** identified in boxes 5 and 7, the PRIA team reflected in Figure 9 that:

- **Central and state finances** are **produced** and **controlled** by central and state finance commissions, the MoHUA and central and state secretaries
- **Municipal departments can access central and state finances**, provided they produce data to demonstrate a need for funding and capacity to deliver on WASH services. However, due to governance issues this data requirement was not fulfilled and documentation was produced by the municipality without necessarily reflecting the reality of water provision on the ground.
- **Municipal departments produce WASH services**, and
- **Informal settlement communities do not have access to adequate WASH services.**

Figure 9. Relationship between actors and key resources



## Task 3.3. Identify windows of opportunity

**Aim:** Identify any upcoming opportunities that will make achieving the objective easier. Examples include:

- **Electoral cycles:** If elections are upcoming, local governments may be more receptive to citizen and civil society demands, offering an opportunity for policy change.
- **Funding cycles:** The preparation and/or approval of municipal budgets can offer an opportunity to direct financial resources toward an issue.
- **Policy reform processes:** Periods of policy reform can offer an opportunity for civil society and/or business to influence and reframe policy and regulation.
- **Increasing climate stresses:** An increase or intensification in climate-related trends and events (such as storms, hurricanes or flooding) in a city can attract funding from donors, governments or others for climate resilience activities, and incentivise municipal governments to implement policy reform.

**Activity:** Identify windows of opportunity in the broader policy, economic and environmental landscape that may make it easier to act and achieve the objective. Make note of these on your map, in separate text boxes (see Figure 10). You will use these later to determine the strategic timing of your interventions.



### Box 9. The SECURE approach in action: identifying windows of opportunity

- The PRIA team identified the following windows of opportunity that they could use strategically to support the aim of enhancing access to climate-resilient WASH services for women and girls at neighbourhood level.
- The ongoing implementation of AMRUT 2.0, which centres on WASH, means that relevant actors, including government departments, are developing plans to prioritise, improve and develop WASH services in the city, providing an opportunity to advocate for a stronger focus on informal settlements.
- Central government is promoting gender and social inclusion — for example, through the Gender and Social Inclusion Guidelines issued as part of AMRUT 2.0 — suggesting that initiatives that are working to promote gender and social inclusion are more likely to receive central and state support and funding.
- The next Central Finance Commission is anticipated to mandate that all climate action plans must include WASH for women and girls in informal settlements.
- The National Urban Livelihoods Mission provides funding for SHG income-generating activities, and it might be possible to use this mechanism to pay for WASH data collection in informal settlements. The link between the mission and SHGs could also help formalise the role of community-based organisations in WASH consultation and governance.

Figure 10. Windows of opportunity





**Check-in:** At the end of this stage, you will have the following output:

- A **map** that clearly identifies: the **key resources** available to achieve the **objective**; the **actor** that can influence the production, distribution and/or access to these resources; and any **windows of opportunity** for action.

You can update the map as you work through the toolkit and design and implement co-production interventions for urban resilience in your city.



**Reminder:** Keep track of potential co-production interventions in worksheet 1 in the box labelled 'Potential interventions' so you can draw on them in Parts 2 and 3.

## Resource flows, drivers and blockers

**Aim:** Identify and understand how key resources flow between actors in a city, what drives collaboration and conflict between actors, and other factors that shape the flow of resources. This will enable you to design an urban lab or co-production intervention that changes the way resources flow to target group(s) and helps achieve the objective you identified in **Step 1**.

**Time:** 1–3 days for initial analysis, which will be updated over the intervention timeline.

So far, you have looked at resources mostly as static items in the network map. In this step, you will look further at the flow of resources (see Box 10), and how these are distributed between actors.

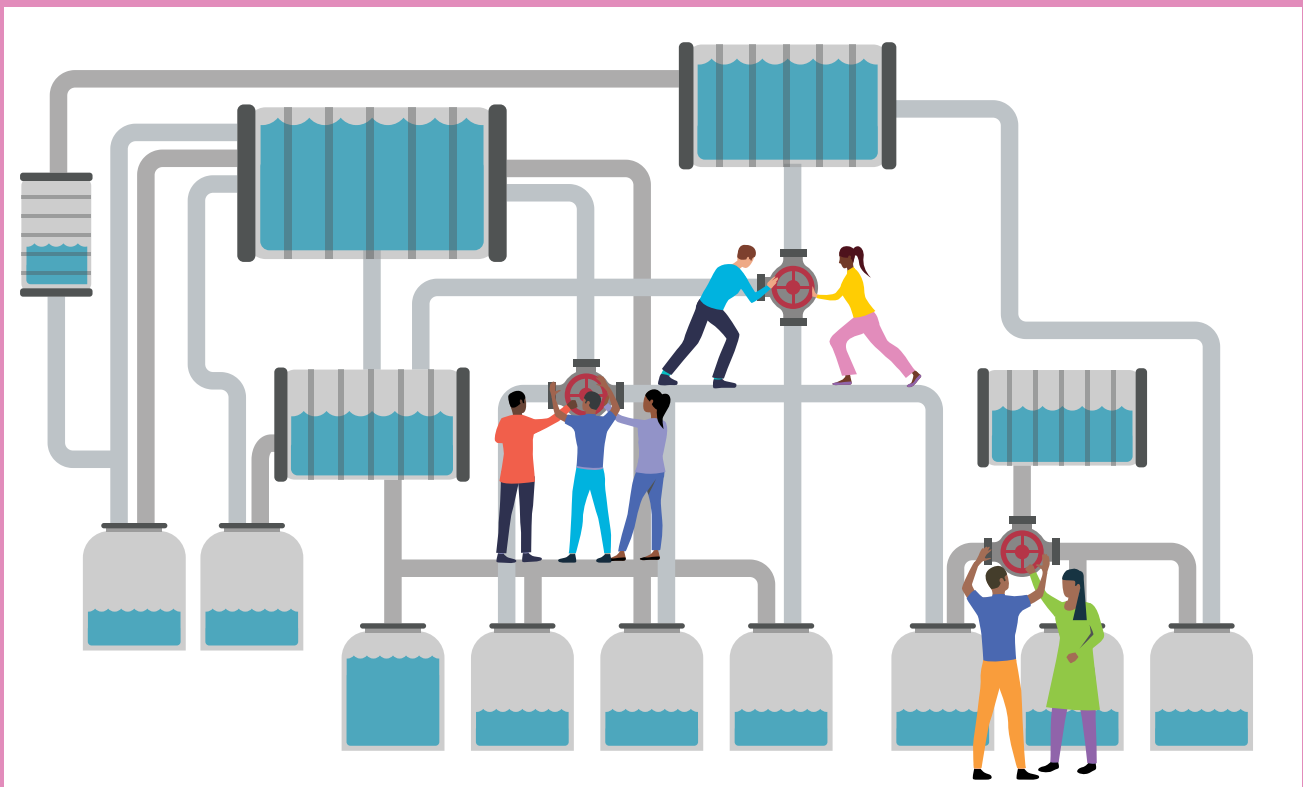


## Box 10. The flow of resources: an analogy

You can think about this step through the following analogy. Resources in a city flow like water flows through a water supply system, which includes water pipes, reservoirs and valves. These all determine the flow and direction of water and ultimately lead to different end users accessing different amounts of water.

Figure 11. Water pipes and users

The water reservoirs are like the resources you identified in **Task 3.1**. Now, imagine that the valves are controlled by groups of actors, instead of a single operator, such as those you identified in **Step 2**. Some members of these groups, clustered around a valve in the water system, may try to position the valve to ensure water flows in their preferred direction, while others may prefer a different direction. Actors with similar interests may then end up collaborating, and experience conflict with groups that have incompatible interests. In this step, you will identify collaboration and conflict relationships between actors.



**Figure 12. Valves and water operators**

What drives these actors to collaborate (or not) with each other? Why did they want to position the valve in one specific direction? Did they want to direct water to their families and friends? Did they want to ensure that water flowed to a part of the city where they have a business? Or maybe they did not want water to reach other businesses, which are competing with them for market share. In this step, you will also identify the factors that enable and constrain collaboration between actors.

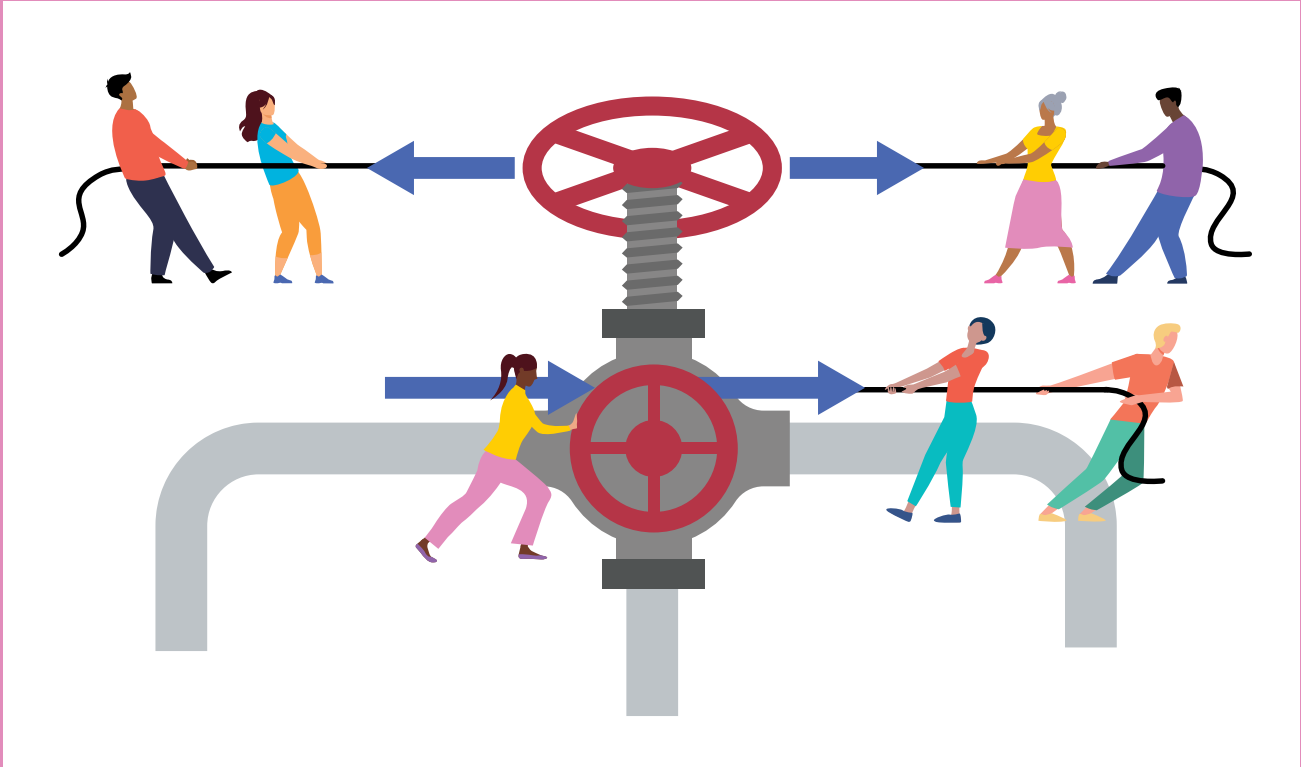


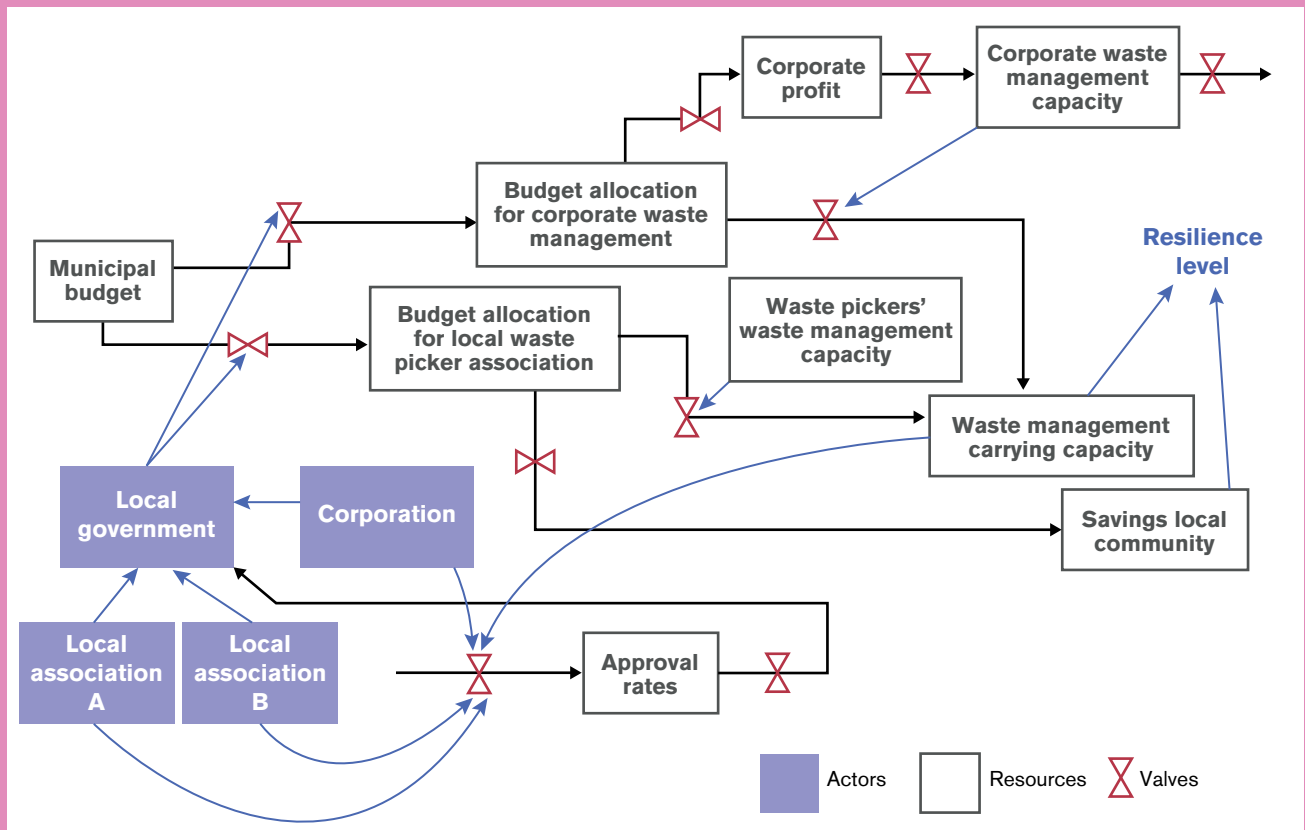
Figure 13 (on next page) illustrates flows of resources in a hypothetical city by putting forward the example of waste management and the interaction of municipal authorities, private businesses and local waste picker associations. Where the municipal government controls public funding for waste management, the private businesses and local waste picker associations can offer waste management services. Both private businesses and local waste picker associations can influence the way in which the municipality invests public funding by leveraging their ability to shape government approval ratings during electoral campaigns.

Private businesses could fund the electoral campaign of the local government, and local waste picker associations could make use of their local networks to shape public opinion in relation to the government. Responding to these pressures and opportunities, the municipality will direct public investment and therefore the flow of waste management services, with implications over who receives more regular and reliable services.

Where the private sector is better positioned to shape electoral outcomes, waste services are likely to flow towards residents who can better afford the costs and therefore contribute to the profit-making goal of businesses. Where waste picker associations are better positioned to influence elections, waste management services may be directed to those residents constituting the social networks to which waste pickers belong.

This example has shown the way in which flows of waste management services stem from how different city actors and groups influence the valves, or investment planning mechanisms, despite not being formally authorised to do so.

Figure 13. A full map: municipal funding, political approval rates and waste management services



**Activity:** At this stage, you will zoom in on the actor and resource maps you developed in **Steps 2 and 3**, to focus on a subset of actors who influence the flow of key resources from source to target group(s).

## Step 4. Map resource distribution pathways

**Aim:** Identify the path(s) along which the key resources identified in **Task 3.1** need to flow to reach the target group(s).

**Activity:** Expanding the analysis in **Task 3.2**, where you identified links between actors and key resources, you will identify a resource distribution pathway along which the resources can move from their source to the target group(s). Along this pathway, you will identify pairs of actors who need to be aligned or connected (see Box 11), and who will be the focus of your analysis in the Step 5. See Box 1 for a reminder of why we look at pairs of actors to understand power dynamics.

### Box 11. Alignment of actors

In developing resource distribution pathways, you will look at the alignment of actors. What does this mean practically, for directing resources toward the target group, and achieving your objective?

Actors are aligned when they are collaborating or could potentially collaborate because:

- They are motivated by similar incentives
- They have similar ways of framing the issue
- Existing regulation and social norms do not constrain their collaboration, and
- The way in which resources flow or could flow match the way the actors expect the issue to evolve.

If all these conditions are met, actors are in full alignment. They are in partial alignment if one or some of these conditions are met — for example, if the way they frame the issue is aligned but their incentives are not.

Carry out **Tasks 4.1–4.3** for each **key resource** you selected in **Task 3.1**.

## Task 4.1. Map out the flow

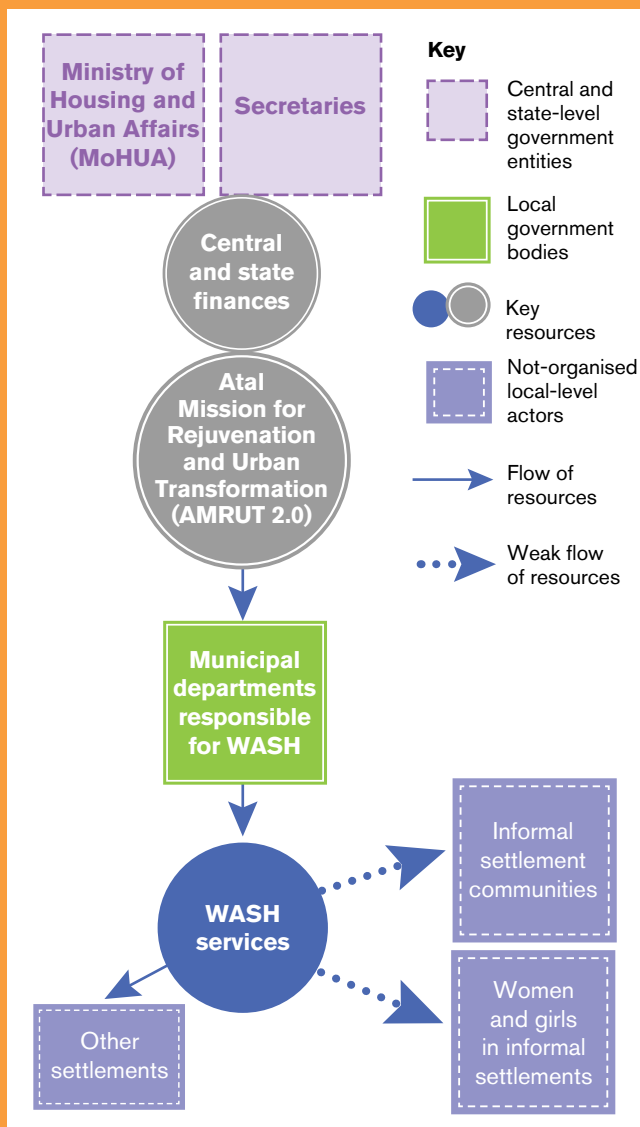
How does (or could) the resource flow to reach the target group? Create a network map to visualise these flows (see Box 12).

Some connections between actors and resources will already exist, facilitating the flow of resources, while others may be missing but need to be in place to achieve the objective. The direction of the arrow indicates the direction in which the resource currently moves or should move. Use a solid line to describe existing flows and a dotted line to describe missing flows (see Figure 14).



### Box 12. The SECURE approach in action: mapping resource flows

Figure 14. Resource distribution pathway



Using arrows to show connections between the actors and resources identified in Boxes 4 and 7, the PRIA team reflected that municipal departments:

- Are responsible for WASH service and infrastructure provision, and although other parts of the city have WASH services, reports from informal settlements suggest that WASH services are severely lacking, as shown by the dotted arrows
- Can access central and state finances to implement missions — for example, to develop WASH services.

## Task 4.2. Put the actors into pairs

For the key resources (identified in Step 3) to reach the target group (identified in Step 1), identify which actors need to be aligned and list them in pairs, such as Actor A–Actor B; Actor B–Actor C; Actor C–Actor D, and so on.

## Task 4.3. Describe the relationships between these pairs

Is the relationship one of collaboration or conflict? Collaboration and conflict can be expressed by the way in which the actor seeks to influence the use of the resources they are connected to (see Box 13). Connect actors with different kinds of arrows (see Figure 15), depending on whether their relationship is collaborative (green double-headed line); conflictual (red double-headed filled arrow); or mixed, containing elements of collaboration and conflict (orange double-headed filled arrow).

**Update your workbook:** Input the selected pairs of actors in worksheet 1 Table A and worksheets 2 and 3, and the individual actors (from each pair) in worksheet 1 Table B.

In worksheet 1 Table A, briefly describe the relationships of collaboration or conflict, and why are they collaborative, conflictual or mixed in Column E, and indicate whether the relationship between the pair of actors takes resources away from or directs resources to the target group in Column F.

Describing the relationships in terms of collaboration and conflict and whether they take resources away from or toward the target group(s) will be helpful for the analysis in Step 5, where you will further break down drivers and blockers of collaboration between actors.



### Box 13. The SECURE approach in action: mapping resource distribution pathways and identifying pairs of actors

For each key resource (see Box 7), the PRIA team identified the pairs of actors that need to be aligned for the resource to reach the target group (informal settlement residents, particularly girls and women). They also described the nature of the relationship between these pairs of actors as collaborative, conflictual or mixed (see Figures 15 and 16).

**1. For WASH services**, which are produced by municipal departments, to reach the target group, the following pairs of actors need to be aligned:

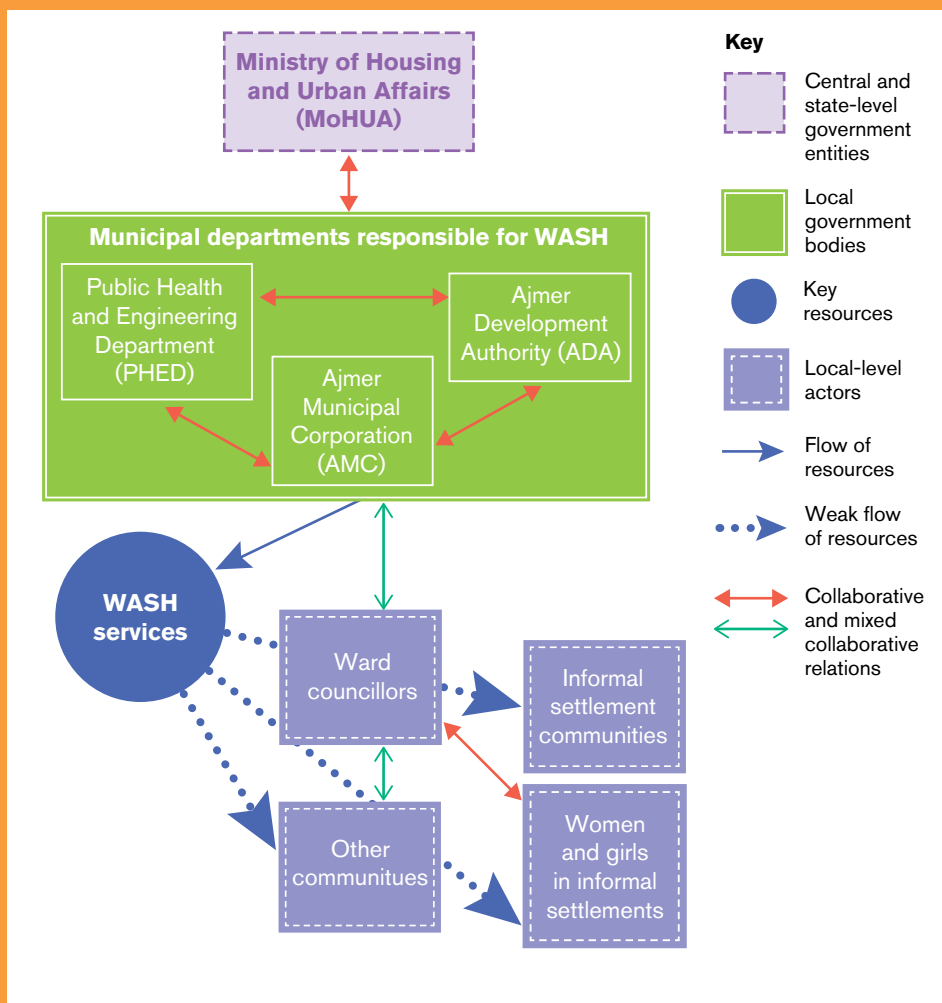
**State and central ministerial departments and municipal departments (mixed):** Because governance processes in India are centralised, if the central government prioritises WASH for informal settlements, this is likely to direct corresponding action at state and municipal levels. But if state and central ministerial departments are not aligned on the need for improved WASH services in informal settlements, it is unlikely that adequate resources will be released to promote this outcome. And if municipal departments are not aligned with the central or state ministerial departments — for example, due to party politics — the likelihood that the different levels of government will work together to provide WASH services, including to informal settlements, will be reduced.

**Municipal departments (internally) and AMC, ADA, PHED (mixed):** Multiple departments bear responsibility for WASH service provision and in theory, they are all aligned on this front. But in practice, internal politics and overlapping mandates can make it harder to deliver the WASH services in a streamlined manner.

**Municipal departments and representative ward councillors (collaborative):** If a ward councillor is not influential, they may be unable to influence the AMC to improve WASH services in that ward, and as a result, other wards will be prioritised. In Ajmer, where PRIA focused on two wards, the councillor in one ward was extremely engaged on, and influential about, the issue, whereas the councillor in the other ward was not engaged and showed little interest in advocating for improved WASH services in informal settlements.

**Representative ward councillors and informal settlement communities (mixed):** Ward councillors typically seek to collaborate with ward residents to improve their ward, but some are not supportive of informal settlement communities. If the ward councillor is not aligned with the community and prefers to work with wealthier households in the neighbourhood, they are likely to divert WASH services from informal settlements.

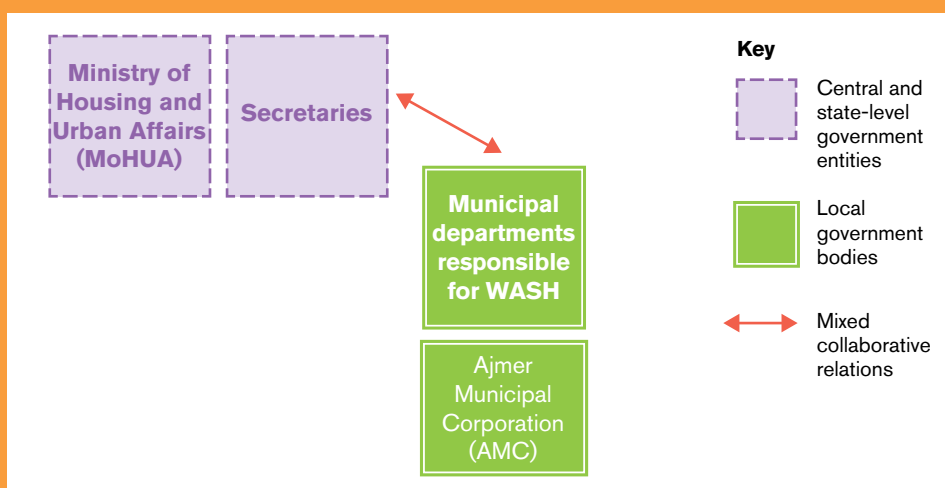
Figure 15. Relationships between pairs of actors: municipal-level funding



2. For central and state funds for WASH services from AMRUT 2.0 to reach the municipal departments responsible for providing WASH services in Ajmer, the following pair of actors need to be aligned:

**State and central ministerial departments and municipal departments (mixed):** Funding for sectoral missions requires a directive from central government, so for funding to be released to state and city levels, all levels of government need to be aligned. If there is no central directive around WASH in informal settlements, municipal departments will not take action on that front.

Figure 16. Relationships between pairs of actors involved: state-level funding



**Check-in:** At this stage, you will have the following outputs:

- **Resource distribution pathways** for each key resource composed of connections between pairs of actors around each key resource, illustrated as a map.
- A description of the **relationships between pairs of actors** as **conflictual** or **collaborative**.

## Step 5. Analyse drivers and blockers of collaboration

**Aim:** Analyse what drives and blocks collaboration between city actors and how this affects the flow of key resources (identified in **Step 3**) towards or away from the target group(s) (identified in **Step 1**).

In **Step 4**, you indicated whether relationships between actors are collaborative or conflictual. In this step, you will further examine the drivers and blockers of collaboration that underlie these relationships. This will help you design a co-production strategy (in Part 2) that changes the way resources flow to reach the target group(s) and achieve the objective.

**Activity:** Analyse drivers and blockers under four categories: social norms, framing the issue, resources and incentives, and regulation. We will look at each of these in turn.

**Update your workbook:** Complete worksheets 1–3, following the guidance below.



**Reminder:** Keep track of potential co-production interventions in worksheet 1 in the box labelled 'Potential interventions' so you can draw on them in Parts 2 and 3.

### Task 5.1. Reflect on social norms

Using the following questions to guide you, reflect on how social norms (see Box 14) impact relationships and power dynamics overall in the context of your issue.

- How do social norms influence decision making?
- Whose knowledge and understanding of risk matters when it comes to decision making and planning?
- Are any social groups excluded from decision making?
- How does privilege and social status, associated with intersectional identities, translate to access and control over resources?
- Are there patronage networks with government officials, political parties, businesses and so on that influence the way resources are distributed and controlled?

This step does not focus on pairs of actors; rather, it takes a more general approach. This is because social norms often apply more generally in a given city context and are unlikely to change with every pair of actors. In Part 2, you will draw on your analysis of social norms when looking at pairs of actors.

**Update your workbook:** Input your answers in worksheet 1 Table B.



#### Box 14. Social norms and intersectional identities

**Social norms** are unwritten rules of behaviour shared by members of a given group or society. They are informal, often implicit rules that most people accept and abide by. For example, gender role expectations in patriarchal societies tend to exclude women from positions of power and decision making. In some countries, people from higher castes often have access to jobs and opportunities that grant them greater decision-making power than those from lower, more marginalised castes.

**Intersectional identities** refer to the fact that the social norms applicable to each person are seen through a matrix of categories, including gender, race, caste, ethnicity, age, religion and class.

Social norms can interact with intersectional identities in different ways. For example, in the United States, a Black woman and a White woman may not have access to the same educational and job opportunities.



### Box 15. The SECURE approach in action: identifying social norms

The PRIA team identified the following social norms that impact relationships between selected actors in Ajmer.

**Gender:** Women's participation in governance and decision making remains limited due to entrenched gender norms. For example, in one ward, a female ward councillor holds a formal position of power, but her authority is undermined by patriarchal dynamics, and the decision-making power rests with her husband.

**Caste:** Members of informal settlements are generally excluded from decision making, particularly if they are identified as lower and marginalised castes.

## Task 5.2. Frame the issue of interest

Using the following questions to guide you, briefly describe how each actor (identified in **Step 2**) would frame the issue of interest you defined in **Step 1**:

- How would the actor describe the issue?
- How would they frame their preferred solution to the issue?
- Why is this the preferred solution?
- What assumptions underpin their framing? For example, does this actor value economic growth, inclusive development, a specific city image (smart, sustainable, modern and so on), social redistribution or national development?
- Do they use religious beliefs or political ideologies to justify these framings? If so, how?

**Update your workbook:** Input your answers in worksheet 1 Table B.



### Box 16. The SECURE approach in action: framing the issue

The PRIA team identified that the selected actors framed the issue the following ways.

**Secretaries under MoHUA:** Have a mandate to implement missions and central directives, including to provide WASH services to their citizens. The existence of AMRUT 2.0 means that WASH is a priority, and gender is a priority within WASH. Better WASH services means fewer health issues, reducing public health expenditure and making people available to be involved in local economic development.

**Municipal departments responsible for WASH:** Have a mandate to provide WASH services to their citizens but may frame other neighbourhoods as being priorities.

**Representative ward councillors:** Represent community interests, so are likely to support community demands for improved WASH services. But different ward councillors may assign different priority to WASH.

**Informal settlement communities, including women and girls:** WASH services are lacking. There is urgent need for improved WASH services for better living conditions, health and so on. Many residents feel excluded.

**SHGs:** Although they focus on building livelihoods, group members are women from informal settlements who recognise the urgent need for improved WASH services in their communities and settlements. Many feel excluded from decision making and that their grievances are unheard or ignored.

**NGOs:** Recognise that WASH services are unevenly distributed and this needs to be redressed, particularly for low-income marginalised populations.

**MDS University:** Are interested in practical research, including on WASH.

Working by pair of actors and based on each actor's framing, determine whether framings within the pair are aligned, misaligned or partially aligned. Actors with a conflictual relationship (as identified in **Step 4**) may have misaligned or partially aligned framings.

**Update your workbook:** Input this information in the corresponding cell in the matrix in worksheet 2, highlighting the pairs of actors with framings that are misaligned or partially aligned where you see an opportunity to align framings. Opportunities exist where you think actors could be influenced to change their framings. You will revisit these in **Part 2** when designing a strategy for co-production.



**Check-in:** At this stage, you will have the following output:

- **Pairs of actors** whose ways of framing the issue are misaligned or partially aligned, and opportunities to align framings.

## Task 5.3. Identify incentives and intermediary resources, and influence capacity

**Aim:** Identify pairs of actors where there is an opportunity to strengthen the alignment of their incentives and direct resources to the target group(s).

**Activity:** For each actor you mapped in **Step 4**, analyse their capacity to influence other actors and how their different influence capacities shape the flow of resources in the city. Bear in mind that the ability of Actor A to influence Actor B depends on what motivates Actor B and the resources Actor A has that might appeal to Actor B's needs. For example, if one person needs water and another person owns a well, the well owner might use their control over the water to influence or make demands from the person who needs water.

Carry out **Tasks 5.3.1 and 5.3.2** for each key actor you selected in **Step 4**.

### Activity 5.3.1. Identify each actor's incentive(s)

**Aim:** Identify each actor's incentive(s) to act on the urban climate resilience issue that you are focusing on.

**Activity:** Briefly describe (in 1–2 sentences) each actor's incentive(s) with regards to the issue you are trying to address. What motivates them to act according to a particular agenda around this issue? Motivations can include:

- **Profit maximisation:** Business actors want to maximise profit to remain financially stable and to grow; this could be to the advantage or disadvantage of the issue of interest.
- **Financial autonomy and investment capacity:** Local governments may seek to raise taxes to increase their investment capacity in basic services and infrastructure development, or develop their financial autonomy and independence from other sources such as the central government.
- **Political recognition and legitimacy:** A government may look to strengthen its legitimacy by becoming more transparent, accountable and responsive to citizens' needs. Legitimacy and political recognition can help increase a government's chances of re-election.
- **Technical recognition, expertise and knowledge:** Research organisations, NGOs, consultancy firms or municipal governments may wish to be seen as capable and skilled, complying with industry standards, while deploying research or services, or designing and implementing international grants, to more effectively compete for and access funds.
- **Community trust:** Civil society organisations (CSOs) may seek to better understand and align with community priorities, communicate in accessible language and present themselves in relatable ways to community members to gain trust and, in turn, influence over community (political) choices. Some CSOs may seek to follow this strategy to ultimately enhance their ability to influence government decisions.

**Update your workbook:** Input your answers in worksheet 1 Table B.

## Activity 5.3.2. Identify intermediary resources produced or controlled by each actor

**Aim:** Identify the intermediary resources that actors can use for leverage or to gain influence over other actors.

In **Step 3**, you identified key resources — such as government funding or construction permits — that could be directed towards the target group to contribute to achieving your objective. Now, you will identify different kinds of resources that actors can use for leverage or to gain influence over other actors. In the example given at the beginning of **Task 3.3**, the well is an intermediary resource that the well owner leverages for influence, rather than a key resource that directly impacts the objective of your intervention.

**Activity:** Considering actors' motivations and incentives, which you identified in **Activity 5.3.1**, identify the intermediary resources they produce or control that they could leverage to influence other actors. Use the typology of intermediary resources in Box 17 to guide you.

In analysing the incentive structure, you may find that some intermediary resources play a key role in directing the flow of the key resource to the target group. PRIA, for example, identified data as an intermediary resource required to unlock the key resources of funding for WASH services (see Box 18). Data can be an important intermediary resource for co-production interventions, but there may be others, too.

**Update your workbook:** Input your answers in worksheet 1 Table B.



### Box 17. Intermediary resource typology

**Economic/financial resources:** Where municipal governments value economic development, businesses that can provide significant investment to strengthen economic activities, increase employment and pay taxes may be able to negotiate and influence the government. On the other hand, where municipal governments have reliable funding from central government, they will be less susceptible to influence by private businesses.

**Control of institutions:** A political party governing a city has institutional power to determine municipal budgets and spending, decide how to deliver services, award contracts for service delivery, assign permits for construction or land tenure, and so on. They can use their control over these institutional powers to influence other actors, such as businesses seeking municipal contracts or real estate development permits.

**Legitimacy/authority:** As political parties need the support of their constituency to continue governing, approval ratings are a resource for a government to maintain legitimacy. Actors who can influence approval ratings, whether positively or negatively, are likely to be able to influence government decisions. In other contexts, social norms may confer authority. For example, in a patriarchal system, elderly men may enjoy a (moral) authority which gives them the ability to influence others, including women and youth.

**Knowledge and evidence:** Where decisions are driven by evidence, organisations with the ability to produce research and data can influence other actors. Knowledge and evidence are more credible and influential when underpinned by unbiased, independent and rigorous research. But, whatever their knowledge and evidence, not everyone has the same ability to influence. Different methodologies have different degrees of recognition and therefore different levels of influence. For example, scientific and expert knowledge tends to be more valued than local knowledge.

**Capacity to self-organise:** Groups that can organise themselves can influence other actors. Being able to self-organise includes having the capacity to:

- Develop common goals and agendas
- Mobilise support and resources from members
- Agree on decision-making mechanisms
- Develop formal or informal norms to guide members' actions
- Monitor actions and outcomes, which allows for learning and adjusting objectives, strategies and resource use, and
- Establish mechanisms to resolve internal conflict and enforce agreed regulation.

For example, a well-organised CSO may be able to leverage its membership base, develop an advocacy campaign and shape government approval ratings.

**Land and natural resources:** Economic and social activities — including tourism, trade and social, community and family life — require the use of land and natural resources. Private owners and institutions who control the use of and access to such resources can therefore influence community members and economic actors.

**Activity:** For each intermediary resource you identify as critical in directing the flow of the key resource towards the target group, return to **Steps 3 and 4** and work through them again, focusing on the intermediary resource. You will then move on to **Activity 5.3.3** and **Task 5.4**.

**Returning to Task 3.2:** When mapping the links between actors and the newly identified intermediary resource, you may need to add additional actors to your map and draw new links to show who produces, controls and/or accesses this resource (see Figure 18).



### **Box 18. The SECURE approach in action: identifying intermediary resources**

The PRIA team discovered that data was an important intermediary resource, as central and state finance flows are conditional on certain data-driven indicators. This means that data on WASH services are key for unlocking funds for their provision.

Although municipal departments monitor WASH at city level, they do not collect WASH service data in informal settlements. Without adequate data, it is difficult to build the case for additional funds to improve or develop WASH services in these contexts.

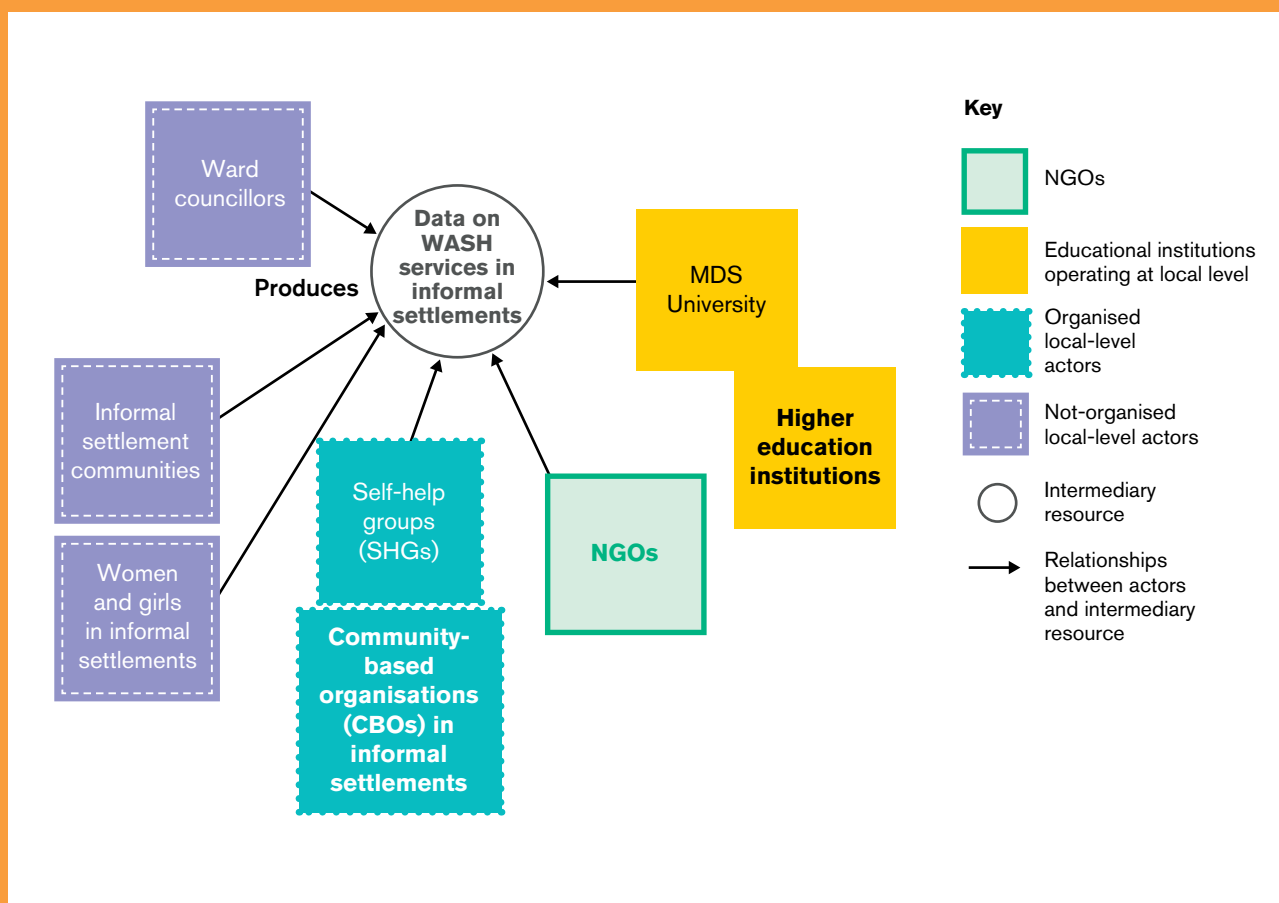
**Figure 17. Intermediary resource identified by PRIA**



Returning to **Task 3.2**, the team mapped the links between WASH service data and relevant actors and found that the following actors have the potential to produce data on WASH services in informal settlements:

- SHGs, whose members are women in informal settlements, who have first-hand experience of WASH service deficits
- Ward councillors, who have a general understanding of the quality and quantity of WASH services — for example, from grievances shared by community members
- NGOs, which sometimes conduct participatory research with informal settlement communities, including on WASH services, and
- Universities, which sometimes conduct research in informal settlements, including on WASH services.

**Figure 18. Relationship between actors and intermediary resources**



While all actors identified have the potential to support data production and collection in informal settlements, their respective abilities to inform and influence decision making is limited.

**Return to Step 4:** You will probably identify additional pairs of actors that need to be aligned to direct the flow of the key resource to the target group. Develop new resource distribution pathways that illustrate these resource flows (see Box 19).



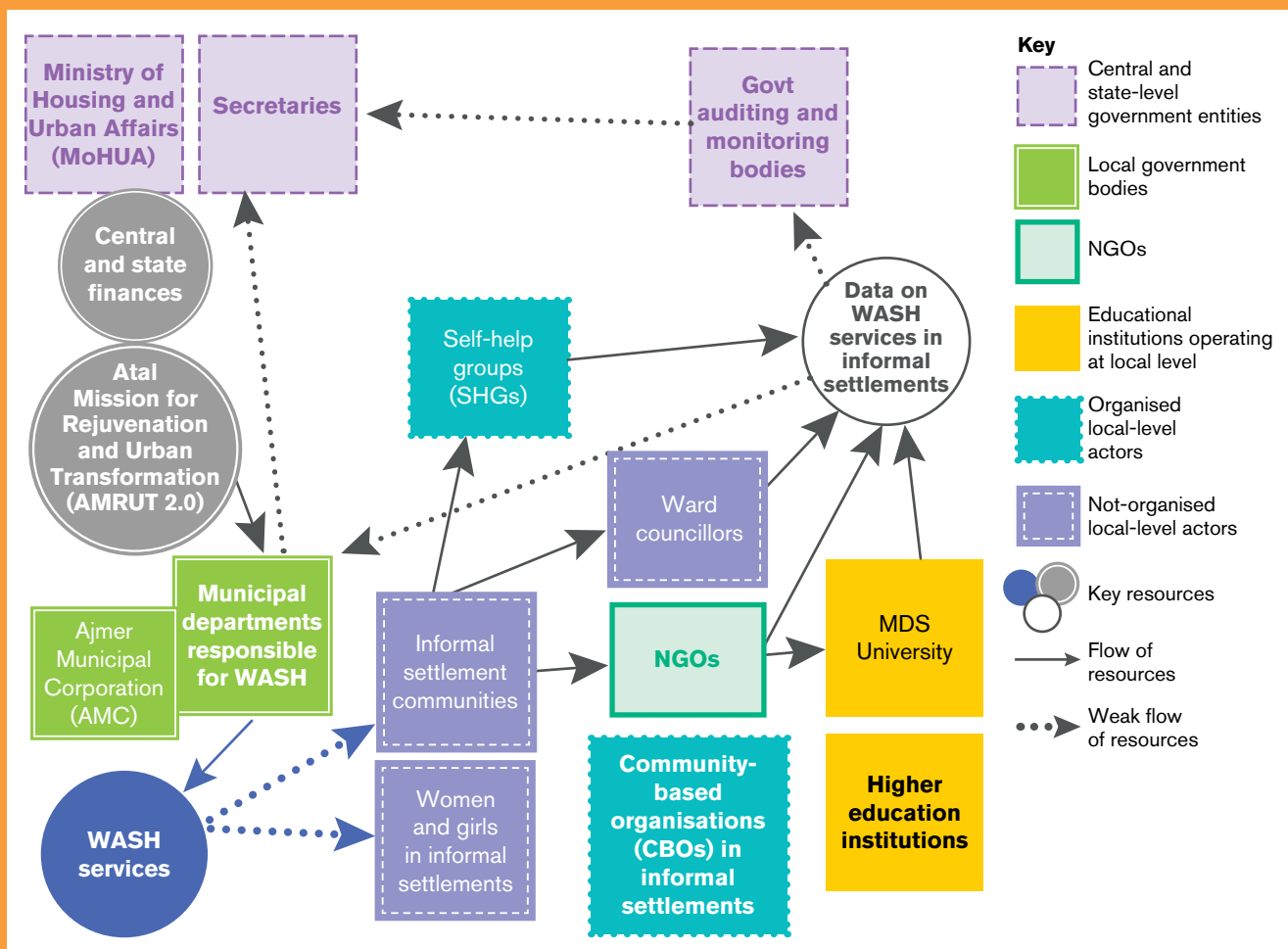
### Box 19. The SECURE approach in action: mapping new distribution pathways that illustrate resource flows

Returning to Step 4's intermediary resource of data, the PRIA team first mapped the flow of resources to ensure key resources reach the target group. They then identified (additional) pairs of actors who need to be aligned to ensure the intermediary resource unlocks the flow of the key resource to the target group, describing the relationship between these pairs of actors as conflictual, collaborative or mixed.

Building on their work in Box 12, the team created an updated resource flow map (see Figure 19), showing how data (intermediary resource) were required to unlock funding for WASH services (key resources). The purple dotted lines (missing connections) indicate that:

- Municipal departments do not collect enough data on WASH services in informal settlements
- Due to insufficient data on WASH in informal settlements, central government cannot hold the municipal government accountable for providing those services, and
- There is no independent or external mechanism to feed these data to the central government.

Figure 19. Resource distribution pathways, including intermediary resources



Building on their work summarised in Box 13, the team then identified additional pairs of actors that needed to be aligned for the intermediary resource (data) to unlock the key resource (WASH services) for the target group, describing the nature of the relationship between the pairs as collaborative, conflictual or mixed, via different kinds of arrows (see Figure 20).

Several actors — NGOs, SHGs, and MDS University — emerged as a potential group of informal settlement supporters that needed to be aligned with informal settlement communities for data production and collection. In turn, as a group, they needed to be aligned with the municipal department.

Selected pairs of actors include:

**Informal settlement communities and NGOs (collaborative):** These actors both want to work with each other. NGOs can provide informal settlement communities with support and advocacy with regards to WASH service provision.

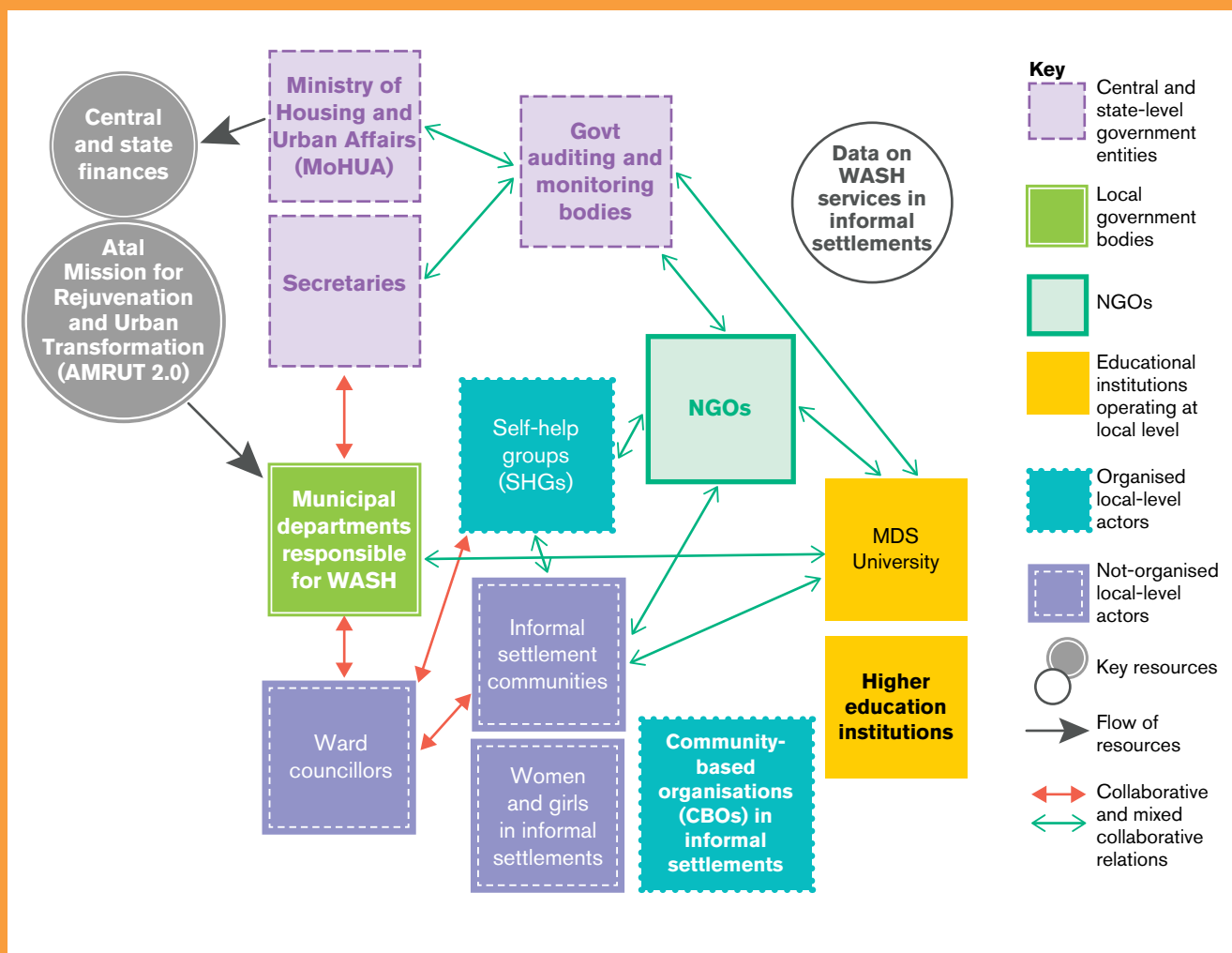
**Informal settlement communities and SHGs (collaborative):** SHGs are part of informal settlement communities and want to have access to improved WASH services.

**Informal settlement communities and MDS University (collaborative):** Both these actors have an interest in better WASH service provision.

**NGOs and MDS University (collaborative):** The university has little experience of conducting research in informal settlements, while NGOs have a lot of experience and can facilitate access and support capacity building on participatory research, which the university is mandated to undertake. The university can provide academic rigour and evidence to NGOs for advocacy on better provision of WASH services.

**Informal settlement supporters (NGOs, SHGs, MDS University) and municipal departments (collaborative):** The group of actors who support informal settlement communities are in general aligned with the municipal government. NGOs typically seek to support municipal departments.

Figure 20. Relationships between all pairs of actors required to unlock the key resource



The team also reflected that it was necessary to establish a systematic approach to collecting data that can be accessed and used by the municipal department responsible for WASH, to help these departments access funds for the data-driven development of WASH in informal settlements. At the same time, these data provide the community, NGOs and other organisations with evidence to advocate for improved WASH services, including by sharing information with the central and state authorities, donors or others that have the power to direct funding and mandate service improvements for improved WASH services.

By co-producing data and feeding these data upwards, different actors can help unlock funding for WASH services.

Now that you have identified the intermediary resources produced or controlled by each actor, continue working through the toolkit with both the key and intermediary resources.

### Activity 5.3.3. Describe each actor's influence capacity

**Aim:** Analyse each actor's capacity to influence resource flow towards the target group.

**Activity:** Looking at the pairs of actors, reflect on each member's incentives and the resources they produce, control or access to describe their influence capacity. Summarise this through a statement of influence for each pair, reflecting how one actor's influence over another is shaped by their incentives and the resources they control. State how these factors could influence the flow of resources towards the target group. Ensure you do this in both directions, looking at how Actor A influences Actor B and vice versa.

If you wish, you can use the following format as guidance:

Actor A's motivation is X. This motivation is shaped by resource Y. Actor B controls/has access to resource Y. This means that Actor B can use resource Y to influence Actor A.

This influence can/cannot be used to direct the flow of the key resource (identified in Step 3) towards the target group  
OR

This influence is currently used to direct the key resource flow away from the target group.

For example, the key resource is government funding for health services, and the pair of actors is the local government (Actor A) and a local business (Actor B). The government is motivated by elections, which are shaped by funding, because funds can be used for electoral campaigns. A business has money to fund electoral campaigns and provides funds to a political party that frames health services as best delivered through the private sector. In this context, given the government's incentive and the business' resource, the business can influence the government by leveraging its resource. The business' influence is likely to lead to public divestment in health services and therefore less key resource (government funding) for the issue in question (health).

**Update your workbook:** Input your answers to the matrix in worksheet 3.

An additional dimension to consider is the strength of an actor's influence capacity over another — is it strong or weak?

One indicator of the strength of an actor's influence capacity over another is based on access to resources. For a pair of actors, this depends on the extent to which one actor can access similar resources from different sources. The more ways that Actor A can access a resource, the weaker the influence of Actor B. In the example above, if Actor A (the local government) can access resources (funding) from another source such as the central or state government or electoral trusts, then Actor B's (the business) influence capacity over Actor A is weaker. Consider these scenarios:

- **Concentration of private capital:** Where there are many businesses that can pay taxes and meet the needs of a municipal government, the government may have greater capacity to negotiate with them. Conversely, when investment funding is highly concentrated in the hands of few businesses, these businesses are likely to be more influential.
- **Government funding:** Where a municipal government receives all its funding from the central government, it is likely to prioritise meeting top-down directives and regulations over responding to the demands of local constituencies.

- **Civil society:** Where there are few local organisations with great capacity to influence public opinion and government approval rates, these organisations may be very influential. On the contrary, where civil society is fragmented, the government may have less accountability and more negotiation capacity when it comes to public duties and services.
- **Investment environment:** Where there are opportunities for private investment and businesses enjoy an environment where they can easily divest and reinvest funds, they will have greater negotiation capacity with government institutions that control natural resources and land.

**Update your workbook:** Indicate the strength of influence in worksheet 1 Table A (Column G) as weak or strong. Add a short justification based on access to other resources as described above, or other factors you think relevant.



### Box 20. The SECURE approach in action: describing pairs of actors' influence capacity

The PRIA team described the influence capacity of pairs of actors as follows.

#### Example 1. Municipal departments responsible for WASH and ward councillors

**Municipal departments** are motivated by political recognition and accessing more funds. Ward councillors can contribute to departments' ability to deliver services and receive political recognition, thereby making them more competitive for funding. Ward councillors can also hold municipal departments accountable. They can exert influence over municipal departments to provide services by making their ward's support conditional on service delivery and could use this influence to direct WASH services towards informal settlements.

**Ward councillors** are motivated by political recognition and improving living conditions in their settlements. Municipal departments are critical to achieving this and can use WASH services to influence ward councillors (for example, by withholding or delivering services). They could use this influence to direct WASH services towards informal settlements.

**Strength of relationship:** Medium. This is a formal relationship, but an individual ward councillor's influence on service provision is limited. This is because there are many ward councillors competing for the same limited resources, which are controlled at municipal level. Each individual ward councillor has to compete with many other councillors for the attention and support of the municipal council for service provision in their settlement, limiting their individual influence.

#### Example 2. Ward councillors and informal settlement communities

**Ward councillors** are motivated by improving living conditions, as well as political recognition and the desire to be re-elected. Informal settlement residents can use their vote to influence their ward councillor, building on their social capital and creating 'vote banks', or groups of voters from one community who vote for a candidate in return for certain benefits. This could help direct the key resource flow toward the target group.

**Informal settlements** are motivated to improve WASH services and have better access to decision making. Ward councillors have the power to advocate for this outcome, so they can influence informal settlement residents.

**Strength of relationship:** Medium. Some informal settlement residents may have access to their ward councillor, but this depends on the ward and councillor. Because each ward has only one councillor and many residents are vying for their attention and access to resources, informal settlement residents' influence may be limited. The more organised the group of informal settlement residents, the more influence they have over the councillor.

**Update your workbook:** Highlight the pairs of actors where you see an opportunity to strengthen the alignment of their incentives and bring more resources to the target group. Think back to worksheet 1 Table A where you identified whether pairs of actors bring key resources towards or take them away from the target group. You will revisit these highlighted actors in **Part 2** when designing a strategy for co-production.



**Check-in:** At this stage, you will have the following output:

- **Pairs of actors** whose incentives are misaligned or partially aligned, where there is an opportunity to strengthen the alignment of their incentives and bring key resources to the target group.

## Task 5.4. Reflect on regulation

Reflect on how regulation impacts the production, exchange and distribution of key and intermediary resources that influence collaboration between the pairs of actors you selected in **Activity 5.3.3**. For example, if the private sector influences the government because of the latter's dependency on the sector for tax revenue, then think about how regulation contributes to the government's dependency.

**Activity:** For each pair of actors, reflect on the factors in Table 3.

**Update your workbook:** Input your answers in worksheet 1 Table A.

**Table 3. Potential impact of regulation and policy on actor pairs**

Regulation/Policy	Potential impact
Decentralisation policy	Affects relationships between local and central government, local government and private sector, and local government and CSOs. If decentralisation comes with financial resources, local governments will be more accountable to their constituencies; if not, they will be more dependent on the private sector for resources.
Economic policy	This may include policies related to taxes, subsidies, wealth redistribution, market structure, liberalisation of services and so on. Affects relationships between local government and private sector, local government and CSOs.
Land tenure regulation	Contributes to landless people's dependency on actors that control land resources.
Electoral policy/politics	May impact the potential for inclusive and accountable governance and determine whose voices are heard.
Municipal management	Influences who controls service delivery. For example, if public-private partnerships for infrastructure development are common, the private sector provides part of the investment capital and tends to have more influence than government on project design and implementation.
Infrastructure development regulation	Affects the inclusion/exclusion of certain actors in decision making. For example, if regulation demands governments partner with highly technical consultancy firms to produce socioenvironmental impact assessments to inform infrastructure development, CSOs would be excluded from planning, despite having relevant and grounded risk knowledge.

## Task 5.5 Identify potential coalitions (optional)

**Activity:** When looking at the network maps you produced, do you see any groups or coalitions of actors that tend to collaborate and agree on how to use key and intermediary resources? Are there groups of actors or coalitions that have conflicts or different views in relation to the use of key and intermediary resources? Are there coalitions around data, advocacy, service provision and so on? Note your answers in the network map.

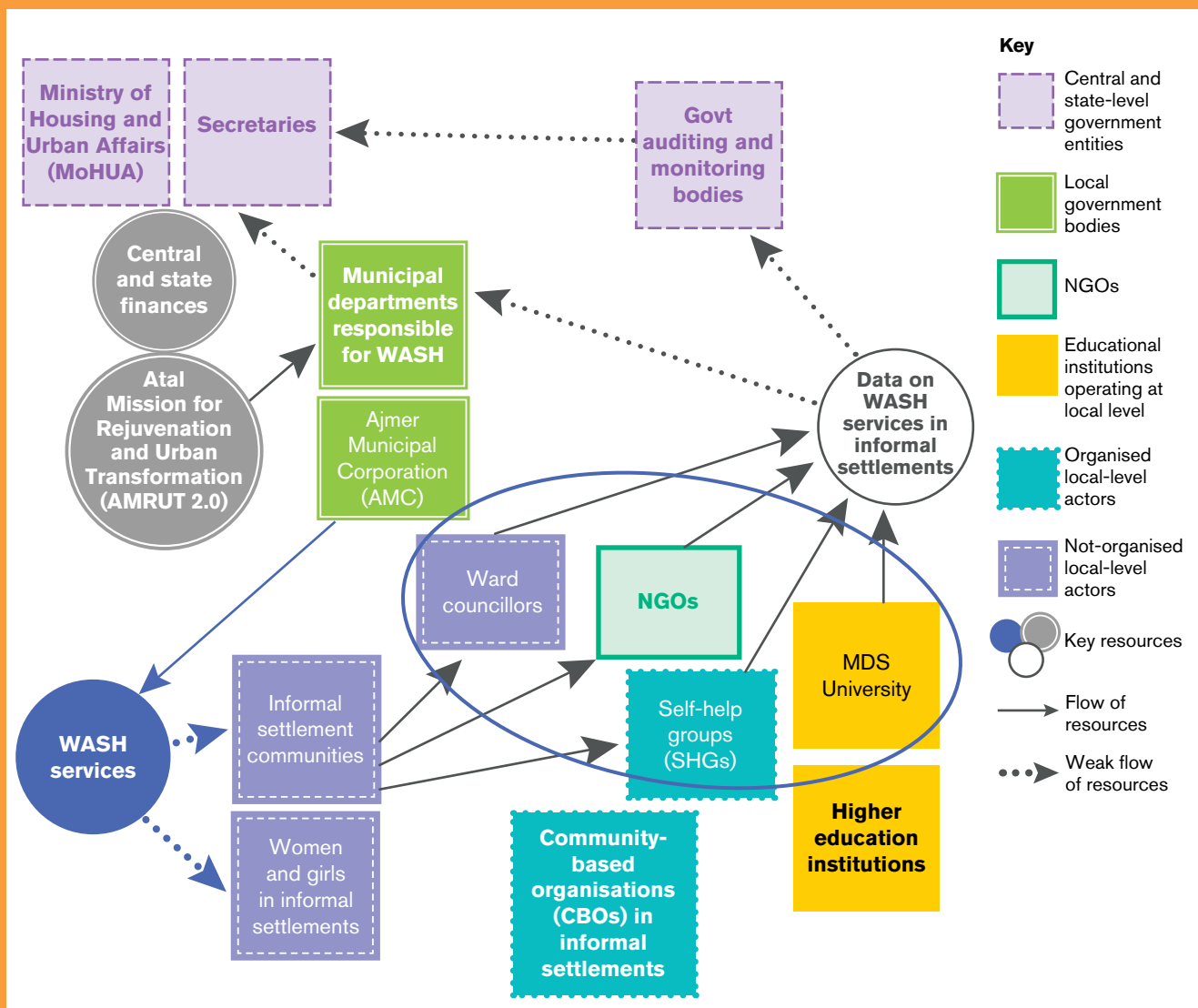


## Box 21. The SECURE approach in action: identifying potential coalitions

PRIA identified that data was an intermediary resource that helps unlock funding for WASH services in informal settlements (see Box 18). PRIA also noted that, while many actors have the potential to support data collection in informal settlements, they also have limited ability to inform and influence decision making. So, the PRIA team reflected that it might be important to empower these stakeholders, build a coalition between them, and find ways to ensure that they can better inform and influence decision making (see Figure 21). They noted that:

- NGOs, SHGs and ward councillors represent and advocate for informal settlement communities in various ways, so might form a natural coalition, and
- NGOs sometimes work with the university, and could also form a partnership.

Figure 21. Identifying potential coalitions of actors





**Check-in:** Congratulations, you have completed the context analysis. At this stage, you will have the following outputs:

- **Actor and resource map**
- **Resource distribution pathways** illustrating pairs of actors that need to be aligned to direct resources to the target group and achieve the objective
- **Drivers and blockers of collaboration** between actors, enabling or constraining resources from reaching the target group(s)
- **Pairs of actors** whose framings of the issue are partially aligned or misaligned, where there is opportunity to align, and pairs of actors where there is opportunity to align their incentives and bring key resources to the target group(s)
- Potential **coalitions of actors** (optional)

You will be able to revisit these as you work through the rest of the toolkit.



**Reminder:** Keep track of potential co-production interventions in worksheet 1 in the box labelled 'Potential interventions' so you can draw on them in Parts 2 and 3.

# Part 2: Design a co-production strategy

# Part 2: Design a co-production strategy

**Aim:** Develop a strategy for co-production that works with pairs of actors to direct key resources towards the target group(s) to achieve your objective (as defined in **Step 1**).

**Time:** 2 days

The context analysis in **Part 1** should have helped you develop an understanding of how the city context — particularly the power dynamics — shapes the distribution of resources and decision making. This will help you design an intervention strategy that focuses on what is useful and possible, and that leads to more equitable outcomes.

**Activity:** To create a strategy, you will need to develop a series of what-if scenarios to test hypotheses that help overcome the blockers and leverage the drivers of collaboration to allow key resources to reach target group(s). There are two steps in this process.

## Step 6. Refine the objective

**Activity:** Go back to the objective you established in **Step 1** to help reduce marginalisation and vulnerability in your city. Based on the analysis you conducted in Part 1, now restate and refine this objective.

**Update your workbook:** Edit this as needed at the top of worksheet 1.



### Box 22. The SECURE approach in action: refining your objective

PRIA refined its original objective as follows.

**Original objective:** Enhance access to climate-resilient water and sanitation services for women and girls at the neighbourhood level in Ajmer, India.

**Refined objective:** Empower women ward councillors and SHGs (with others) to influence resource allocation and project planning for WASH (particularly for women and girls), and recognition of informal settlements more broadly.

## Step 7. Develop what-if scenarios (co-production strategies)

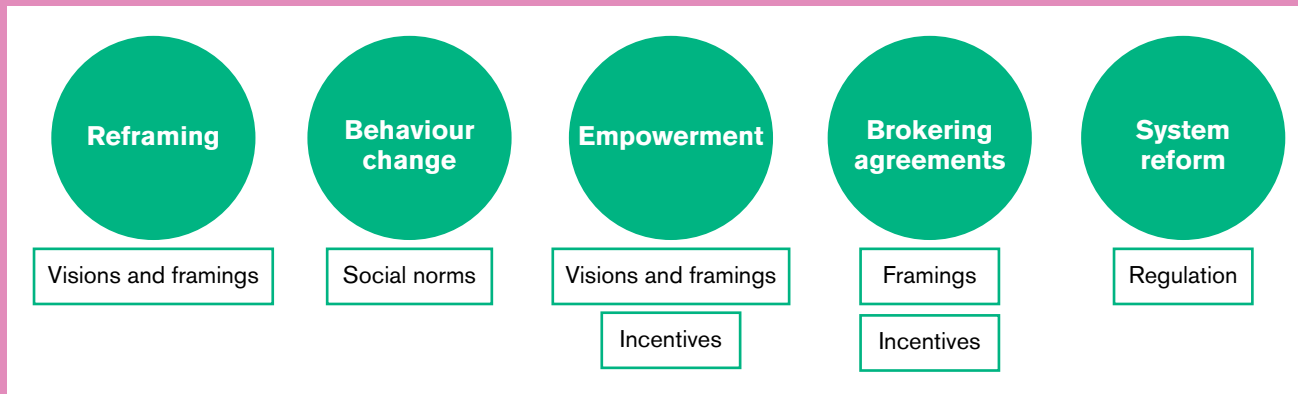
Develop what-if scenarios to explore the potential impacts of different strategies for co-production. The what-if scenarios aim to leverage the drivers and/or overcome the blockers to collaboration for each pair of actors selected in Activities 5.3.2 and 5.3.3 (captured in worksheets 1 and 3). In developing the scenarios, you will consider five approaches to co-production (see Box 23). Certain types of driver and blocker lend themselves to a specific co-production approach, so a combination of approaches may be appropriate. Different pairs of actors may also require different approaches.



## Box 23. Co-production approaches

This toolkit considers five types of co-production approach (see Figure 22). Certain co-production approaches lend themselves better to certain contexts, as outlined in Figure 22. For example, if key drivers/blockers identified relate to social norms, then behaviour change may be an appropriate intervention type.

Figure 22. Co-production approaches and their ability to overcome blockers to collaboration



### Reframing the issue of interest

Where actors have different views or framings of the issue, reframing the problem can help to shift the perception and orientations of different groups towards the issue. Exploring and reframing conflicting views of an issue can help encourage alignment between actors.

### Behaviour change

Co-production can encourage the transformation of social norms and practices that result in exclusion, marginalisation and vulnerability. For example, deeply ingrained gender norms can limit women's participation in decision making. By reshaping these norms, co-production can help to enhance gender equality and ensure more inclusive decision making.

### Empowerment

Co-production can help actors and networks come up with a collective vision and resilience agenda and better co-ordinate and exchange resources and information to undertake collective action. By reducing collaboration efforts and aligning objectives, empowerment approaches can enhance the influence and power of marginalised actors over decision making. This is particularly relevant for emerging networks and civil society groups with a clear interest on a resilience issue, but limited resources and organisation capacity. This might be the case of CSOs that represent marginalised and vulnerable groups with similar agendas but have not managed to establish a mechanism to jointly advocate.

### Brokering agreements

The motivations and incentives of different city actors and networks may not always align, hindering their collaboration. Co-production can help broker agreements between groups and networks, offsetting disincentives for collaboration. This approach can help unlock collaboration around a specific issue when blocked by two relatively powerful groups—for example, enhancing the capacity of private sector and the local government to develop social housing or of government and informal service providers to deliver basic services to vulnerable groups.

### System reform

Formal regulations and policy and planning processes shape urban development and risk by establishing the basis for collaboration between some actors and networks. Similarly, they can also exclude other groups. For example, regulations that demand governments partner with highly technical consultancy firms while producing socioenvironmental impact assessments to inform infrastructure development can exclude CSOs from planning processes, despite their having relevant and grounded risk knowledge. Reforming regulation, policy and planning can help to reduce exclusion and marginalisation and open the possibility of more inclusive decision making.

**Activity:** Following the guidance below, work through each decision tree with the pairs of actors you selected in **Tasks 5.2 and 5.3**.

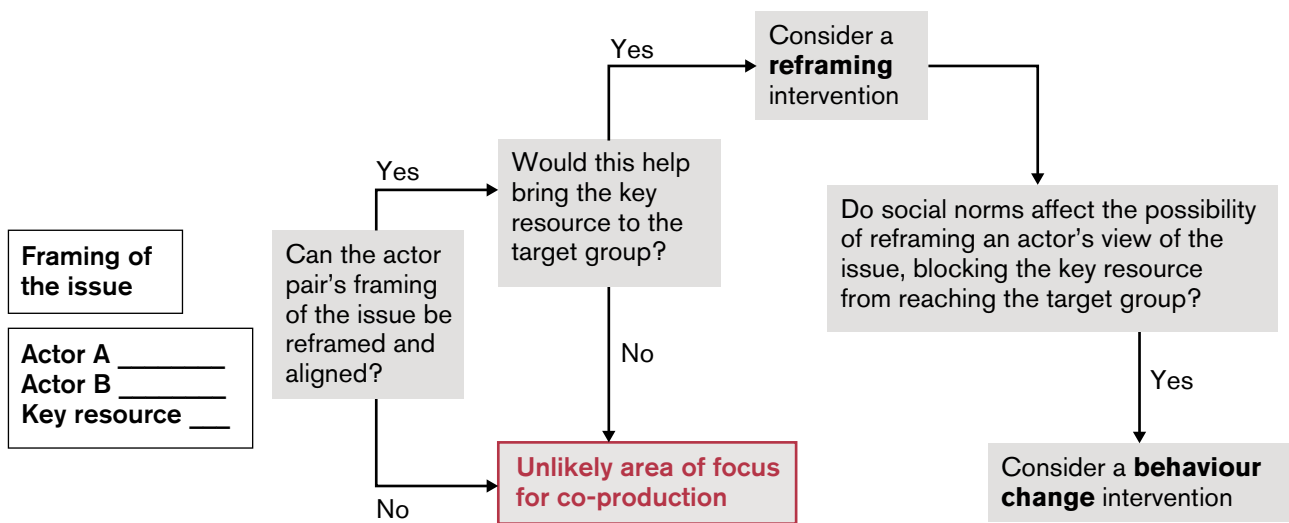
**Update your workbook:** Use worksheet 4 to capture your answers for this exercise. If you wish, you can use the following format as guidance to develop your what-if statements.

*What if we use [co-production approach] to address [driver/blocker] between [Actor A] and [Actor B]? Would this help bring [key resource] to [target group]?*

## Task 7.1. Frame the issue of interest

**Activity:** Work through Decision Tree A (see Figure 23) for each pair of actors you selected in **Task 5.2** and noted in the matrix in worksheet 2 — that is, those whose framings of the issue are not fully aligned but have potential to be aligned. For social norms, refer to your analysis in worksheet 1 Table B. Repeat the decision tree process for each pair of actors selected. For pairs of actors whose framings of the issue are already aligned, skip to **Task 7.2**.

**Figure 23. Decision Tree A: framing the issue**



Based on the outcome of Decision Tree A, develop a what-if statement, using the following format as guidance, if you wish:

What if we align [Actor A's] and [Actor B's] framings of the issue? Would this help bring [X resource] to the target group?

For the actor pairs whose framings can be realigned, move to Decision Trees B and C (see Figures 24 and 25) on incentives, resources and regulation.



## Box 24. The SECURE approach in action: reframing the issue

After identifying the drivers and blockers of collaboration, the PRIA team developed the following what-if statement on reframing the issue.

**Key resource:** WASH services

**Actor A:** Informal settlement communities

**Actor B:** Municipal departments, secretaries under MoHUA

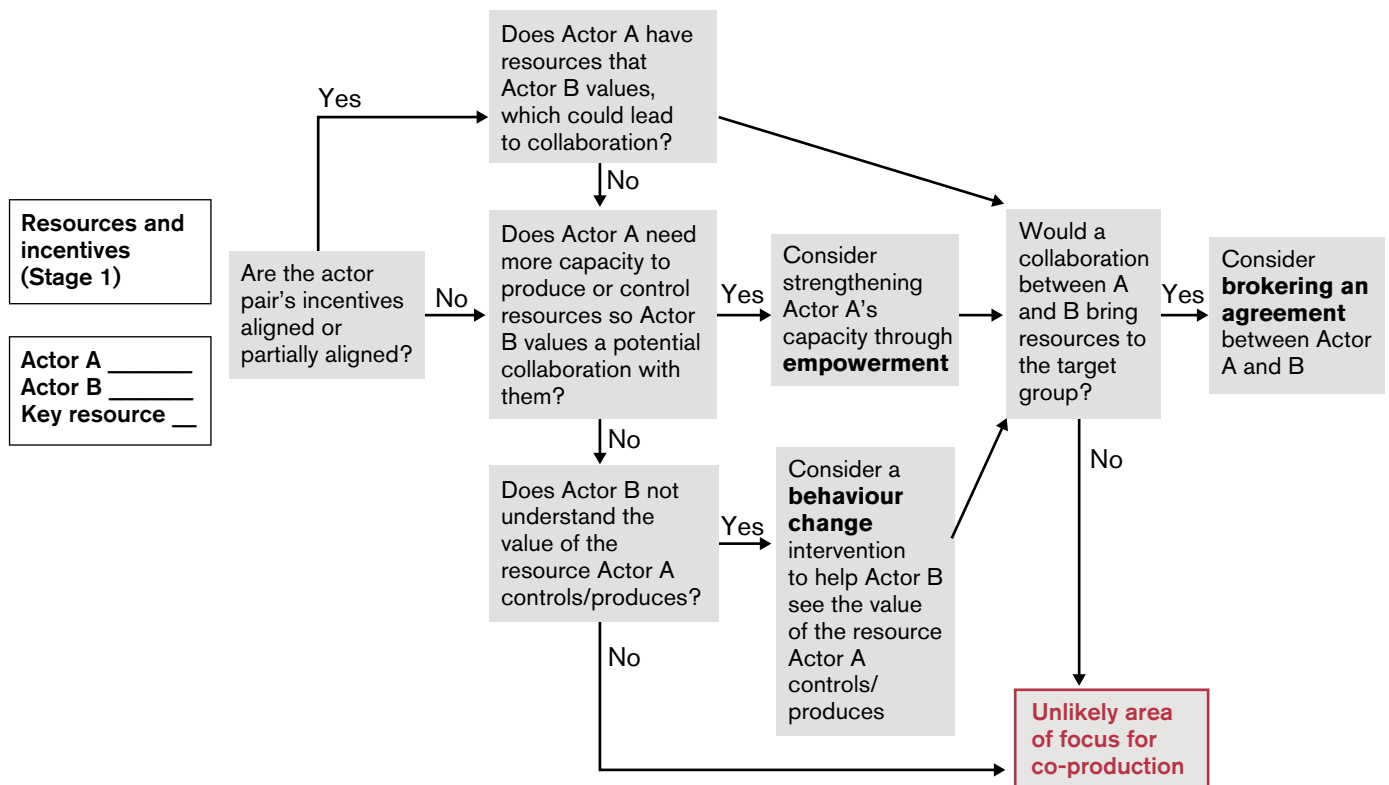
**Drivers/blockers:** A key blocker of collaboration is a lack of alignment on the urgent need for improved WASH services in informal settlements, which is linked to the current approach to monitoring WASH service provision in the city. Because WASH service provision is monitored at city level, it is deemed adequate. But this approach is not granular enough to monitor WASH at neighbourhood level, where there is a deficit.

**What-if statement 1:** What if we reframe the issue to address the lack of alignment on the WASH services deficit and the urgent need for improved services, bringing WASH services to informal settlement groups? We can do this by showing that the current approach to monitoring does not adequately account for WASH service provision at neighbourhood level; this can help promote accountability for the service deficit.

## Task 7.2. Identify incentives, resources and regulation

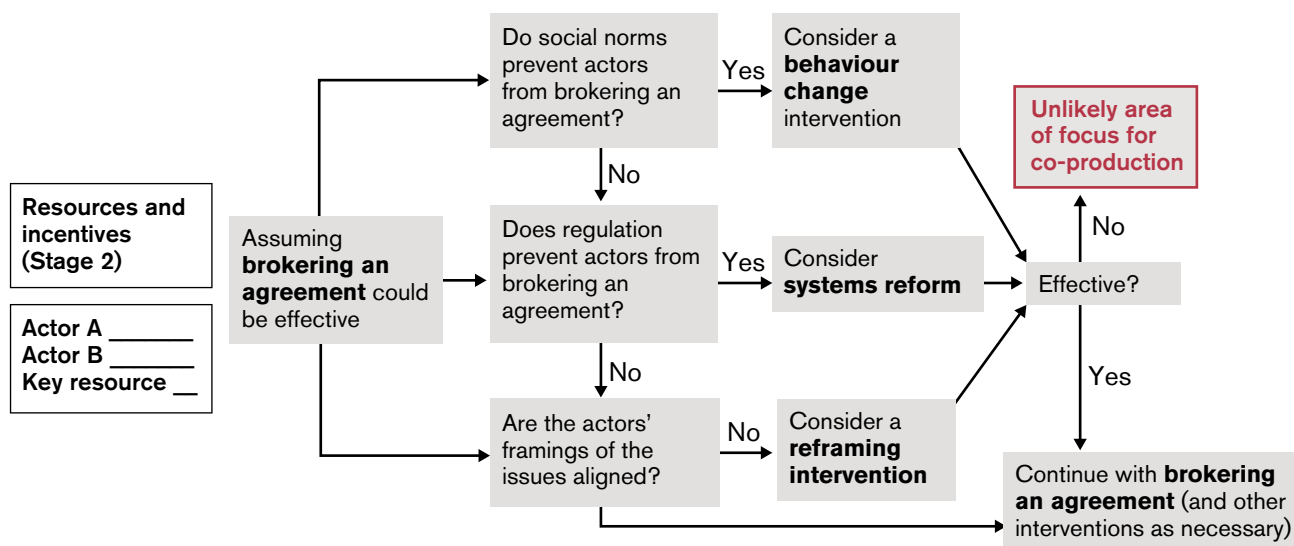
**Activity:** Work through Decision Tree B (see Figure 24) for each pair of actors you selected in the matrix in worksheet 3. Repeat the decision tree process for each actor pair selected.

Figure 24. Decision Tree B: incentives, resources and regulation (part 1)



**Activity:** For each scenario where a brokering agreement is deemed potentially effective, work through Decision Tree C (see Figure 25) to understand if other constraints are at play that call for other interventions. For social norms, refer to your analysis in worksheet 1 Table B; for regulations, refer to worksheet 1 Table A; for framings of the issue, refer to the matrix in worksheet 2.

**Figure 25. Decision Tree C: incentives, resources and regulation (part 2)**



If social norms are considered a major obstacle, brokering an agreement will not be effective and you should drop this scenario.

**Activity:** Based on the outcome of the decision trees, develop what-if statements for each actor pair/proposed intervention, using the following format as guidance if you wish:

What if we implement a brokering agreement between [Actor A] and [Actor B]? Would this help bring [X resource] to the target group?

What if we implement a behaviour change intervention for [Actor A] to change the way they value [Actor B's] resources and make the brokering agreement more effective?



### Box 25. The SECURE approach in action: brokering an agreement

After identifying the drivers and blockers of collaboration, the PRIA team developed the following what-if statement on brokering an agreement.

**Key resource:** Funding for WASH services

**Actor A:** Informal settlement communities (represented by SHGs)

**Actor B:** Municipal departments

**Drivers/blockers:** A key blocker of collaboration was that informal settlement communities (including SHGs) could not access the data that municipal departments needed to access funds for WASH services in informal settlements. A key driver was that the municipal department sought recognition from the central government for pioneering an evidence-based approach to WASH service provision.

**What-if statement 2:** What if we brokered an agreement between informal settlement communities (represented by SHGs) and municipal departments to build evidence that can support municipal departments to access funds that can be used to improve services in the informal settlement?



## Box 26. The SECURE approach in action: empowering actors

After identifying the drivers and blockers of collaboration, the PRIA team developed the following what-if statement on empowering actors.

**Intermediary resource:** Data on WASH services in informal settlements

**Actor A:** Informal settlement community (represented by SHGs)

**Actor B:** Coalition of supporters of informal settlements (NGOs, university)

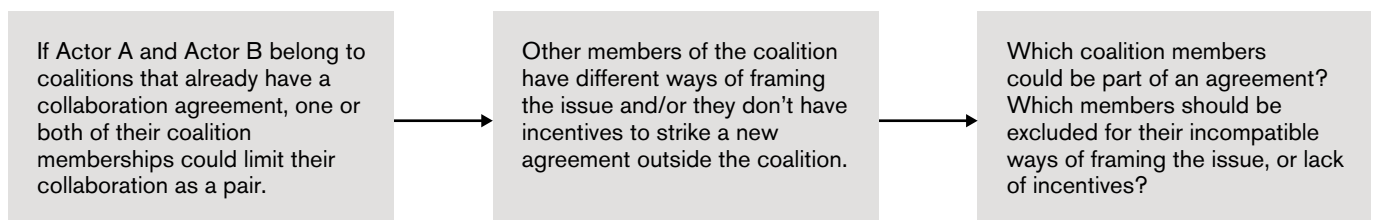
**Drivers/blockers:** A key blocker to collaboration is SHGs' lack of capacity to build robust evidence and use this to develop advocacy strategies. A key driver is the aligned interests of the emerging coalition of supporters of informal settlements (see Box 21).

**What-if statement 3:** What if we empower SHGs to collect data on WASH in informal settlements to understand their needs, deficits and priorities? These data can be used for advocacy and to support municipal departments in planning service provision. In this scenario, NGOs would support SHGs with data collection, and broker the relationship with the university, which would ensure the data collected are robust.

## Task 7.3. Consider other factors

After working through Decision Trees A–C, reflect on other factors that might prevent collaboration (see Figure 26). Recall that in **Task 5.5**, you may have identified coalitions of actors; they could shape your strategy at this stage. For example, Actor A belongs to a coalition of academics with scientific and critical background; Actor B belongs to a coalition that is more output-driven and does a lot of consulting work; and each actor is limited by their respective coalition. As their different framings, incentives and regulations impose limits on what they can agree between them, the demands of each coalition would limit collaboration between A and B. A more pragmatic, output-driven approach would limit the recognition given by a critical academic community, while a more critical and theoretical approach would not be deemed valuable or practical by an output-oriented group.

**Figure 26. Decision Tree D: considering other factors**



**Activity:** Make any revisions needed to your what-if statements based on your answers to the above.

## Task 7.4. Consider windows of opportunity

While working through each decision tree, consider the windows of opportunity you identified in **Task 3.3** to help determine potential entry points — such as an upcoming election or a new infrastructure policy — and timing for your strategy.

**Activity:** Reflect on how the pairs of actors in your what-if statements might capitalise on these windows of opportunity. Revise what-if statements as necessary. Revisit the 'Potential interventions' box in worksheet 1. If you noted any potential interventions as you worked through the toolkit, consider whether these are relevant for the strategy you have produced, and include/adapt them if so.



**Check-in:** At this stage, you should have captured the following in worksheet 4:

- **Pairs of actors** whose views of the issue could be reframed and aligned to help bring key resources to the target group by applying an intervention for **reframing the issue**
- **Pairs of actors** who have the potential to collaborate and bring key resources to the target group by **brokering an agreement**, because they have compatible framings of the issue and because their incentives and resources facilitate collaboration
- A list of social norms and regulations that could block collaboration, calling for other types of intervention, such as **behavioural change, empowerment** and **systems reform**, and
- **Potential entry points and timing** (windows of opportunity) for action.

# Part 3: Prepare to implement your co-production strategy

# Part 3: Prepare to implement your co-production strategy

**Aim:** Select methods and tools to support the implementation of the co-production strategy you designed in **Part 2**.

**Time:** 1–2 days

You will work with a repository of methods and tools for co-production (worksheet 5), categorised according to the five co-production approaches. The repository is not exhaustive, and you will need to adapt and adjust each method to the local context. You will probably need to select more than one method to support your strategy, and will be able to layer these or use them in sequence. Some are one-off methods to be used at a specific point of intervention; others are longer-term processes.

A co-production process is more of an art than a science and recognising when to change tack or introduce a new approach could salvage a dead-end process. For example:

- If data are unreliable and not broadly trusted by stakeholders, introducing participatory enumeration could be a valuable strategy.
- If stakeholders reach an impasse where mutual learning is not possible, alternative dispute resolution or arts-based approaches that help kindle reconciliation may be appropriate.
- If decisions become highly contentious, bringing in a citizen jury to help parse options and recommend a plan of action could help.

The success of co-production depends on fostering trust between heterogeneous groups. No one approach or method is guaranteed to provide an outcome that is productive and inclusive without building trust and understanding among stakeholders. Many of these methods incorporate elements and exercises that are designed to do this. Open, inclusive facilitation remains the backbone of all approaches.

## Step 8. Select co-production tools and methods

**Activity:** Refer to worksheet 5 and the what-if statements you developed in worksheet 4. Each what-if statement gives you a co-production approach and a pair of actors. Select the co-production methods and tools that will support the implementation of your strategy, focusing on the pair of actors selected. Work through the following steps:

1. Start with the co-production approach and the relevant pair of actors from your what-if statement(s) in worksheet 4. Apply a filter on worksheet 5 column A with that approach (for example, 'Empowerment').
2. You can also filter by function (column B). Some methods/tools do not fall neatly into one of the five co-production categories but have a more functional purpose. This applies to the design charette — a planning tool with an infrastructure focus — and citizen juries, which are used for one-off dispute resolution.
3. Next, look at column E (When to use). This provides further detail on when each tool/method may be appropriate.

Repeat these three steps for each type of co-production approach you selected in **Step 7**: behavioural change, empowerment, reframing the issue, brokering an agreement or systems reform.



## Box 27. The SECURE approach in action: selecting co-production methods and tools

PRIA selected the following co-production methods and tools.

**What-if statement 1:** What if we reframe the issue to address the lack of alignment on the WASH services deficit and the urgent need for improved services, bringing WASH services to informal settlement groups? We can do this by showing that the current approach to monitoring does not adequately account for WASH service provision at neighbourhood level; this can help promote accountability for the service deficit.

### Co-production method selected: Soft systems methodology or design thinking

Soft systems methodology is a seven-step process that aims to define a problem and identify desirable changes to a system that could resolve the problem, with emphasis on clarifying all stakeholders' worldviews and interests. Design thinking is a methodology that emphasises empathy with end users affected by design proposals. Both approaches could help the city and central government better understand informal settlement groups' perspective on the WASH services deficit.

**What-if statement 2:** What if we broker an agreement between informal settlement communities (represented by SHGs) and municipal departments to build evidence that can support municipal departments to access funds that can be used to improve services in the informal settlement?

### Co-production method selected: Scenario integration

Scenario integration enables municipal authorities to consider variables that impact an initiative's success and identifies feedback loops that could exacerbate future issues. The method helps generate better strategies to manage the interplay of different variables in urban planning. While this method is normally appropriate for technically savvy stakeholders, the PRIA team simplified the approach by adapting it to the local context and reducing jargon.

**What-if statement 3:** What if we empower SHGs to collect data on WASH in informal settlements to understand their needs, deficits and priorities? These data can be used for advocacy and to support municipal departments in planning service provision. In this scenario, NGOs would support SHGs with data collection, and broker the relationship with the university, which would ensure the data collected are robust.

### Co-production method selected: Participatory enumeration

In participatory enumeration, survey participants help design, manage and implement the enumeration, to help marginalised groups speak in a language that is recognised by decision makers. This approach allows informal settlement groups to be involved in collecting data via SHGs, ensuring their situation is accurately represented and empowering them in the process.

## Step 9. Draft a workplan

**Complete your workbook:** In worksheet 6, using the information from Step 8, draft a workplan to implement your co-production strategy using the tools and methods selected, specifying activities, actors, timelines, objectives and outcomes (see Figure 27). Remember that if an actor is an organisation or institution, multiple people might need to be involved. It is important to specify these people.

Figure 27. Worksheet 6: drafting your workplan

Activity	Actors	Timeline	Output	Outcome/impact

# Endnotes

For further information about SECURe, please visit: [www.iied.org/secure-strengthening-enhancing-contextual-urban-resilience](http://www.iied.org/secure-strengthening-enhancing-contextual-urban-resilience)

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Knowledge  
Products

# Toolkit

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## Urban; Policy and planning

*Keywords:*

Urban development, urban planning,  
resilience, power relationships

This document presents a toolkit, or a practical step-by-step guide, to applying the Strengthening and Enhancing Contextual Urban Resilience (SECURE) framework. The SECURE framework is a structured approach through which researchers, policymakers and practitioners can understand urban power dynamics and inform the design of 'urban labs'. Urban labs are collaborative and experimental platforms that bring together a wide range of city actors, including government, civil society, researchers and private businesses to co-design, test and implement innovative solutions addressing urban challenges such as resilience, sustainability and equitable development in real-world city environments. When designed strategically, urban labs can reduce differences in power between city actors and ultimately transform whose risk matters when it comes to urban development planning.

Urban development in low- and middle-income countries is a major contributor to global climate risk. Urban growth in these countries usually involves rapid and unplanned expansion without adequate infrastructure and basic services, which often results in the proliferation of informal settlements. Understanding how urban development shapes risks for different people allows us to identify opportunities to rethink how urbanisation can reduce rather than amplify climate risk.



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