MID-TERM EVALUATION OF THE IMPLEMENTATION OF UN-HABITAT'S STRATEGIC PLAN 2014 - 2019

TRANSFORMATIONAL

GOING WELL

EXPANDING

ON TARGET

INTERAL CONSTRAINTS

NEED TO IMPROVE

EXTERNAL CONSTRAINTS

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MID-TERM EVALUATION OF THE IMPLEMENTATION OF UN-HABITAT'S STRATEGIC PLAN 2014 - 2019

APRIL 2017

UN@HABITAT

TABLE OF CONTENTS

List of Boxes

List of Figures

List of Tables

ACKNOWLEDGEMENTS

ABBREVIATIONS AND ACRONYMS

CDCs	Community Development Committees
CPI	City Prosperity Initiative
CPR	Committee of Permanent Representatives
CSW	Commission on the Status of Women
DaO	Delivering as One UN
DRC	Democratic Republic of Congo
FAO	Food and Agriculture Organization of the United Nations
GA	General Assembly
GC	Governing Council
GHS	Global Housing Strategy
GLTN	Global Land Tool Network
HPMs	Project Management and Coordination Desks
ICT	Information and Communication Technology
IDP	Internally Displaced Persons
ILO	International Labour Organization
MTE	Mid-Term Evaluation
MTISP	Medium Term Strategic and Institutional Plan 2008-2013
NUA	New Urban Agenda
NUP	National Urban Policy
OED	Office of the Executive Director
PAAS	Project Accrual and Accountability System
PAG	Project Advisory Group

PAR	Partnerships, Advocacy, Resource Mobilization
PMP	Key Performance Measurement Plan
PSUP	Participatory Slum Upgrading Programme
RBM	Results Based Management
SDGs	Sustainable Development Goal's
SIDA	Swedish International Development Cooperation Agency
TOC	Theory of Change
TOR	Terms of Reference
UN	United Nations
UNDAF	United Nations Development Assistance Frameworks
UNDG	United Nations Development Group
UNEP	United Nations Environment Programme
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
UNON	United Nations Office at Nairobi
UNOPS	United Nations Office for Project Services
UN-Habitat	United Nations Human Settlements Programme
UN-Habitat UNI	UN-Habitat online university
USD	United States Dollars
WUC	World Urban Campaign
WUF	World Urban Forum

EXECUTIVE SUMMARY

1. Introduction

Evaluation purpose. This report summarizes findings from a mid-term Evaluation of the UN-Habitat Strategic Plan 2014-2019. The intent of the evaluation is to contribute to a better understanding of the progress achieved in implementing the Strategic Plan, determine whether UN-Habitat is achieving transformational results and make recommendations about improvements that will strengthen performance.

The evaluation's audience is the Committee of Permanent Representatives and through them the General Council, UN-Habitat management and staff and relevant stakeholders. It is understood that this evaluation will feed into the current review of the Strategic Plan 2014-2019.

The Strategic Plan 2014-2019 provides UN-Habitat with a clear direction through its Strategic Result:

Environmentally, economically and socially sustainable, gender-sensitive and inclusive urban development policies implemented by national, regional and local authorities have improved the standard of living of the urban poor and enhanced their participation in the socio-economic life of the city.

The evaluation was tasked to address the following six key questions to assess whether UN-Habitat is achieving progress towards the strategic result:

1. To what extent is UN-Habitat progressing towards the achievement of the plan's strategic result; have any contributions been made to achieving sustainable urbanization at global, national and local levels?

2. To what extent have the UN system reforms affected the implementation of the Strategic Plan 2014-2019?

3. How effective has UN-Habitat been in implementing the Strategic Plan at regional and country level, and the quality of UN-Habitat's work, working under Delivering as One principles?

4. To what extent are cross-cutting issues (human rights, gender equality, youth and climate change) outlined in the Strategic Plan, effectively integrated into both programme design and the Plan's implementation?

5. How effective and coherently has UN-Habitat, as a matrix organization, delivered and achieved integrated approaches towards urbanization?

6. What has changed and what are elements of continuity since the adoption of the Strategic Plan 2014-2019, which followed the Medium-Term Strategic and Institutional Plan 2008-2013?

In addition to the above questions, UN-Habitat requested that the evaluation consider the extent to which the agency is contributing to transformative change in relation to its strategic result, as well as consider the above six questions within the framework of the standard evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability. The evaluators were asked to recommend strategic, programmatic, structural and management considerations for implementing the remaining part of the Strategic Plan.

Evaluation methodology. The evaluation included a broad document review, interviews with staff and stakeholders, and two surveys – one among members of the Committee of Permanent Representatives and another among implementing partners. It considers the strategic context, the results framework and the validity of the Vision, Mission, Goal and Strategic Result statements. It looks at each of the focus and cross-cutting areas of the Strategic Plan and considers how performance links to the Plan, using theory of change and contribution analysis methodology. It then considers strategy implementation, whether the proposed mechanisms are in place and effective for delivery. A workshop was held with management and senior staff to validate and deepen findings. The evaluation field period was effectively four weeks, which limited direct engagement with the whole agency and stakeholders.

2. Evaluation findings

Strategic Plan relevance. The Strategic Plan was generated prior to major changes in context – the Sustainable Development Goals and the New Urban Agenda – which expanded UN-Habitat's mandate in urban development and human settlements. The Strategic Plan and its targeted strategic result was found to be relevant to this changing context. There was evidence of increasing

demand for UN-Habitat's products and services and, in particular, urban planning and design, which is a key element in the New Urban Agenda (NUA). Implementing partners are strongly convinced about UN-Habitat's continued relevance and the importance of sustainable urban development as a key strategic result. UN-Habitat's expertise is recognized internationally but it must remain current in response to changing developmental priorities.

Effectiveness. Some outstanding results have been achieved in the past three years, with UN-Habitat building on its knowledge and experience to achieve direct results with partners. It has also contributed to shifting strategic approaches in the international context. The Habitat III conference in 2016, which resulted in the UN adoption of the New Urban Agenda, was an important move forward in establishing UN-Habitat's central role in guiding sustainable urbanization and supporting the growth of sustainable cities. Branch and regional technical staff are clearly highly competent and critical thinkers within their field. Within the limitations of the evaluation, the evaluation found evidence that operations are achieving their specific internal targets, and almost all are on track to achieve indicator targets by 2019. However, there is insufficient connection of the indicators for each focus area to the strategic plan for the evaluation to conclusively determine the extent to which the organization as a whole is meeting its overall strategic result.

Cross-cutting issues are gaining traction and are increasingly mainstreamed. Partners believe that the partnership arrangements are appropriate and are achieving good results. The evaluation found extensive evidence of actual and probable transformation in programme results. However, there are gaps in effectiveness: some internal policies and strategies are slow in emerging within UN-Habitat, and some Medium Term Strategic and Institutional Plan 2008-2013 review recommendations were not fully implemented. Umoja implementation was a major factor, which showed as a distinct drop in activity performance in 2015, but performance improved in 2016. Knowledge management in UN-Habitat has not been optimized or recognized as a strategic function necessary to deliver the Strategic Result and the New Urban Agenda. Also, Communications and Advocacy functions are partially sidelined and not used fully to build UN-Habitat's international profile in order to strengthen catalytic achievement of results.

Efficiency. UN-Habitat operates an extensive network of operations in relation to a global priority with a high level of accountability. But declining core resources have severely constrained the agency's ability to run its administrative, support and substantive functions.

In summary, expanding expectations are not consistent with available resources: it was noted that funds across comparative organizations with global cover and knowledge-based approaches far exceed the resources available to UN-Habitat. Yet the level of bureaucratic compliance required is similar to agencies more than five times UN-Habitat's size.

Umoja's implementation pathway was poorly planned by the external implementors and resulted in organization-wide constraints. Implementation partners confirmed the resultant delays on implementation. However, while Umoja may not be fit for purpose, it is a powerful system that has the potential to inform management decision-making and reporting but is currently underutilized. There is now an opportunity for management to ensure that Umoja Version 2 reflects organizational needs.

United Nations Office at Nairobi (UNON) and United Nations rules are viewed by UN-Habitat staff as a hindrance to efficient working, particularly recruitment. However, a change management study is highlighting that internal efficiency improvements are also required. Nonetheless, a full review of UNON services' cost-benefit is needed to determine whether it is the best system to deliver cost-effective results.

Impact and the sustainability of interventions and the agency. The Strategic Plan was designed with flexibility in mind; especially in regard to the challenges posed by rapid urbanization. The Strategic Result reinforces that sustainable cities require integration of plans, policies and systems across different locations and in changing circumstances. The most striking examples of impact are where UN-Habitat has prolonged engagement, integrated action across different focus areas, national to city to local community connections and committed partnerships with local leaders and other implementing partners. Sustaining this change to achieve real transformation requires that decision-makers see the benefits of UN-Habitat's integrated approach.

Also necessary are identified and proven institutions and pathways available to train new generations of practitioners. There was evidence that UN-Habitat has contributed to building partners' capacity to do this.

This evaluation also found examples of UN-Habitat normative tools and programmes being scaled up, and that adaptation and replication of tools has occurred. It also found that projects and programmes are building competence, particularly within national governments, adding to the scale of impact and sustainability.

Strategic Plan monitoring and reporting. The Strategic Plan includes a results framework with strategic results by focus area and overall strategic indicators of achievement. Baselines and targets for all indicators were derived by consultation with each Branch and the Executive to generate performance indicator sheets, contained in a Performance Monitoring Plan (PMP). However, a review of indicators is needed to ensure that they reflect accurately what should be measured.

The PMP has led to a vastly improved flow of documentation on results within the organization. The key gap is that there is no clear link between the indicators and measurements for each programme area and the combined effect of the performance towards the Strategic Result. This gap means that
UN-Habitat's annual reporting does not reflect consolidated progress towards the Strategic Result, but rather provides comprehensive reporting on the focus areas and regions in a linear way. Progress against targets is presented in Annual Progress Reports and two biennial reports. The overlapping and onerous reporting regime is resource intensive for the size of the agency, so immediate efficiency gains could be made as a result of streamlining reporting. Also, a short and visually-accessible Annual Report would be much more useful for governance decision making.

UN-Habitat governance. The evaluation considered whether existing structures were appropriate for ongoing delivery of the Strategic Plan and UN-Habitat's envisaged expanded role in delivering the New Urban Agenda. Since 1996, the United Nations Office at Nairobi (UNON) has provided UN-Habitat with administrative, financial and human resources services for an annual fee. Programmes and services are delivered through normative and field operations. The Secretary General's pending review is timely and should consider whether it is time to modernize structures to ensure improved cost efficiency and effectiveness, particularly responsiveness and flexibility for working with local government, and enable the agency to lead implementation of the New Urban Agenda.

A summary of findings is captured in Figure 1.

Figure 1. Summary of Findings: Mid-Term Evaluation of UN-Habitat's Strategic Plan 2014-2019

STRATEGIC PLAN 2014-2019 MID-TERM PROGRESS

Transformational
- Shared global vision
- Enthusiasm & commitment
- Inter-connected initiatives
- Demand for UN-Habitat expertise
- Use of guidelines and tools

Going well
- Building networks
- On-ground results in all areas
- Strengthening results tracking
- Evaluation function

Expanding
- Government partners
- Global interest in sustainable cities
- UN-Habitat's role in SDG11

On target
- Focus area & cross-cutting performance
- Regional strategy implementation
- working with National Plans and UN country teams in some areas

Interal constraints
- Umoja implementation - lost opportunities
- Managing budgets & joint projects
- Core funding vs expanding mandate

Need to Improve
- Clearer key definitions/messages
- Streamlined reporting
- UNON services - Review/Optimise
- Promote UN-Habitat big picture successes
- Manage expectations and perceptions
- Fit for purpose governance
- Strengthenoperational support and knowledge management functions

External constraints
- UN rules that are not fit for purpose
- Unrealistic member country expectations given resource constraints
- Low profile in UN Delivering as One Approach

3. Conclusions

The evaluation reached the following conclusions in relation to the six evaluation questions.

Progress towards the Strategic Result is occurring

Substantial results and impact are being achieved towards the Strategic Result, which is that 'Environmental, economically and socially sustainable, gender-sensitive and inclusive urban development policies implemented by national, regional and local authorities have improved the standard of living of the urban poor and enhanced their participation in the socio-economic life of the city'.

Some of these results are achieving transformational change, particularly where there has been a multi-pronged approach over a prolonged period. There is increasing demand for urban planning services and there is potential to strengthen the results and extend the benefits. UN-Habitat is developing a suite of measures available for cities to measure their progress towards sustainable development in the terms envisaged by the New Urban Agenda. Contributions have been made to achieving sustainable urbanization at global, national and local levels in specific locations where programme funds are available. However, the agency's reliance on tied project and programme funding limits wider replication and impact of normative products.

UN-Habitat's knowledge management and communications functions are under-recognized as important strategic functions. One result of this is that key messages are not communicated proactively enough for UN-Habitat's widening role. UN-Habitat's visibility is under resourced and largely limited to thematically-focused communications. It is important that UN-Habitat showcases the importance of its work and the successes being achieved. There is potential to take a more strategic approach to communications and to build on the organization's technical expertise to capture, disseminate and promote its capacity.

UN System Reforms have adversely affected implementation of the Strategic Plan

UN-Habitat's capacity to lead the New Urban Agenda is clearly identified in the NUA document and its role in relation to Sustainable Development Goal 11 is noted as a critical and strategic responsibility. An organization involved

at the forefront of sustainable urban development needs to be adaptable and flexible to the needs of governments and other stakeholders, while balancing multiple demands for effective delivery of support.

In this regard, the United Nations' systems that UN-Habitat is governed by create challenges for the Strategic Plan delivery. The United Nations Office at Nairobi's services were set up in 1996, and it is not clear whether this arrangement is still of benefit to UN-Habitat. A range of UN rules that UN-Habitat needs to abide by hamper its ability to be responsive to stakeholder and operational requirements. The impact of staff cuts and Umoja implementation has had a severe effect on the organization and its implementation of the Strategic Plan. The effect of staff cuts lingers in that the organization cannot continue a range of activities that previously showed promise.

Nonetheless, the extent of delivery shows a high level of efficiency. There is gradual improvement in relation to Umoja and there is now opportunity to ensure that the next version addresses current system weaknesses.

UN-Habitat has utilised Delivering as One principles as far as is practicable while implementing the strategic plan at regional and country level

All regions and national staff demonstrate a sound knowledge and understanding of the Strategic Plan. The regional strategies are aligned to the Strategic Result and programmes and projects contribute to it as far as possible within the constraints of tied funding. At the country level, UN-Habitat's engagement with the UN Development Assistance Framework (UNDAF) through a Delivering as One approach relies on the extent to which country level staffing is available. Nevertheless, efforts in this respect are largely positive. Feedback from stakeholders demonstrates a high level of coordination at the project level but less activity related to promotion of UN-Habitat's strategic role in the New Urban Agenda.

Cross-cutting issues are increasingly integrated into Strategic Plan implementation

UN-Habitat has been strengthening its approach to integrating human rights, gender equality, youth and climate change into programme design. This is carried out through consideration of markers in programme design and is now seen as standard practice for the

organization. At the same time, there are scarce resources and expertise to build on the positive work that is being done. Wider, more strategic activities in relation to the implementation of the Strategic Plan and integration of the four crosscutting issues in progress to the Strategic result remain areas for improvement.

Integrated approaches towards the Strategic Result are still at an emergent stage

In the Strategic Plan 2014-2019, there were seven focus areas identified, delivered through a matrix management approach. In general, this has been an effective approach and there is indication of collaboration across regions and branches. However, overall, the organization tends to operate in a fragmented manner, largely due to the wide spread of activities and reliance on projects and tied funding. Monitoring is carried out by each activity centre and there is insufficient tracking of how results are integrated to achieve benefits towards the Strategic Result. While projects and programmes are demonstrating good results and branch and regional performances are positive, the integration of results is not sufficiently considered. Yet, during the evaluation examples were found where transformation results were being achieved in sustainable urbanization, often due to integrated approaches. If such approaches can be expanded, there is considerable opportunity to increase results.

Changes and continuity for the Strategic Plan

Since the adoption of the Strategic Plan 2014-2019, following the Medium-Term Strategic and Institutional Plan 2008-2013, the main contextual changes were the launch of the Sustainable Development Goals and the New Urban Agenda. The Strategic Plan is relevant to both of these and can continue to be used as a guiding document.

The principle statements of the Strategic Plan are still relevant but implementation of the principles and integrated approach of the Strategic Plan has not yet matured in practice throughout the agency. The delivery of the Strategic Plan has experienced challenges and more action is required to consider how UN-Habitat can rise to the challenge of its leadership role in the New Urban Agenda and Sustainable Development Goal 11.

4. Recommendations

The following recommendations are organized to respond to the TOR in relation to strategic, programmatic, structural and management considerations for implementing the remaining part of the Strategic Plan.

A. Gear up to take a strategic, leading role in the New Urban Agenda and Sustainable Development Goal 11: Raise the global, regional and national profile of UN-Habitat's Vision and Guiding Statements, as well capitalizing on its notable achievements and expertise within the context of the NUA and SDGs.

Potential actions

1. Take a more proactive approach to implementing the Knowledge Management strategy to harness existing UN-Habitat intellectual property on sustainable cities and sustainable urbanization

2. Produce a comprehensive communications approach that generates clear strategic key messages in line with the New Urban Agenda (NUA) and Sustainable Development Goals (SDG) focus on Sustainable Cities and disseminate these widely

3. Strengthen work that defines the characteristics of a Sustainable City and key tools and guidelines for achieving progress towards SDG11 and the NUA

4. Produce and disseminate directed communications showing UN-Habitat's capacity to help countries implement the NUA and through this, report on their SDG11 achievements such as a deliberate 'marketing' campaign based on proven knowledge/normative products

5. Strongly promote UN-Habitat's 'value for money' advantage, especially in development and tailoring of normative products for sustainable urban development

6. Produce regular data showing UN-Habitat's contribution to country level SDG target achievements. Use this to advocate for increased core funding or less tightly tied funding

B. Enable programmatic integration towards transformative results: UN-Habitat is achieving transformational results and must strengthen systems to acknowledge, support and increase these, and enable meaningful measurement of progress.

Potential actions

1. Develop a clear Theory of Change linking focus area results to the Strategic Result to increase linkage of programmatic work back to the Strategic Result

2. Develop a set of 'transformational indicators' to track transformational work and re-orientate programming to greater integration and to achieve multiple benefits where possible

3. Link programmatic results to knowledge management and use concise knowledge products for future programming, advocacy and resource mobilization

4. Integrate all of the organisational enablers (Partnerships, Advocacy, Resource Mobilization – PAR) into planning and reporting to assist projects to extend and multiply results beyond single investments

5. Add Risk and Resilience (disaster risk management/city resilience planning) as a fifth cross-cutting issue into programming due to the current level of interest amongst partners into it

C. Advocate for 'fit-for-purpose' UN structure and systems: Given UN-Habitat's identified leadership role in the New Urban Agenda, input into the Secretary General's review should advocate for a governance structure that is in line with current good practice oversight and one that enables rather than hinders operational functionality.

Potential actions

1. Provide strategic input to the General Council review of UN-Habitat, particularly structural concerns raised in the Peer Review of the Medium Term Strategic and Institutional Plan 2008-2013 that are still relevant; the impact of declining core resources in the light of UN-Habitat's expanding mandate and management aspects to improve structure and function that have been raised in all four recommendations

2. With the United Nations Office at Nairobi and United Nations Office for Project Services, review the benefits and cost of outsourcing finance and human resource functions, and adjust arrangements to achieve best value for money and efficient delivery of the approved Strategic Result

3. Identify where current United Nations Rules are not fit for purpose and seek systematic exceptions to enable efficiencies

4. Input into the Secretary General's review should advocate for a governance structure in line with current good practice oversight based on available international guidelines, that enables rather than hinders operational functionality

5. Consult stakeholders and consider how best UN-Habitat should better implement 'Delivering as One' in relation to the expanded mandate from Sustainable Development Goal 11 and the New Urban Agenda

D. Improve internal effectiveness and efficiency: There are a range of initiatives underway to improve internal efficiency. These require serious attention by senior management to improve strategic results.

Potential actions

1. Bring together information gathering, knowledge management, monitoring and communications into one Division with direct access to the Executive

2. Engage urgently with the Umoja 2.0 design process to communicate requirements for greater responsiveness to operations

3. Conduct an 'Umoja CAN DO' campaign and undertake necessary change management or training to address resistance

4. Work with the United Nations Office at Nairobi Change Management initiative to improve internal business process efficiency and set service standards

5. Improve functioning of Project Accrual and Accountability System for both management information and links to Umoja financial reporting to improve accountability on cost-efficiency and streamline reporting requirements to Governing Council and Committee of Permanent Representatives

1. INTRODUCTION

1. This report documents findings from a Mid-Term Evaluation (MTE) of the UN-Habitat Strategic Plan 2014-2019. The intent of the evaluation is to:

   a) Assess the progress achieved in implementing the Strategic Plan and achieving the overall strategic result through work across the seven focus areas

   b) Assess the continued relevance, effectiveness and impact of the strategic plan

   c) Explore the extent to which UN-Habitat is achieving transformational results in relation to the Strategic Plan

   d) Understand the context within which UN-Habitat works, particularly in the light of Habitat III, the New Urban Agenda (NUA) and the Sustainable Development Goals (SDGs)

   e) Provide recommendations on strategic, programmatic and structural changes to improve performance for the remaining period of the Strategic Plan

2. This document has been prepared to respond to the evaluation Terms of Reference (TOR) but also, in line with the guidance from UN-Habitat's Committee of Permanent Representatives (CPR) and UN-Habitat management, to be concise and direct in presenting its findings (see TOR in Appendix 1). This report therefore assumes that readers already have an understanding of UN-Habitat, its mandate and the development context in relation to Habitat III, the NUA and the SDGs. For any reader wishing to find out more, there are many references provided as background. These are outlined in the bibliography and referred to in the text.

3. The report responds to a set of guide questions compiled by UN-Habitat. These are listed in the methodology in Section 1.3. See also Table 1 on page 6 for summary of findings at a glance in relation to the evaluation questions. To aid analysis, presentation, and comparability with other evaluations, the findings of this MTE are presented in line with standard evaluation criteria.[1] The evaluation's intended audience is the UN-Habitat Committee of Permanent Representatives and, through them, the General Council (GC), UN-Habitat management and staff and relevant stakeholders.

1.1 Background and Context to the Strategic Plan

4. The current international context is one of increasingly rapid, expanding urbanization which countries and cities struggle to manage. In September 2015, the United Nations Sustainable Development Summit adopted the 2030 Agenda for Sustainable Development. Agenda 2030 contains 17 SDGs and 169 targets for sustainable development. UN-Habitat is leading and supporting the implementation of SDG 11: *Make cities and human settlement inclusive, safe, resilient and sustainable.*

5. In October 2016, the Third United Nations Conference on Housing and Sustainable Development (Habitat III) produced the New Urban Agenda (NUA) outcome document. The New Urban Agenda stresses the importance of urbanization as a source of development and an engine for prosperity and human progress, as reflected in the 2030 Agenda for Sustainable Development. The NUA outlines actions to change the path of urbanization and identifies key actors: It recognizes UN-Habitat as a focal point in the UN System on sustainable urbanization and human settlements.[2] The NUA tasks UN-Habitat with promoting the elements of the New Urban Agenda, maintaining its leadership role in the delivery and reporting process and working with other UN agencies and stakeholders to support country-level implementation. At the same time, UN-Habitat must ensure delivery of its own objectives, which form the basis of international normative and operational good practice for sustainable urbanization and sustainable cities.

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1 UN Evaluation Group: Standards and Norms for Evaluations, 2015
2 UN Resolution 71/256 NUA. Paragraph 171

Box 1. UN-Habitat Strategic Plan 2014-2019

Vision: UN-Habitat promotes the stronger commitment of national and local governments as well as other relevant stakeholders to work towards the realization of a world with economically productive, socially-inclusive and environmentally-sustainable cities and other human settlements.

Mission: UN-Habitat, in collaboration with relevant stakeholders and other United Nations entities, supports governments and local authorities, in line with the principle of subsidiarity, to respond positively to the opportunities and challenges of urbanization by providing normative or policy advice and technical assistance on transforming cities and other human settlements into inclusive centres of vibrant economic growth, social progress and environmental safety.

Goal: Well-planned, well-governed and efficient cities and other human settlements with adequate infrastructure and universal access to employment, land and basic services, including housing, water, sanitation, energy and transport.

Strategic result: Environmentally, economically and socially sustainable, gender-sensitive and inclusive urban development policies implemented by national, regional and local authorities have improved the standard of living of the urban poor and enhanced their participation in the socio-economic life of the city.

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6. **Continuity from MTSIP.** This Strategic Plan 2014-2019 was preceded by the Medium Term Strategic and Institutional Plan 2008-2013 (MTSIP), which was intended to sharpen UN-Habitat's focus and enhance coherence between the normative and operational elements of work. A peer review of MTISP in 2012 found that there was overall good performance on substantive issues but slow progress on a range of management and structural issues. The review also made a number of recommendations, and implementation of these is reviewed in this mid-term evaluation.

7. **Purpose and structure of the Strategic Plan.** The purpose of the Strategic Plan is to provide direction and focus for UN-Habitat and its partners. It is organized in three parts: **Part I** Strategic Analysis (Why?); **Part II** Strategic Choice (What?) and **Part III** Strategy Implementation (How?).

8. The formulation of the **Vision, Mission, Goals and Strategic Result** is important to provide clarity of purpose and guidance for operations. The Strategic Plan's key guiding statements as described in the Strategic Plan are shown in Box 1. In conducting this mid-term evaluation, all aspects of the guiding statements were tested and were apparent throughout the process. The wording highlighted in Box 1 was most frequently discussed. It was

notable that the phrase **'sustainable urbanization'** is used often in UN-Habitat documents, but is not used in the key guiding statements. This outlines the process by which urbanization occurs in a manner consistent with sustainability principles of balanced progress across economic, social and environmental outcomes and on the basis of protection of human rights and equity.

9. The focus of the Strategic Plan clearly targets support to governments and local authorities but the ultimate result is to improve the standard of living for the **urban poor**. The connection between sustainable cities and other human settlements is clearly outlined in the Key Guiding Statements and is also emphasized in the New Urban Agenda and Sustainable Development Goal 11.

1.2   Strategic Plan Delivery Mechanisms

10. **Executive and operational delivery.** Executive functions in place to facilitate delivery of the Strategic Plan include the Office of the Executive Director, Management and Operations, Programmes, and the External Relations Division. Programmes and services are delivered through normative and field structures. The UN-Habitat Strategic Plan 2014-2019 was designed to be transformational in technical aspects of sustainable urbanization and towards a vision of sustainable cities. In 2011, an organizational restructuring process took place, effective from 2012. This established the current structure - a project-based organization with three Divisions and seven Branches, each aligned to the seven focus areas outlined in the Strategic Plan. Four of these focus areas (highlighted in green in Figure 2) were prioritized for the Strategic Plan. The seven focus area Branches are located in the Nairobi office. Branches are coordinated with the regional and country level through four Regional Offices, three liaison offices and Project Management Coordination Desks (HPMs) at country level. Normative work delivery is implemented in a linear style (pillars), rather than the connected model of operation envisaged in the Strategic Plan (Figure 2). The one branch with more of an organization-wide mandate is Urban Research and Capacity Development.

Figure 2. Connected model of cooperation

Executive Direction
Executive Office, GC Secretariat, Evaluation, Legal

MANAGEMENT OFFICE

Finance

Monitoring

Programme
Planning

Project
Administration

Human
Resources

IT

Office Support

Knowledge
Management

Urban Land,
Legislation &
Governance

Research
& Capacity
Development

Urban Basic
Services

Risk
Reduction &
Rehabilitation

Housing
& Slum
Upgrading

Urban
Planning &
Design

Urban
Economy

PROJECT OFFICE

Project
Implementation
Support

Resource
Mobilization

Portfolio
Coordination

Reporting

Cross - Cutting
Coordination

Gender, Youth,
Best Practices,
Climate Change,
Capacity Development

Operational Platform UN-Habitat Regional Offices
Africa - Arab States - Asia - Latin America

External Relations
Advocacy, Outreach, Communication, Partners

Source: *UN-Habitat Strategic Plan 2017 - 2019 (Figure 1, p.20)*

11. **Human Resources and Finance Management through UNON.** Established by the General Assembly in 1996, the United Nations Office at Nairobi (UNON) performs representation and liaison functions on behalf of the Secretary-General in Nairobi. The Secretariat is a UN structure in its own right and receives its own allocation of core funds from the UN budget. It provides administrative and other support services to the two United Nations agencies headquartered in Nairobi, the United Nations Environment Programme (UNEP) and the United Nations Human Settlements Programme (UN-Habitat), and provides joint and common services to the regional offices of other United Nations organizations.[3] The arrangement with UNON arose at a time when the agencies were not able to provide these services internally. Over the years

this structure has established protocols and rules governing its two key functions – popularly known as United Nations rules. Each of the agencies pays UNON an annual fee for the provision of services.

1.3   Mid-Term Evaluation Approach and Methodology

12. **Evaluation Objectives, Scope and Management.** The objectives of this Mid-term Evaluation are to assess UN-Habitat's progress in the **implementation** of the Strategic Plan towards achieving the overall strategic result; the extent that implementation is bringing about **transformative** change and the continued relevance, effectiveness and impact of the Strategic Plan. Specific objectives, evaluation key questions and the evaluation framework for investigating the questions based

3   http://www.unon.org/accessed25/03/2017

on the standard evaluation criteria are provided in the evaluation matrix in Appendix 2. The evaluation covers the performance of the full scope of UN-Habitat operations against the Strategic Plan 2014-2019 as the key reference document and reports on the indicators of achievement of the Strategic Plan's **overall Strategic Result**. A small reference group was established to oversee the evaluation process with members from the Programme Division, Division of Management and Operations and the Office of the Executive Director (OED), managed through the Evaluation Unit. The Strategic Plan MTE was conducted between February 24 and March 31, 2017 by two senior evaluation specialists.[4]
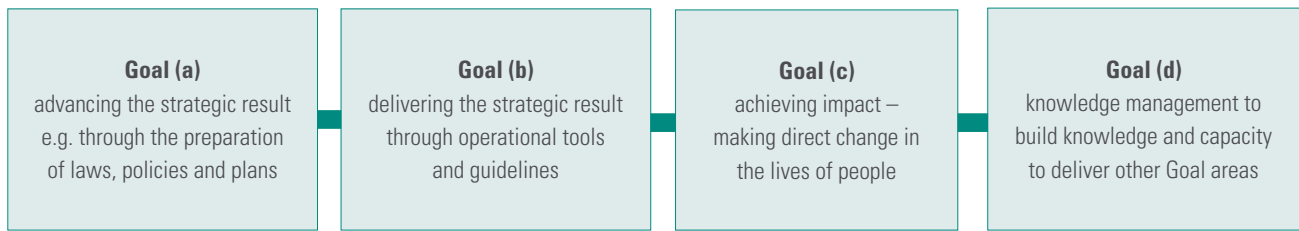
13. **Evaluation Methodology.** This evaluation assesses the extent to which UN-Habitat's overall performance aligns with, and is guided by, the Strategic Plan, and reviewed each section of the Plan and supporting documentation. First, the evaluation considered the strategic context, the results framework and the validity of the key guiding statements (Vision, Mission, Goal and Strategic Result). The evaluation briefly looked at each of the focus areas and cross-cutting areas. These are not covered in detail, and an overview of focus area performance was extracted from Annual Reports and Biennial Global Activities Reports. Rather, the evaluation considers how the performance links to the Strategic Plan through contribution, using theory of change methodology rather than attribution. It is not possible to assess attribution of UN-Habitat's work due to its extensive involvement with partnerships and networks where contribution and causal pathways are complex. The evaluation then considers strategy implementation, whether the proposed mechanisms are in place and are effective for delivery of the strategy. The MTE included a broad document review and interviews with key stakeholders: UN-Habitat staff, Committee of Permanent Representatives (CPR) members, donors and relevant UN-Habitat partners. Interviews were conducted both face-to-face in Nairobi and remotely via telephone or Skype. The methodology also included two online surveys to gauge the opinions and views of external stakeholders: one for members of the CPR and the other distributed to all Implementing Partners. Feedback sessions on draft findings were held with senior management and a workshop was held with key staff to validate and deepen findings.

14. **Limitations.** The main limitation for the evaluation was the timeframe of four weeks for data collection and analysis in the field, which limited the scope and depth of the analysis. In particular, the extent of engagement with all documents was constrained so there was not sufficient time to build a comprehensive picture of detailed achievements across the seven programme areas. This means that the assessment of performance relies heavily on internal documentation with some cross-verification through internal interviews and through the stakeholder survey. In particular, this prevented an evaluation of the quality of UN-Habitat programme areas. It was possible to draw inferences to quality based on demand for products, extent of scale up and partner responses but this in no way substitutes for focused evaluations of programme content. The timeframe also limited direct engagement with all levels of the seven programme areas, and allowed only brief engagement with Regional staff. The evaluators have taken a cross section, and understand this may not fully represent the situation across the organization. The two surveys had limited time allocated for responses. There were insufficient responses from the Committee of Permanent Representatives to provide a valid sample for quantitative analysis, although the qualitative responses were noted. Similarly, a larger response rate for implementation partners may have been achieved with a longer timeframe. (See Appendix 3 for a summary of survey results). Part of the evaluation brief was to determine whether UN-Habitat programmes are transformational. Examples provided in interviews, evaluation documents, interviewee references and project storytelling documents were verified where possible but the timeframe prevented verification of all information, and again the conclusions here should be further verified through, in particular, evaluations of regional programmes.

15. **A draft Theory of Change (TOC)** was developed for the evaluation and helped to guide the analysis. This was necessary because measures in the Results and Performance frameworks did not clearly demonstrate the link between operational outputs and results and the Strategic Result and Goal as stated in the Strategic Plan. These also needed to be linked to the New Urban Agenda and Sustainable Development Goal 11 as the ultimate measures for UN-Habitat's work. To assist the evaluation analysis, the Strategic Plan Goal statement was used as the basis for four intermediate goal statements against which operational results could be considered. These were drafted by the evaluators and do not appear in the Strategic Plan:

4   Evaluation Specialists were Dr. Dorothy Lucks and Ingrid Obery

Goal (a)	Goal (b)	Goal (c)	Goal (d)
advancing the strategic result e.g. through the preparation of laws, policies and plans	delivering the strategic result through operational tools and guidelines	achieving impact – making direct change in the lives of people	knowledge management to build knowledge and capacity to deliver other Goal areas

16.   The draft TOC in Figure 3 also indicates the central role of building normative practices and shows how collective impact is achieved through integrated programming: shown in the diagram by yellow and red arrow bands.

Figure 3. UN-Habitat: Transformative Action achieves Sustainable Cities (theory of change).

SHARED VISION	**SDG 11:** Make cities and human settlements inclusive, safe, resilient and sustainable **NEW URBAN AGENDA:** SUSTAINABLE CITIES			
STRATEGIC RESULT	Environmentally, economically and socialy sustainable, gender-sensitive and inclusive urban development policies implemented by national, regional and local authorities have improved the standad of living of the urban poor and enhanced thier participation in socio-economic life of the city			
UN-HABITAT GOAL	**Goal (a):** The process of sustainable urbanization, based on human rights and equityis adopted globally	**Goal (b):** Countries and cities developand implement co-ordinatedlaws, policies, plans and systemsbased on sustainability principles	**Goal (c):** Connected planning, infrastructureand service delivery leads to improved well-being of citizens	**Goal (d):** Increased knowledge and capacity of key actors at local, national and global levels about sustainable cities and urbanization

Integration → Collective Impact ← Integration

PERFORMANCE INDICATORS	Develop national, regional and city legislative and governance capacity for sustainable city development	Improved planning frameworks for sustainability adopted by partner authorities	Improved policies, guidelines and use for sustainable urban basic services	Global and national sustainable housing strategies linked to national plans	Risk reduction in government planning. Sustainable recovery and reconstruction interventions	Improved monitoring and knowledge on sustainable cities

Norms   Practice

FOCUS AREAS	1. Urban Legislation and Land Governance	2. Urban Planning and Design	3. Urban Economy	4. Urban Basic Services	5. Housing and Slum Upgrading	6. Risk Reduction and Rehabilitation	7. Research and Capacity Development

PROBLEM	Rapid urbanization is occurring globally. The proportion of rural poor is growing. Cities are environmentally, economically and socially disconnected and inequitable. National, regional and local authorities worldwide do not have integrated legal, land use, financial and service delivery plans that achieve sustainable outcomes.

2. EVALUATION FINDINGS

2.1 Evaluation Questions Findings Summary

17. A summary of findings against the three evaluation questions from the TOR are presented in Table 1, along with supplementary questions for each.

Table 1. Summary of key findings against the evaluation questions

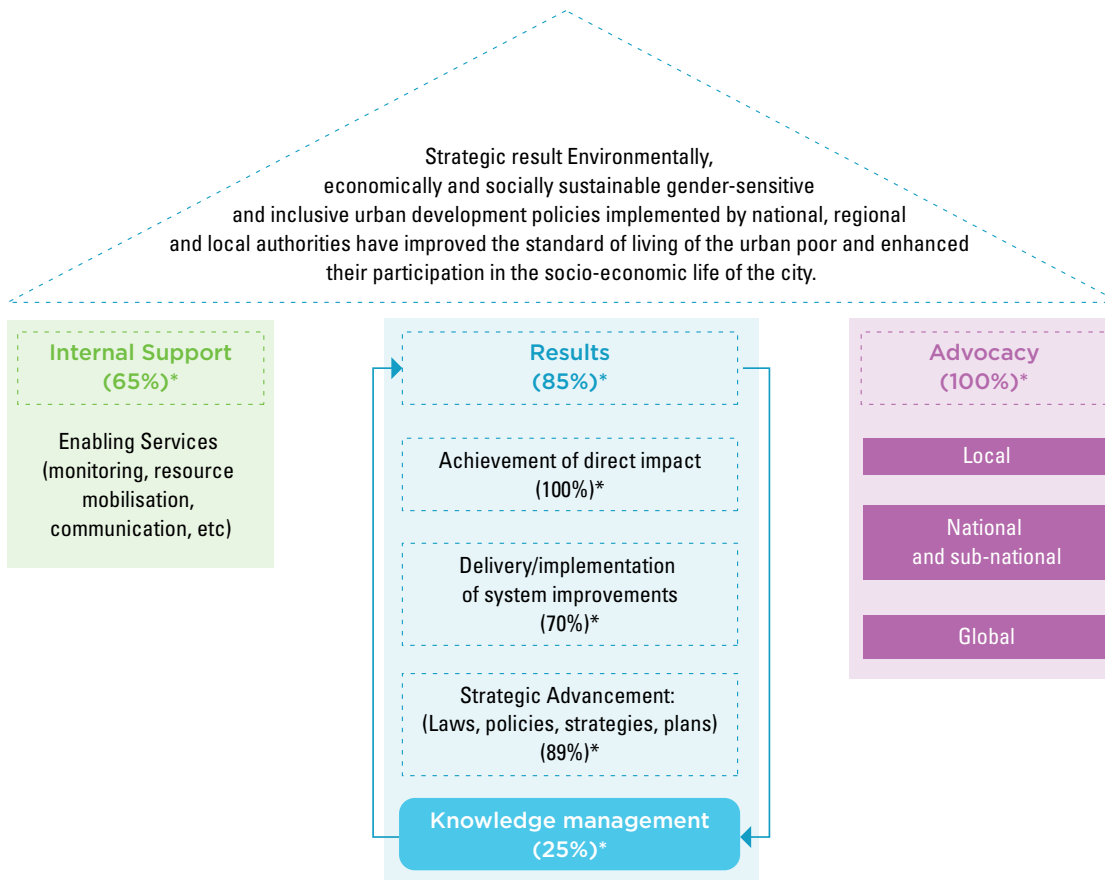| KEY EVALUATION QUESTION 1	SUMMARY OF FINDINGS
i) Assess progress towards achieving the strategic result and focus area results, as contained in the Strategic Plan results framework for 2014-2019. **SUPPLEMENTARY QUESTIONS** • To what extent is UN-Habitat progressing towards the achievement of the plan's strategic result? • Have any contributions been made to achieving sustainable urbanization at global, national and local levels?	Annual Progress Reports show good progress in achieving indicator targets for all focus areas and the Global Activities Reports document extensive achievements in the Regions. The aggregated indicators for the Strategic Result (termed Goal in Results framework) are not reported. Most of this information is available within the agency and could be collated. Indications are that good progress is being achieved. Based on focus area performance reports, progress is high but as noted in the methodology, there was limited opportunity to probe into the veracity of reports. Nonetheless, evidence from interviews and evaluation reports confirmed that good progress is being achieved. UN-Habitat's key contribution to achieving sustainable urbanization is global recognition of urbanization as a driver of development, and the number of indicators throughout the SDGs that relate to urban settlements. However, UN-Habitat has not optimized this leading position by communicating achievements widely. It also does not have an integrated strategic knowledge management function to support its extensive and deep knowledge production capacity.
KEY EVALUATION QUESTION 2	**SUMMARY OF FINDINGS**
ii) Assess the continued relevance, effectiveness and impact of the strategic plan driving changes in how UN-Habitat sets priorities, plans and implements the Strategic Plan. **SUPPLEMENTARY QUESTIONS** • How effective has UN-Habitat been in implementing the strategic plan at regional and country level, working under Delivering as One principles? • What has changed and what are elements of continuity since the adoption of the Strategic Plan 2014-2019, which followed the MTSIP 2008-2013? • To what extent have the UN system reforms affected the implementation of the Strategic Plan 2014-2019? • How effectively and coherently has UN-Habitat, as a matrix organization, delivered and achieved integrated approaches towards [sustainable] urbanization?	This evaluation found that UN-Habitat's strategy continues to be relevant and effective in the rapidly changing global context. The most significant change from the MTSIP is the move to a more strategic approach which places the legislative environment, urban planning and urban economics at the centre of thinking. Continuity can be seen in a number of areas such as the production of much used normative tools. Progress towards Delivering as One has been ad hoc. The evolving approach to multi-thematic programmes encourages more engagement across agencies but limited country coverage constrains deep engagement. The agency demonstrates very good implementation processes, although integration across the branches and between branches and field offices needs to improve. The matrix structure has improved integration, but there is some way to go in this area. Better monitoring linked to the Strategic Result would clarify the purpose of integration. This evaluation did not examine reforms of the United Nations system in any detail. However, UN-Habitat's UN-based governance structure is slow and unwieldy for its purposes, as are a number of the United Nations Office at Nairobi (UNON) secretariat's administrative requirements. There are also internal efficiencies that could be addressed to improve efficiency and better resource use.

KEY EVALUATION QUESTION 3	SUMMARY OF FINDINGS
iii) Assess the extent of transformational changes resulting from the delivery of the strategic plan, and the quality of UN-Habitat's work, through an examination of the development and delivery of the project portfolio.	The evaluation found good evidence of transformational changes resulting from UN-Habitat's work. These changes were at all levels including national (adoption and implementation of National Urban Policies and Plans, use of City Prosperity Initiative (CPI) results to inform planning), city management (many examples, of which some are slums upgrading, use of CPI data, building city capacity through Global Water Partnerships, energy efficient building specs included in national and local building codes, city resilience planning), and community (such as locally-designed and managed basic services, community representative structures legislated in Afghanistan).
SUPPLEMENTARY QUESTIONS	The evaluators specifically looked for transformational sustainability in the extent of capacity built at country level. There is a clear focus on participatory processes and attention to ensuring that local stakeholders do manage and deliver programmes. A number of normative products are also in use by universities.
• To what extent are cross-cutting issues (human rights, gender equality, youth and climate change), outlined in the Strategic Plan, effectively integrated into programme design and implementation of the Plan?	In the majority of examples found or cited, reference was made of specific interventions ensuring inclusion of women and youth and some excellent examples of transformative projects for women. More could be done to showcase such examples.
	It was not possible to determine if projects adhered to human rights principles and approaches. Climate change is generally addressed in city resilience and risk management processes but less as a proactive urban design approach.

2.2 Progress towards achieving the Strategic Result

2.2.1 The Big Picture

18.   This evaluation considers to what extent is UN-Habitat progressing towards the achievement of the plan's Strategic Result, and has the agency contributed to achieving sustainable urbanization at global, national and local levels? The Strategic Result seeks to achieve *Environmentally, economically and socially sustainable, gender-sensitive and inclusive urban development policies implemented by national, regional and local authorities have improved the standard of living of the urban poor and enhanced their participation in the socio-economic life of the city.* At the global level, UN-Habitat's key contribution to achieving sustainable urbanization is global recognition of urbanization as a driver of development, and the number of indicators throughout the Sustainable Development Goals that relate to urban settlements. This link is depicted in the draft theory of change in Figure 3 on page 6.

19.   **A fragmented picture.** UN-Habitat does not specifically report against the Strategic Result in any of its documents or measuring frameworks. (See Strategic Plan Monitoring and Reporting, page 28). The global picture can therefore only be inferred from focus area specific programme, regional and financial information.

20.   In order to gain a more coherent picture, the evaluation synthesised available performance data and reconfigured the reported results to assess the extent and quality of performance towards the Strategic Result (Figure 5). The structure is drawn from the Strategic Plan's new Functional Structure and the results in the diagram are drawn from the 2016 draft Annual Performance Report indicator table. In the Strategic Plan, Research and Capacity Development is located alongside other Focus Areas. However, it is shown as a separate element in Figure 4 because the knowledge generation in the organization arises through the other Focus areas and global and regional activities. The resultant analysis demonstrates positive operational results and some management challenges but seemed to indicate a low performance for knowledge management activities.

Figure 4. Analysis of UN-Habitat results 2016, percentage of indicators achieved.
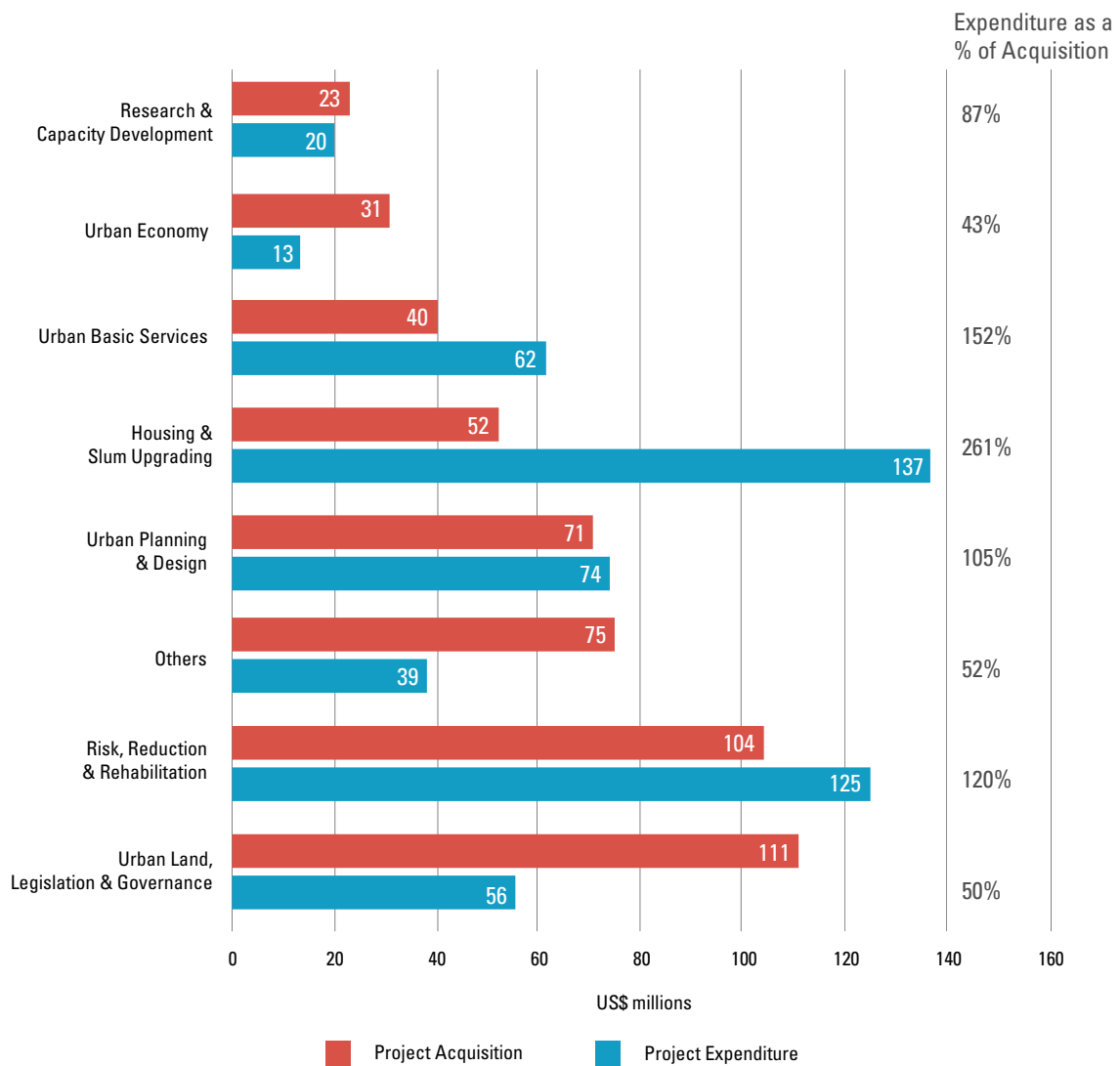

Strategic result Environmentally,
economically and socially sustainable gender-sensitive
and inclusive urban development policies implemented by national, regional
and local authorities have improved the standard of living of the urban poor and enhanced
their participation in the socio-economic life of the city.

**Internal Support
(65%)***

Enabling Services
(monitoring, resource
mobilisation,
communication, etc)

**Results
(85%)***

Achievement of direct impact
(100%)*

Delivery/implementation
of system improvements
(70%)*

Strategic Advancement:
(Laws, policies, strategies, plans)
(89%)*

**Knowledge management
(25%)***

**Advocacy
(100%)***

Local

National
and sub-national

Global

* Consolidated performance in terms of accomplishment vs targets in the PRM - see text for methodology

Source: MTR Evaluation Team based on data from UN-Habitat Annual Report 2016 (draft)

21. Figure 5 looks at project acquisition against project expenditure over the first three years of strategy implementation. This shows that Housing and Slum Upgrading, Risk Reduction and Rehabilitation, Urban Basic Services and Urban Planning and Design all were able to mobilise additional resources above core budget and spend more than was acquired. Housing and Slum Upgrading in particular shows an expenditure of USD 137 million against project acquisition of only USD 52 million. This is encouraging as the Slum Upgrading branch reported that the Participatory Slum Upgrading Programme approach is now incorporated into a number of country policies. The poorest performers in terms of funds leverage are the Urban Economy and Urban Land, Legislation and Governance, both of which spent 50 per cent or less of acquired funds and with no indication of leveraged additional funds. As two critical pillars of the three-pronged approach which, together with Urban Planning, form the basis for effective delivery of the NUA in a country, it will be important to determine what the bottleneck on expenditure is – this will require more in-depth evaluations per branch. Interviews with staff indicated that these focus areas are work in a range of activities related to their specific plans and in production of useful normative tools. However, the underspending may be a result of the 2015 Umoja-linked slowdown, or of staff reductions.

Figure 5. Project Acquisition vs Project Expenditure 2014-2016 by Branch

Expenditure as a
% of Acquisition

Branch	Project Acquisition	Project Expenditure	Expenditure as a % of Acquisition
Research & Capacity Development	23	20	87%
Urban Economy	31	13	43%
Urban Basic Services	40	62	152%
Housing & Slum Upgrading	52	137	261%
Urban Planning & Design	71	74	105%
Others	75	39	52%
Risk, Reduction & Rehabilitation	104	125	120%
Urban Land, Legislation & Governance	111	56	50%

US$ millions

■ Project Acquisition   ■ Project Expenditure

Note: *Where project expenditure exceeds acquisition, this indicates that the Branch has mobilized additional funds to support projects from other sources.*

Source: *MTE 2017 with data from the PAAS system*

22.   Looked at another way, the expenditure across the focus areas for 2016 demonstrates that UN-Habitat invests the largest extent of core and non-core resources on housing and slum upgrading, followed by Risk Reduction and Rehabilitation (Table 2). The smallest users of resources are the Urban Economy and Research and Capacity Building, both important focus areas. This may require rethinking the portfolio in a more strategic way.

Table 2. Percentage of total expenditure used by each focus area in 2016

| Focus Area	Percentage of 2016 annual expenditure
Housing & Slum Upgrading	24%
Risk Reduction & Rehabilitation	20%
Urban Planning & Design	16%
Urban Basic Services	10%
Urban Land, Legislation and Governance	10%
Urban Economy	8%
Research & Capacity Building	6%
Other	5%

Source: MTE 2017 with data from the PAAS system

23. **Regional Disparity.** Figure 6 shows that the spread of focus area expenditure across the regions is relatively consistent in percentage terms in relation to the total spend in each region. The exceptions are Urban Economy, which appears to be focused almost exclusively in Africa, and Risk Reduction and Rehabilitation that shows more activity in the Arab States – which may be expected in the current context. Housing and Slum Upgrading, has a very small activity base in Africa, which is surprising given the focus of many development partners and the level of need. This evaluation did not explore the reason for the disproportionate spread of the portfolio but clearly there is extensive need which is being addressed in Asia and the Pacific. Moving forward, it may be necessary to determine the extent of need in Africa and the Arab States, particularly in terms of enabling countries to embrace the New Urban Agenda.

Figure 6. 2014-2016 Regional expenditure showing focus area distribution
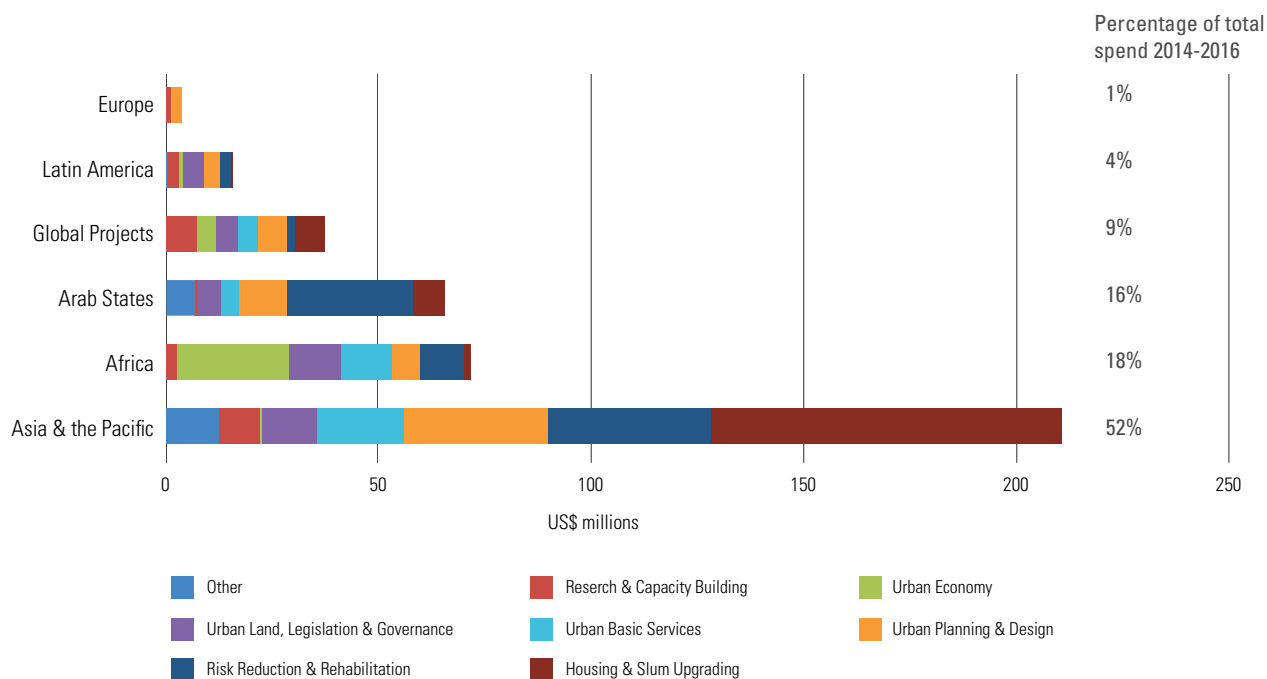
Source: MTE 2017 with data from the PAAS system

Figure 7. Summary of results (achievement of indicators) by focus area, 2016
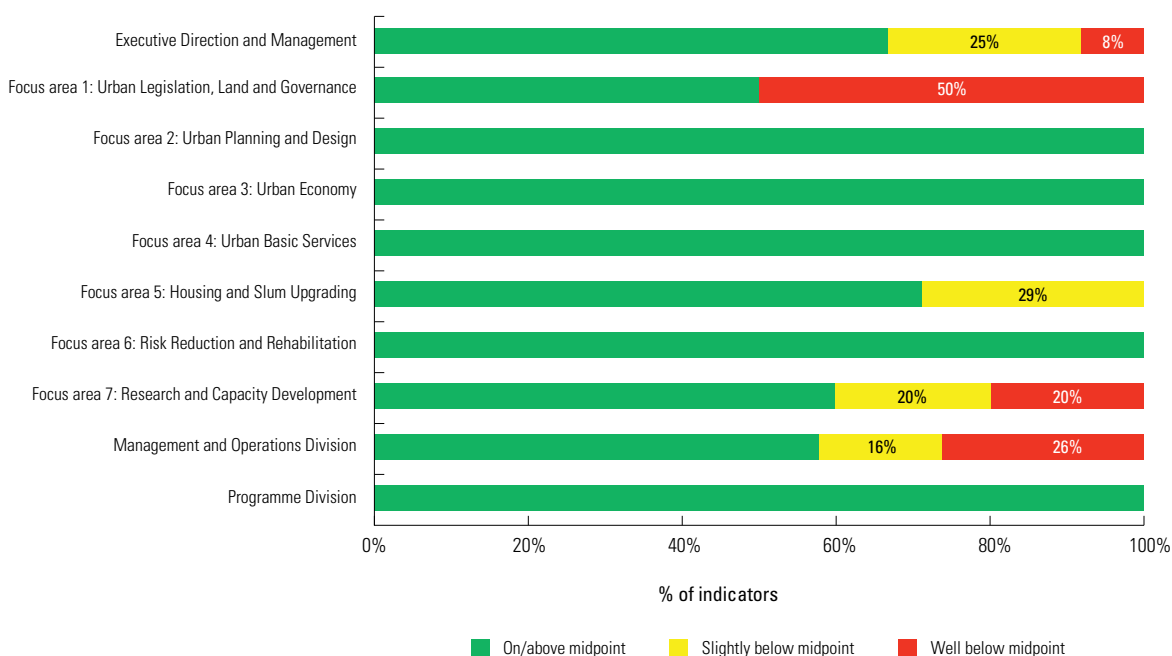
Source: MTE 2017 with data sourced from the draft 2016 Progress report.

24. **Delivering as One (DaO).** The Strategic Plan states that: 'Of importance will be the enhancement of UN-Habitat participation in the 'Delivering as One' (DaO) initiative at the country level, including its participation in the United Nations country teams and the UNDAF'. There is evidence that UN-Habitat is addressing the way it can improve DaO at country level, although where there is no country presence this is a recognized challenge. The last formal review of UN-Habitat's contribution to DaO was in 2011, when its participation in pilot countries was judged to be 'good'. The review recommended that UN-Habitat should 'consolidate(s) all in-country activities in a coherent, structured and coordinated fashion so as to present a complete profile of the agency's competencies and comparative advantage'.[5] This evaluation found anecdotal evidence of DaO, particularly in longer-term country level engagements over a range of projects. But this can be difficult. For example, cross-cutting mainstreaming and focused interventions compete for funds with other UN agencies. However, there is a conscious effort to build partnerships, particularly in terms of how agencies can work together to contribute

to the Sustainable Development Goals targets (two examples given were UN Women and the Commission on the Status of Women). UN-Habitat's identified leadership of the New Urban Agenda includes the role of convening joint interventions with other United Nations agencies.

2.2.2 Focus Area Performance

25. There is also variation in performance in terms of achieving targets by focus area or organizational unit (Figure 7). Reporting for 2016 shows that Focus Areas 3, 4, and 6 are reportedly on track for all indicators. Performance against indicators is lower for Focus Areas 1 (Urban Legislation, Land and Governance) and 7 (Research and Capacity Development). It is important to note that there is a variation in the number of indicators for each area (range of 3 to 19) and that there may also be variation in the extent to which indicators are realistic. If these achievement levels are compared to the level of acquisitions vs expenditure and achievement towards the Strategic Result as shown in Figure 5 above and Figure 7 below, then the case for an indicator review is clear. For example, the 100 per cent achievement level for Urban

5   UN-Habitat Evaluation Brief: Review of UN-Habitat's Participation in the Delivering as One UN Initiative Evaluation Report 5/2011

Planning and Design appears appropriate but not for Urban Economy, which only showed 43 per cent expenditure against acquisitions for the year. And the indicator achievement figures for Urban Legislation, Land and Governance appear to show relatively poor performance against healthy acquisitions figures. However, this kind of comparison would be only the first stage of a more in-depth evaluation which could carefully consider figures against prevailing conditions, barriers to delivery as well as internal constraints or inefficiencies. The following summaries of focus area performance are drawn from agency produced reports and some interview information.

26. **Focus Area 1: Urban Legislation, Land and Governance.** By 2016, this focus area was not performing as well as others with performance in indicators relating to capacity building in land tenure for national and action partners lagging behind as well as local adoption of crime prevention strategies. In those indicators currently not on track, performance stopped after 2015, at which point they were on track. Partner political will and unpredictable funding have been important challenges for ensuring achievement in this focus area, as is the much longer time required between initiating and concluding legislative processes: one example cited was Saudi Arabia, where there had been the slow progress but the process of identifying more than 400 different legal instruments covering housing and urban planning had convinced the government of the need to rationalise legislation at a national level. Slow delivery is also hampered by the scarcity of lawyers who have appropriate skills and experience on the link between policy and planning law. Nevertheless, there have been important achievements and there is evidence of good performance across many countries in the annual progress reports. Global level achievements include knowledge sharing and capacity building through global networks and platforms. Legislative land governance practices have improved in project countries.

27. **Focus Area 2: Urban Planning and Design.** The progress in this branch has been extensive and rapid. All seven indicator targets were met or exceeded by 2015 and progress has been made toward all three expected accomplishments. Global achievements include acknowledgement of the importance of National Urban Policies for sustainable development by member states and partners through the adoption of the New Urban Agenda and Sustainable Development Goals, and formal acknowledgement at high-level events including the Habitat III conference. A number of pilot programmes are also testing methodologies for urban development. The progress reports provide many examples of regional or country level achievements with partners adopting improved plans, policies or frameworks, and utilising tools developed by UN-Habitat. The Branch has emphasised improving stakeholder involvement and partnerships and success is evident in increased demand for training and support. This includes involving partners in the development of normative products, as well as seeking their official endorsements to launch the products and engaging with them on subsequent steps associated. For example, this sequence is being followed in the development of the Guiding Principles for City Climate Action Planning that has potential for wider replication. The Branch has also recently developed a System of Social and Environmental Safeguards to allow accreditation to the Green Climate Fund, which is expected to support continued good performance. Notable initiatives such as the Urban Low Emissions Development Strategy (Urban-LEDS) and the Global Land Tool Network have increased capacity across multiple countries. These are also initiatives that provide evidence of effective normative outputs, and evidence of attempts to incorporate normative outputs in some country programmes such as in the Philippines and the State of Palestine. Urban Planning reported significant increase in demand for implementation of normative tools: 'we get more and more requests to review existing outdated policies and make them evidence based',[6] and partners are increasingly willing to pay. In Angola, for example, based on previous good experience, the government asked UN-Habitat for support in developing and implementing a National Urban Policy and made USD 683,000 available for this programme. The plan aims to improve multi-sector coordination to address issues such as infrastructure, slums and affordable housing, through the lens of urban and regional planning.

28. Urban Planning's assessment framework and approach[7] – implemented in 27 countries – is 'efficient and coherent, and counterparts find it very relevant to their contexts', giving countries a clear

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6 UN-Habitat staff interview, March 2017; Document review
7 UN-Habitat is supporting legislation development, a Manual to develop Municipal Master Plans, the Country-wide Strategy for Land Value Capture (a tool to finance urbanization), and the Country-wide Strategy for Slum Upgrading and Social Housing

idea about what they can achieve for the city and its people, and as a result 'municipalities are changing the way they work around planning'.[8]

29. **Focus Area 3: Urban Economy.** Progress was made and all four indicator targets have been achieved and likely to be exceeded by 2017. Integration of normative and operational work increased the capacity of partner cities to adopt policies, plans and strategies to improve financing of services and infrastructure (Box 2). For example, the Somalian and Afghanistan governments could improve revenue generation efficiency from existing sources through automation. There is a reported increase in the number of partner cities that adopted programmes supporting increased livelihood focusing on women and youth from 16 to 26. In the Philippines, an economic-spatial planning assessment was undertaken and a local economic development strategy and action plan finalized – this plan emphasizes economic impact on youth, women and other vulnerable households. The Branch has worked on an upgraded micro-finance training model. Although aligned to the urban economy, it does not directly relate to financing urban planning and management so as to account for growth. Overall, this is the least developed prong of the three-pronged approach and arguably one of the more important, as advances in financial management can create substantial benefit for more efficient allocation of urban resources, better deployment and equitable distribution of resources to development priorities. It is not often referred to in performance documents of other focus areas and may be a key focus for improved integration.

30. **Focus Area 4: Urban Basic Services.** This has also progressed well with all four indicator targets on track. Examples of achievements include local authority partners implementing legislative frameworks for increasing access to sustainable urban basic services. Close to 200,000 people have benefited from improved access to water and sanitation. The Branch focuses on catalysing investments through its activities. Investment has been mobilized to implement initiatives in urban mobility and energy, sanitation and hygiene. This is an area of performance that was visible to partners and was noted as a positive area of performance in the implementing partners' survey. The primary focus appears to be water and sanitation, building on many years of successful implementation and

trusted partnerships. It was suggested to the evaluators that the areas of energy efficiency and urban mobility need more attention if UN-Habitat's offerings to New Urban Agenda implementation are to be comprehensive. These are areas where UN-Habitat does have skills. For example, a product in this area specifically addressing demand is the manual *Sustainable Building design for Tropical Africa, Principles and applications for Eastern Africa* published by the The Urban Energy Unit, which was downloaded 15,000 times within two weeks of being uploaded onto the website.[9]

Box 2. Political Will and Participation Yield Benefits

Counties in Kenya have been in place for four years, and they are struggling to deliver adequate public services. They can no longer depend on national government funding and need sustainable solutions to their different socioeconomic challenges. To do this, counties need to collect sufficient revenue. The Kiambu county government looked to UN-Habitat for assistance. In 2014, a scoping study was done – the poorest people were contributing the largest portion of revenue and other sources were largely untapped, particularly land value taxation. The Kiambu Deputy Governor led a task force to improve revenue collection and a dedicated revenue management department was set up. Revenue improvements are already being seen. In the first year after implementation incomes from taxes and fees have doubled. One of the mechanisms is to use technology as much as possible – an example is the collection of market stand day rentals from informal traders using hand-held ticketing technologies. Kenya's new constitution requires all new legislation to have passed through a process of public participation. The Kiambu County Government passed a Land Rating and Valuation Act after a local consultative process. Property owners and community members were asked to meetings. 'People were more interested than we thought. This helped to guide us and gave us ideas we may not have thought of.'

UN-Habitat has worked with the authority to map land with GIS technology, and determine usage zones as the basis of an equitable land tax system. The analysis of land tax values indicates a potential of covering more than 50 per cent of the county's expenditure. The county has approached the Kenya Revenue Authority to assist with collections.

UN-Habitat has a critical role in providing the expertise needed to promote revenue enhancement for the development of infrastructure, particularly through capturing land value. However, it can only be accomplished through the partnership and full collaboration of local government staff. Although UN-Habitat can provide legitimacy to such programmes, the success depends on the political leadership and their aspirations.

Sources: *Urban Economy and Finance Branch, Discussion Paper #8: Supporting Revenue Enhancement in Kiambu County, Kenya. March 2017; Interviews, March 2017.*

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8   UN-Habitat staff interview, March 2017.

9   UN-Habitat staff interview, March 2017

31. **Focus Area 5: Housing and Slum Upgrading.**
Performance in this focus area has tracked steadily.
UN-Habitat contributed through the provision of
technical support and capacity development to local
and national authorities through normative work and
support for operational activities. Of particular note
in this focus area is that the PSUP has leveraged
funds sufficient funds to undertake extensive scale
up. These funds were raised through a range of
sources including global donors, the private sector
and development banks. The initiative also builds
in a requirement for the country to commit funds
to the process, and local capacity is built so that
'Eleven countries are now able to run the process
without UN-Habitat'.[10] Lessons learned have been
leveraged to upscale at various levels while new
initiatives were introduced to address the five
slum deprivations (access to safe drinking water,
sanitation, security of tenure, durable housing and
sufficient living space), especially for women and
youth. Global achievements were made relating to
scaling up implementation of the Global Housing
Strategy (GHS) in line with the Housing at the Center
approach, supported by national champions. Slum
upgrading activities were also progressed under the
Participatory Slum Upgrading Programme (PSUP)
Phase 3. In the Mid-Term Evaluation of the PSUP,
results were described as follows: 'The PSUP's
major achievement is influencing an increasing
number of countries to support slum upgrading
policies by joining the programme and committing to
the PSUP principles. And there is evidence of likely
sustained political support for slum improvement and
prevention when the programme ends.'[11]

32. **Focus Area 6: Risk Reduction and Rehabilitation.**
Progress was made towards the improvement of
urban disaster risk reduction and adaptation policies,
strategies and programmes for greater resilience
of cities and human settlements. This focus area
has steadily moved towards achieving its indicator
targets and is on track for all four targets. Global
achievements include development and use of
flagship products such as the City Resilience Action
Planning Tool (CityRAP), city profiles to inform
disaster responses and support for collaborative
responses to ongoing disasters and conflicts. Use of
these tools is gaining ground in a number of regions.
There have also been a large number of country level
achievements through individual projects reported on
in the annual progress reports. Some key challenges
include financial demands from the Syrian regional

crisis and donor fatigue resulting in reductions in
available funds. The 2016 Annual Report states the
importance of strong and consistent messaging to
donors and partners to address this. Risk Reduction
strategies are critical to every urban plan in every
city and it appeared from interviews that this work
focus is addressed in a relatively ad hoc way across
the programmes. A single UN-Habitat approach well-
grounded in experience already gained would be a
useful addition to the suite of cross-cutting themes.

33. **Focus Area 7: Urban Research and Capacity
Building.** Achievements in this final focus area have
been significant; however, they are not tracking
as well towards the indicators compared with the
other focus areas. Six of the eight indicators are
on track, though two are lagging and require more
effort. Progress tapered after 2015 in the number of
partners using UN-Habitat's monitoring tools and the
number of national governments using UN-Habitat's
resources to inform policy formulation. Global
achievements in this area include recognition of UN-
Habitat as the leading agency for monitoring nine of
the urban indicators for the Sustainable Development
Goals, as well as extensive local uptake of the Cities
Prosperities Index (CPI) methodologies by cities.
National achievements include adoption of improved
policies and utilization of UN-Habitat's knowledge-
based resources. An important sub-programme is
the Cities Prosperities Index (CPI), which has data
for almost 400 cities globally, showing that there has
been extensive local uptake of its methodologies.
Analysis of CPI data increasingly shows what
drives change: for example, the CO_2 emissions
study highlights inequalities, general city data can
indicate cost of living and a study in five cities to
measure the impact of a ten per cent increase in
Information and Communication Technology (ICT)
coverage with lower cost showed improved health
outcomes in one and transport improvements in four
others.[12] Resource constraints have also hindered
performance in this focus area. The Branch has
responded by fostering and coordinating partnerships
to take up some activities such as monitoring
responsibilities. Some adjustment of indicators for
this focus area seems warranted as the indicators do
not fully reflect the efforts and activities carried out.

34. **Cross-cutting themes.** Only Gender, Youth, Climate
Change and Human Rights are currently identified
as cross-cutting components, and their roles have
been strengthened through the marker measures at
the PAG level. The Gender Equality Unit is based in

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10 UN-Habitat staff interview, March 2017
11 Participatory Slum Upgrading Programme mid-term evaluation 2015

12 City Prosperity Initiative project document

the Programme Division, and Youth, Human Rights and Climate Change are based in different Branches. All of the cross-cutting teams are extremely active and engaged in a host of forums internationally. They appear to have presence at key international events, and have recorded evidence of vigorous showcasing at Habitat III. The teams are also active in working with partners to identify and then produce information to contribute to effective planning and implementation in these areas.

35. The cross-cutting markers in the Project Advisory Group process have raised awareness generally about the need to integrate these factors. It was reported that programme designers now seek advice on cross-cutting mainstreaming before submission to the Project Advisory Group. Importantly, mainstreaming into activities helps to identify how interventions affect different groups on the ground. The evaluation found that the location of the Gender Unit had distinct advantages – in particular it was reported that its location enabled good access to senior management and positive engagement around how to mainstream gender. The original 'Best Practices' cross cutting component was not established and Capacity Development is located in the Urban Research and Capacity Development Branch and is not identified as a crosscutting component. The evaluation found that Risk, as an integral and necessary component of urban planning and delivery, was not included as a cross-cutting theme. Programme coherence and sustainability would be improved by this addition.

36. As part of its objective to promote the strongly human rights-based New Urban Agenda, the **Human Rights** Mainstreaming Coordination Team (HRMCT), has produced a range of guidelines to help staff understand how to implement rights-based programmes in different country contexts. Their *Shorthand reference guide* outlines the United Nations human rights context in relation to UN-Habitat's Mandate, contains key references to human rights and urbanization, the Human-Rights Based Approach, the international human rights protection framework and agreed human rights-based language.

37. **Youth and Livelihoods,** which is a relatively well-resourced unit, has built effective approaches to mainstreaming youth-and-land issues and has produced a range of normative tools through jointly run programmes with the Branches. The unit has

contributed towards the appointment of a UN Youth Ambassador. The very high demand for youth-focused assistance, tools and support, reflects the problems that countries internationally have in effectively dealing with this sector of the population. Importantly, the unit is looking at where tools are used and whether the content is reflected at policy level.

38. Information produced by **Climate Change** initiatives include disaggregated spatial information to identify areas of cities at risk of climate change-related natural disasters; disaggregated information of air quality, sprawl and street space per capita at city level linked to Gross Domestic Product per capita.[13]

2.3 Relevance of the UN-Habitat Strategic Plan

39. Changing context strengthens UN-Habitat's mandate. The Strategic Plan was generated prior to the Sustainable Development Goals (SDGs) and the New Urban Agenda (NUA), which expanded UN-Habitat's mandate in urban development and human settlements.[14] The Strategic Plan is currently under revision and will be aligned fully to the SDGs and the NUA. The significance of the 2030 Agenda and the NUA outcome document to UN-Habitat underlines the case for reviewing implementation of the strategic plan. UN-Habitat has prepared a 'Monitoring Framework' as a guide to assist national and local governments in their efforts to collect, analyse and validate information as they prepare their country reports.[15] Activities related to the SDGs are now part of, and integral to, UN-Habitat's strategic plan and work programme and budget.

40. Increasing relevance of UN-Habitat approach. Overall, the Strategic Plan was found to be relevant to its context at the time of development, and has become even more relevant since then. UN-Habitat's approach based on the three prongs of Urban Policy and Legislation; Planning and the Municipal Economy was described as an important 'step change',[16] which facilitated a more strategic, holistic and integrated approach to interventions. Previously, all the different focus areas operated in relatively isolated

13 2016 Annual Progress Report (draft)
14 UN Resolution 71/256 New Urban Agenda, Paragraph 165: We reaffirm the role and expertise of UN-Habitat, within its mandate, as a focal point for sustainable urbanization and human settlements, …and Paragraph 171. We underline the importance of UN-Habitat, given its role within the United Nations system as a focal point on sustainable urbanization and human settlements, including in the implementation, follow-up to and review of the New Urban Agenda, in collaboration with other United Nations system entities.
15 Sustainable Cities and Communities: SDG Goal 11 – Monitoring Framework, March 2016
16 UN-Habitat staff interviews, March 2017

fashion. The three-pronged approach required consideration of all aspects of urban development and, importantly, sought to locate any intervention within the framework of an agreed (ideally national) policy that informed a process of urban planning, and which identified sources of finance for delivery and maintenance. It is broadly agreed that this approach prefigured the NUA and enabled UN-Habitat to make significant contributions to the development of the SDGs.[17] The launch of the SDGs, Habitat III and the release of the NUA have all heightened global development attention on the quest for sustainable cities. UN-Habitat is providing routes to solutions in aspects that are of great concern to countries and cities.

41. **Integration through multi-thematic interventions is most relevant.** In implementation, UN-Habitat has emphasized the first three Focus Areas: the 'three-pronged approach'. This was relevant in the initial implementation period, to emphasize the centrality that policy, planning and finance play in ensuring sustainable cities – and the centrality of these three elements will remain. However, the Strategic Plan intended that all seven Focus Areas 'will be implemented simultaneously as they are all important and all intertwined.'[18] In a number of examples found, UN-Habitat has integrated delivery and contributed to greater efficiencies. This tended to be over time and largely as a result of natural expansions of focus at regional or country levels rather than a planned process. Recently, the focus has turned to consciously planning multi-thematic interventions. As such, project proposals are required to show the integration of both normative and operational aspects and to adopt integrated approaches to solving development problems. The Project Advisory Group (PAG) peer review meetings are designed to facilitate discussions around opportunities for collaboration and integration. Agreed collaborations are formalized through in-house agreements to ensure clarity of the various components, results to be achieved, roles and responsibilities of various parties to include modality for resource allocation and sharing. This process is important to ensuring the continued relevance of Strategic Plan implementation.

42. **Lateral integration less evident.** The implementation of a matrix management approach aimed at enhancing the portfolio and enabling joined up delivery to ensure the centrality of the three-pronged approach. However, the nature of normative work means there is less practical impetus for integration across branches, and there are still tensions and inherent competition between branches based in Nairobi and regional offices. At times the Regional Offices are perceived as gatekeepers for substantive inputs and some people still feel the requirement for normative work to mobilize income creates competition with the field offices. Despite these negatives, there were also a lot of positive examples of normative and field office cooperation: one example is where the Global Land Tool Network (GLTN) has contributed to conflict reduction work in the Democratic Republic of Congo, helping to address land tenure and security issues.

43. **Demand as an indicator of relevance.** UN-Habitat is providing solutions or routes to solutions (via toolkits and instruments that are adaptable to contexts) in aspects that are of great concern to countries and cities. For programmes, stakeholder financing is increasingly available, ensuring local ownership and sustainability. Staff commented 'Often partners put some of their own money into development of tools.'[19] Two areas where this is markedly visible are the Participatory Slum Upgrading Programme and the City Prosperity Initiative. Normative tools are also gaining ground, being used, increasingly requested and adapted for different contexts: the GLTN was a good example of this with adaptations to enable tools to target youth and land.

44. **Implementing partners confirm relevance.** The responses to the survey of implementing partners demonstrated that they are strongly convinced regarding the relevance of UN-Habitat's work (Table 3). It also indicates that partners are not yet fully aware of the relevance of the New Urban Agenda (NUA) and that they are less convinced about the relevance of UN-Habitat's approaches to sustainable results.

17 UN-Habitat staff interviews, March 2017
18 Strategic Plan 2014-2019 p. 9.

19 UN-Habitat staff interview, March 2017

Table 3. UN-Habitat Relevance – Implementing partner survey responses

Statement	Agree (% of respondents)	Disagree (% of respondents)	Unsure (% of respondents)
a. UN-Habitat's focus on Sustainable Urban Development is relevant in the current development context	97	0	3
b. The UN-Habitat Strategic Plan 2014-19 is well aligned with the New Urban Agenda that was agreed at the HABITAT III conference in Quito in 2016.	74	3	26
c. UN-Habitat's strategy and approach emphasizes participation and ownership by stakeholders who stand to benefit from implementation.	91	3	6
d. UN-Habitat's approach is achieving changes in urban development that improve people's lives.	100	0	0
e. UN-Habitat's approach is appropriate to ensure that benefits achieved are lasting and sustainable.	75	19	6

Source: MTE survey of Implementing partners n=47.

45. **Maintaining relevance is critical in the next two years.** Development partners involved in sustainable urbanization and other aspects of urban development have expressed interest in engaging with Sustainable Development Goal 11 and the NUA process. It is evident that there are a range of initiatives that are emerging in alignment with the New Urban Agenda (NUA) such as the PSUP. To remain at the forefront of relevance of the NUA, and to provide the UN with a unique offering, UN-Habitat needs to demonstrate its relevance clearly so that it is not sidelined in other emerging priorities. 'Habitat expertise is recognized internationally and it is well structured with the seven branches to address the NUA' but it must 'remain current with the development priorities of the many partners interested in the sector'.[20] For instance, it was suggested by some staff and partners that normative work was needed to ensure the NUA had solutions for cities in crisis or dealing with disaster areas. The need to ensure that camps for Internally Displaced Persons (IDP) are addressed from the outset as consulted and planned city extensions under the auspices of a municipal authority, such as disaster areas that are being 'Built Back Better' in Haiti. Other areas of interest – such as absorbing migrant populations into cities and low emissions transport – are all areas where UN-Habitat has recognized knowledge and expertise. These kinds of priorities contribute directly to the Sustainable Development Goals, making them relevant entry points to achieving more strategic advancement on National Urban Policies, integrated City Plans and improved services to citizens. Demonstrating short and longer term benefits from these combined

services – having overall fewer cities in crisis – would make clear to stakeholders the relevance of UN-Habitat's role as a key agency in relation to SDG 11.

2.4 Effectiveness of Strategic Plan implementation

46. **Notable achievements.** In the relatively short period of the Strategic Plan implementation, some outstanding results have been achieved. UN-Habitat has built on its knowledge and experience to achieve both direct results with partners, and has contributed to shifting strategic approaches in the international context. Many examples of good performance were identified during the evaluation and other programme and general evaluations also noted good performance. UN-Habitat personnel are aware of what they need to deliver, and of the need to be accountable to donors. The technical expertise of staff is highly regarded and appreciated by partners.

47. **Activity-based performance is positive in the Strategic Plan base year.** As noted in Section 2.2.2, progress as described in the Annual Progress Reports is presented in terms of planned actions completed, in progress and those not yet started. The extent of programme result progress in relation to indicators is provided between 2014 as the base year and subsequent years. [21] The Annual Progress Reports record a positive level of achievement, with 100 per cent of all activities completed or in active implementation in 2014. However, there was no overall assessment of performance against indicators as it was the first year of implementation

20 UN-Habitat staff interview, March 2017

21 At the time of the Mid-Term Review, the 2016 Report was in draft

of the Strategic Plan. Good progress continued and the 2015 Report reported that, for 2014-15, 92 per cent of outputs were completed, with 5 per cent terminated and 3 per cent postponed due to the unavailability of financial resources. In relation to indicator targets in the 2014-15 work plan, 87 per cent of indicator targets were achieved by the end of 2015, while 10 per cent were slightly below target and 3 per cent well below the target.

48. **2015 performance affected by Umoja implementation.** Implementation of the Umoja system was a major factor in the distinct drop in activity performance in 2015 to only 57 per cent either completed or in progress as a result of substantial procedural delays. These delays did not impact on progress against indicators and a high level of performance was achieved because funds released in 2014 were still available for implementation into 2015. However, the 2015 delays show heavily in the 2016 drop in performance which declined by 10 per cent. Branch staff all agreed the cause was long delays in releasing funds for implementation, lost opportunities and exceptionally long procurement processes. Review of implementation documents confirmed these views to a large extent (see Table 4).

49. **Effectiveness for 2016.** The draft progress report for 2016 indicates that performance declined compared with the previous year both in terms of outputs and results indicators (See Table 4). Performance has risen to 63 per cent for activities completed and in progress and, while performance against indicators is lower than in 2015, the fall in on-ground performance has not been as dramatic – a 10 per cent drop in performance compared to an activity drop of 43 per cent in 2015. Staff reported that the impact of Umoja-related delays were mitigated by mobilising partner resources, reorganising workplans

to align with fund availability and finding alternative solutions to achieving partial results when full funds were not available. The draft results indicate that there is now recovery from the Umoja introduction. Overall, it was reported that 42 per cent of outputs were completed, 19 per cent are in progress, and 39 per cent yet to be started. In relation to indicator targets, 77 per cent were met for 2016, while 15 per cent were slightly below target and 9 per cent far below the target (see Figure 7).

50. **Limited analysis of results.** As noted in the methodology, assessment of effectiveness for this evaluation relies heavily on the existing progress reporting of the organization. Results are provided by Focus Area in Annual Reports, and primarily by Region in the biannual Global Activities Reports, but in both there is little consolidated analysis or reporting against the Strategic Result indicators. Where possible, results reported were verified during interviews but it was not possible to probe deeply into the performance of each focus area or overall progress towards the Strategic Result. Consequently, the summary in Section 2.2.2 is largely drawn from the UN-Habitat draft 2016 Progress Report, analysis of financial data provided by the Management and Operations Division and feedback through the stakeholder survey. These largely substantiated the interview process results that overall performance is positive. What is not clear from the performance reports is the extent of each programme's scope and contribution towards the Strategic Result. This would require a more extensive mapping of results and tracking of where results achieved are replicated. There is already some information on the UN-Habitat knowledge platform. A more comprehensive and strategic critical analysis of organizational coverage could benefit learning and extend results.

Table 4. Annual progress of outputs against focus area indicators

Performance criteria	2014	2015	2016 (draft)
Actions completed	67	34	42
Actions in progress	33	23	21
Actions not yet started	-	43	37
Average Progress against Focus Area indicators	N/A – SP released	87	77

Source: *UN-Habitat Annual reports 2014,2015, 2106 (draft)*

51. **Implementing partners confirm good results.**
The survey results show that implementing partners believe that the implementing arrangements in the partnership are successful and achieving good results (see Table 5). In terms of effectiveness, respondents were asked what group of stakeholders they believe benefit the most from UN-Habitat support. National Government was a clear front runner for benefits, with local government and community organizations also benefiting equally. There was less benefit perceived for private sector or community members. There is also less confidence

in relation to the extent citizens have been engaged in an effective way. This suggests that UN-Habitat needs to increase its available information regarding the ultimate benefits for end users of the plans and policies, even if programmes do not engage directly. However, the qualitative responses on what benefits have been achieved generated a wide range of statements, ranging from direct installation of basic urban services, to increased government capacity and improved urban plans. This range reflects the scope of work of the Strategic Plan.

Table 5. UN-Habitat Effectiveness: Implementing partner responses

Statement	Agree (% of respondents)	Disagree (% of respondents)	Unsure (% of respondents)
a. My organization partnership with UN-Habitat has been implemented in an effective way	97	3	0
b. Other stakeholder organizations have been involved in implementing this programme in an effective way	91	3	6
c. Citizens have been involved in this programme in an effective way	84	3	13

Source: *MTE survey of Implementing partners, n=47*

Figure 8. Comparison of core funds across agencies.
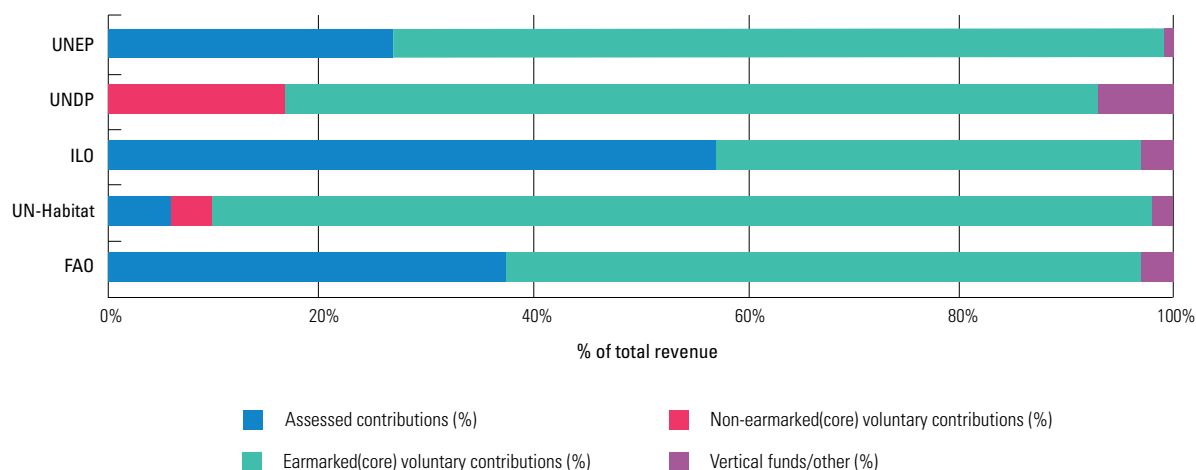
Organization	Total revenue (USD m 2014)
UNEP	702
UNDP	5,001
ILO	700
UN-Habitat	193
FAO	1,363

2.5 Efficiency of Strategic Plan implementation

52. **Providing value for money while stretching budgets.** UN-Habitat operates an extensive network of operations in relation to a global priority and does so with a high level of accountability.[22] The Strategic Plan does provide the direction to operate efficiently but declining core resources have severely constrained UN-Habitat's ability to run its administrative and support services. Staff are acutely aware of the shortage of funds and actively fundraise for priority activities. However, most of the funding is tied and this restricts normative and headquarters global developmental activities. This core funding decline has placed extensive pressure on the substantive functions of the agency, where significant reductions in skilled staff has required many individuals to double up on responsibilities, to take on management roles in 'acting' positions and make do with far fewer lower grade technical support staff. United Nations Office in Nairobi bureaucracy and processes are also not geared to support an agency that competes with others for funding and that needs to be agile, client responsive and flexible in its delivery processes. A good example of this situation is where the SIDA evaluation recommends[23] very necessary improvements to monitoring systems. The management response acknowledged this need but said 'it will require additional resources beyond the cooperation agreement to be fully implemented'.[24] This evaluation found monitoring was still an ongoing gap, largely because units lacked sufficient staff to drive implementation and undertake or oversee monitoring.

53. **Expanding expectations are not consistent with the available resources.** Figure 8 shows that funds across comparative organizations with global cover and knowledge-based approaches far exceed the resources available to UN-Habitat. It shows within that budget, the allocation of resource for core activities. This demonstrates that UN-Habitat with the available funds does operate at a high level of operational efficiency but is severely constrained by limited core funding. Yet the level of bureaucratic compliance required of UN-Habitat is similar to agencies more than five times their size. These constraints limit the agency's ability to work

within the UN Development Group (UNDG) and Delivering as One model. In addition, advocacy and coordination of UN-Habitat's expanded mandate and leadership role in the New Urban Agenda would have to be delivered through core funds as this is unlikely to be raised through project-based financing.

54. **The pain and the gain of Umoja.** Umoja's potential to inform management decision-making and reporting is underutilized. Implementation of Umoja was not preceded by an in-depth analysis of whether the proposed system was fit for purpose and a comprehensive mapping of organizational business processes. Good practice requires consultations with potential users to map system requirements, business process improvements, training needs and cross reference links to other databases. The cost-benefit of this process is well known. Generally, a large, organization-wide, multi-level and multi-user system is first tested in parallel to existing systems and requires a concurrent change management process to support staff through the changeover. It appears that not enough support could be provided, resulting in organization-wide frustration and a significant slowdown in delivery. Implementation also saw New York centralize key authorization functions, which further slowed UN-Habitat administrative processing. More than two years on, the impact of implementation without sufficient resources allocated to change management processes can clearly be seen. 'UN-Habitat was not able to deliver its whole budget last year, and had to turn down two huge projects because we knew we could not deliver them because of inefficient systems – we could not risk the reputational damage – that was a great pity.'[25] Further, Umoja Version 1 does not allow sight of some key figures or inter-organisation payments for services which greatly hampers responsive management. Despite obvious drawbacks, Umoja is clearly a powerful and extensive system which stores and correlates huge amounts of data that can be accessed for management information. Examples have been extracted and analysed by the joint UNEP, UN-Habitat, UNON Business Transformation and Change Management Initiative and system administrators within UN-Habitat have identified where key data lies for needed comparisons.[26] Currently many of these data do not link up usefully. The challenge is for all required users to become familiar with Umoja's potential as a management information tool and to

22 MOPAN Secretariat: MOPAN 2015-16 Assessments. United Nations Human Settlements Programme (UN-Habitat) Institutional Assessment Report.
23 Evaluation of the Cooperation Agreement between UN-Habitat and Sweden 2012-2015, p xii
24 Management Response: Evaluation of the Cooperation Agreement between UN-Habitat and Sweden 2012-2015

25 UN-Habitat staff interviews, March 2017
26 Interviews, March 2017

use its extensive functionality. Umoja Version 2 is being scoped and will address problems identified in the initial roll out. UN-Habitat must not miss the opportunity to proactively state what is needed from the system.

55. **Project Accrual and Accountability System (PAAS): can it make for better accountability?** The function of PAAS is to be a repository of key project information and a tool for accountability. However, the reliability of PAAS data is questionable – a number of people admitted it contains incorrect or outdated information or that data entry is delegated to junior staffs who do not understand its purpose. PAAS has also been a source of great frustration and resistance and resulted in data generated being incomplete or not in a form that could be readily analysed. There are now initiatives on the brink of implementation to provide joint responsibility, with an interface for implementing partners to enter and upload data, and internal managers required to review and sign off partner uploads to trigger payments through Umoja. These enhancements aim to improve accountability and efficiency – for example, to increase the number of projects completed on time. It remains to be seen whether staff can be persuaded that PAAS is finally user-friendly and useful for reporting. There is already a built-in resistance after the Umoja experience, which means there will have to be a concerted and probably fairly lengthy effort by the designers to support staff usage and a carefully designed process to enable accurate use by partners.

56. **UNON and United Nations rules.** These are viewed by UN-Habitat staff as intractable hindrances to efficient working towards strategic results. Most often mentioned was the length of time taken to recruit specialist staff – this often took upwards of six to nine months, and was often only concluded close to the end, rather than the beginning, of projects. This has forced UN-Habitat to look for other avenues, such as entering arrangements with the UN Office for Project Services (UNOPS) or other agencies who are not constrained in the same way, routes which come with additional costs. The reality must be determined over how much of a hindrance this service is; what the actual opportunity cost is.; whether it is more efficient to allow these functions to stand outside of the agency which can then concentrate on substantive work and if time and effort is saved despite the time required to manage the interface. There is a Business Transformation and

Change Management initiative across UNON, UN-Habitat and UNEP. [27] Based on end-to-end analysis of business processes, the initiative aims to identify what can be improved locally (what is within local agency control) and what must be addressed by New York (outside local agency control). The analysis quantifies process steps and analyses time taken. Initial results indicate that while the whole process needs improvement, UN-Habitat's average times to complete steps for which it is responsible are currently much slower than that set targets. These internal delays cost money and improving UN-Habitat process management would ensure that identified staff could become active in project work much sooner.

57. **New trends in fund-raising.** Middle-Income Countries are responsible for up to 40 per cent of UN-Habitat's income in that they pay directly for services. This is positive, showing that countries perceive the value of UN-Habitat's expertise and delivery mechanisms. Money raised in this way must deliver the country's priorities and it is not available for other needs within UN-Habitat. The challenge is ensuring that these projects align with UN-Habitat's Strategy and approach: 'this means chasing the RIGHT money for strategic identified results – which means choices and country partners receptive to Habitat's agenda.'[28] Regional and country offices must work to persuade countries of the longer-term value of the three-pronged approach, as the project management approval process requires this. Increasingly countries do seem to accept the logic. This alignment should also move projects away from donor demands for yet another new approach and encourage use of normative tools. As staff noted, 'Working on normative materials makes sense for value for money development approaches.'[29]

58. **Procurement delays affect implementation results.** The survey of implementing partners provides substantial evidence of the effect that delayed implementation has on implementation capacity and the ability of UN-Habitat to deliver on its Strategic Plan. In contrast to the positive response to effectiveness, implementing partners find that activities are not fully implemented in line with their expectations and delays are experienced by almost one-third of partners (Table 6). At the same time, partners do see that the organization uses its resources efficiently.

27 Interviews, March 2017
28 UN-Habitat staff interviews, March 2017
29 UN-Habitat staff interviews, March 2017

Table 6. UN-Habitat Efficiency: Implementing partner responses.

Statement	Strongly agree (% of respondents)	Agree (% of respondents)	Disagree (% of respondents)	Strongly disagree (% of respondents)	Unsure/Not applicable (% respondents)
UN-Habitat programmes/ projects have experienced delays	19	39	32	3	7
UN-Habitat programmes/ projects have proceeded as expected	25	44	16	6	9
UN-Habitat uses its resources efficiently	44	44	3	0	9

Source: *MTE survey of Implementing partners n=47.*

2.6 Impact, Sustainability and Transformation

59. **The process of sustainable urbanization, based on human rights and equity is adopted globally.** UN-Habitat has the ability to demonstrate how urbanization can occur within a human rights and equity framework. The focus on creating National Urban Policies has become a general driver for all programmes and is now embedded in the NUA.[30] Knowledge and capacity building is integral to all processes and the key to sustainability is ensuring participatory processes to develop policy: 'the aim is to build general capacity for policy making – then the country can use this process to develop other policies'. [31]

60. **Global impact requires knowledge management, quality normative work and proactive dissemination.** For many UN-Habitat activities, sustainability of gains achieved relies on political will among politicians and decision makers. Building decision-makers' understanding of the benefits of national urban planning and linked economic growth to the population over the medium- to longer-term ensures ongoing implementation and funding of an integrated National Urban Policy (NUP). Therefore, for sustainability of impact, UN-Habitat's focus on NUPs does create a stronger influence for sustainable change, even if on-the-ground impact is currently sparse in global terms. UN-Habitat has made inroads on this enormous task. The normative tools are in place and are constantly improved.

However, a stronger knowledge management and advocacy approach is required to accelerate global understanding and uptake. This would ensure that appropriate suites of normative tools could be available and relevant country-level decision-makers would be constantly reminded of their availability. Ongoing monitoring and feedback on usefulness could also inform more targeted adjustments to tools. With respect to advocacy, a good example is the World Urban Campaign (WUC). The WUC was set up during the Medium-Term Strategic and Institutional Plan 2008-2013 as an instrument to engage partners and advocate UN-Habitat's views. Despite having only two salaried personnel, the WUC appears active, driving a wide variety of communications platforms but particularly social media, paying for additional work through private sector membership fees. The WUC was involved in lobbying around issues to be included in Sustainable Development Goal 11 and its Urban Campuses were aimed at building thinking around the New Urban Agenda. There is currently a demand from countries to create national-level campaigns to support their sustainable urbanization efforts. However, this evaluation found little resonance about the WUC within UN-Habitat in Nairobi, and little internal understanding of its role and purpose. This was confirmed by WUC staff who reported low attendance at task force discussions in Nairobi. Currently, there is a working group considering the future of the WUC.

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30 UN Resolution 71/256 New Urban Agenda, Paragraph 89: We will take measures to establish legal and policy frameworks, based on the principles of equality and non-discrimination, to enhance the ability of Governments to effectively implement national urban policies, as appropriate, and to empower them as policymakers and decision makers, ensuring appropriate fiscal, political and administrative decentralization based on the principle of subsidiarity.

31 UN-Habitat, staff interviews, March 2017

61. **UN-Habitat is achieving impact in its activities.** These impacts relate clearly to the draft Theory of Change and the performance analysis as shown in Figure 3. The collective results of activities across all focus areas can be seen in the performance data and the overall positive evaluation reports across projects and programmes. It is also reflected in the positive feedback through the Implementing Partners survey. The most striking examples of impact are where UN-Habitat has prolonged engagement, integrated action across different focus areas, national to city to local community connections and committed partnerships with local leaders and other implementing partners (Box 3).

> ### Box 3. The Value of local to city to national connections.
>
> In Colombia, UN-Habitat has supported a slum upgrading project that included libraries as part of crime prevention among youth. This approach was incorporated into urban planning policies. This project is now 12 years old.
>
> Based on the results, the approach was exported to Cape Town (Khayelitsha) in South Africa and Harare in Zimbabwe.
>
> Slum upgrading is increasingly included in national urban policies.
>
> **Source:** UN-Habitat Reports; Interviews, March 2017

62. **The importance of integrated results.** The Strategic Result reinforces that sustainable cities require integration of plans, policies and systems across different locations, communities and sectors. Activity is required at the strategic level to create laws, policies strategies and plans that integrate principles of sustainable urbanization and other aspects that contribute towards achieving a sustainable city. At the same time, UN-Habitat is contributing to tools and approaches at the operational level that help to deliver results in line with the Strategic Result. However, it is the impact that results from the two preceding groups of activities that achieve long-term impact in terms of sustainable cities and standard of living for the urban poor. For example, in Afghanistan 'the somewhat unique structure, linkage, and succession of UN-Habitat projects meant that there were individual and accumulated impacts', which have been incorporated into the ten-year rollout of the Citizen's Charter[32] – this Charter is based

on the success of more than 4,000 Community Development Committees (CDCs) active in 34 rural and urban areas throughout Afghanistan – including some Taliban-controlled areas. In many of these areas, aside from government funding to local authorities for infrastructure, revenue is also coming from the community – 'even if they live in informal housing, they now have security of tenure, and they are willing to pay for services like road drainage, as well as provide services in kind.'[33]

63. The evaluation found **extensive evidence and recording of programme results** at a range of levels. But there is an internal barrier to measuring sustainable transformation within UN-Habitat – in general, projects or programmes last for one or two years, provide for monitoring and evaluation of project results and often just have outputs. Sustainable transformation and impact usually takes longer to achieve, and may be attributable to a range of causal factors. Staff highlighted, 'We need to consciously measure these transformations over time, identifying and fitting the different puzzle pieces together to build the composite causal chain'.[34]However, there was definite evidence of changed circumstances for communities and individuals as a result of UN-Habitat interventions. This included important elements such as individuals and communities gaining security of tenure, improved infrastructure and access within their communities, improved safety and access to critical services like healthcare and schooling. There was also evidence of many cities wanting to gain a picture of citizen needs, looking to protect their city from predictable risks and looking for ways to improve local revenue to fund basic services delivery. There was evidence of governments requesting UN-Habitat services to begin exploring what policies should guide national-level planning and resource allocation.

64. How to tell **whether interventions that mainstream cross-cutting elements have sustainable impact?** Staff described this as, 'visible participation of different groups including left-behind communities, their voice reflected in planning, governance, policies and legislation; opportunities and access to services by these groups; reduction in discrimination and evidence of good human-rights practices; future generations' preparedness and access to economic opportunities; evidence that

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32 UN-Habitat's regional office will be play a role in designing the Charter, alongside 32 local NGOs

33 UN-Habitat staff interview, March 2017; Evaluation of UN-Habitat's Country Programme in Afghanistan
34 Interviews, March 2017

the city is resilient.'[35] Cross-cutting units engage with cities through regional and country teams and believe that their reputation is growing for providing usable guidelines. What is sometimes difficult is ensuring that cross-cutting issues are embedded at country level. A challenge is that the more successfully these issues are mainstreamed, the greater the difficulties in keeping track of the extent and relative successes of each stream. This is a good challenge and the cross-cutting themes group is jointly paying for a reviewer to compile a picture to identify opportunities for scaling up.

65. **Transformative results are being achieved.** The Oxford Dictionary defines transformation as 'A marked change in form, nature, or appearance'. This evaluation has considered transformation, impact and sustainability as closely linked concepts. This evaluation looked for sustainable transformation, considering what positive impacts the marked change meant for ordinary people, was this change transient or would it remain, and could it lead to other, similar changes in other areas (Box 4). The evaluation found extensive evidence of actual and probable transformation in programme results across UN-Habitat. The three-pronged approach is itself seen to be transformational: staff commented that 'Previously UN-Habitat's work addressed the symptoms of failure in urban settlements; now we look at what needs to be in place at the level of policy, planning and financing to support any solution'.[36] Programme and project design carefully considers the intervention's context, seeking to work at the level where most impact can be achieved – at community, district, city, or country level. Staff indicated that 'contextual issues are important – taking account of the fact that there are many ways that people understand land rights – both formal and informal, and we incorporate this understanding into national policies to ensure that no one is left behind.' Examples of this in practice are that in Nigeria UN-Habitat works largely with governments of individual states, rather than at the federal level. In Afghanistan, UN-Habitat has built over many years a unique and strong relationship with communities and government: the country programme is aligned with National Development Strategies and has contributed to increased investments to accelerate achievement of priorities at national, provincial and

local level. These interventions have, in turn, yielded a 23-fold increase in municipal revenue.[37]

66. **A catalyst for change.** UN-Habitat's approach is ultimately to achieve a change in mindset of decision-makers in governance – where they see the benefits of holistic planning and linking finance to implementation for results on the ground – and this contributes to transformational change. UN-Habitat documents have various definitions of sustainability. Some of these are driven by the context of the programme or project; some are not defined but are asserted by virtue of the word being in the project name. What most did not do, was consider how these results contributed to the Strategic Result, building a sustainable city. Sustainability, even more than impact, suggests lasting solutions. This evaluation found a pattern in UN-Habitat's approach to ensuring sustainability, based on the participatory approach, and possibly inadvertently enhanced by resource constraints where UN-Habitat staff can only provide occasional inputs and have built local skills to ensure work goes on in the interim. For catalytic change, UN-Habitat has prolonged and positive engagement with decision-makers to stimulate, encourage and support change. This requires strategic support of management to ensure that catalytic support is maintained where there is potential for transformational change.

67. **Evidence of building local competence and scaling up.** This evaluation found a significant amount of evidence that UN-Habitat normative tools and programmes have been scaled up, and also that these scale ups have been used to enhance normative tools and add to the different bodies of knowledge in the organization. It also found that projects and programmes are building competence, particularly within national governments.[38] The evaluation process was not able to determine the full extent of scale up across UN-Habitat, or to verify all examples, but a range of documentary evidence ensured a high level of confidence. A few examples of scale up include Participatory Slum Upgrading Programme which has produced three times the outputs than were funded through country-provided funding; the Safer Cities initiative between police and youth in Rio that is now used in police training; Global Land Tool Network's contribution to the

35 UN-Habitat staff interviews, March 2017
36 UN-Habitat staff interviews, March 2017

37 Evaluation of UN-Habitat's Country Programme in Afghanistan
38 UN-Habitat staff interviews, March 2017; document review; Implementing survey qualitative responses

inclusion of land indicators into the Sustainable Development Goals; increasing requests for support to review and amend New Urban Policy and legislative frameworks; the increasing number of NUP development processes supported; the expansion of agreements with cities requiring city risk profiles, including new agreements with Mexico and the Arctic; 33 partner countries addressing housing policy; the increasing number of cities that have a CPI data set and the number that are starting to pay for their own data collection.

Box 4. Iraq Case Study.

'I USED TO BE ASHAMED OF MY ADDRESS'
TRANSFORMATION IN IRAQ 2008-2017

Transformation of local and national politicians' mindsets, policy and legislation, as well as ordinary people's lives has taken place in Iraq over the past nine years.

It was 2008. The Governor of Erbil, Mr. Nawzad Hadi, was concerned about the informal settlement of Kurani Ainkawa. Not only was this settlement of more than 10 000 inhabitants associated with much of the city's crime but the settlement, located on the route between the city center and the new international airport under construction was an eyesore. The Governor approached UN-Habitat and asked them for help in 'removing the slum'.

At the time, UN-Habitat was helping Iraq to prepare a Housing Policy and a localized housing strategy focused on informal areas.

The slum could be removed, said UN-Habitat, but where would the people go? Would it not be better to see what could be done about upgrading the area – which would improve its appearance? The Governor agreed that this might work. UN-Habitat and UNDP proposed on consulting the community to find out what was needed.

The Governor agreed – but said that the project would be over if there was as much as one protestor outside his office. An invitation was sent out – 300 men arrived. UN-Habitat asked about women, the youth, and the schoolchildren. It would not be sufficient to have only the men to find out and tell.

Slowly, slowly, engagements took place. Women became involved. Needs were identified. Understanding grew – to get wider streets properties had to become smaller, to get open spaces and schools some people had to move.

There were no demonstrations and work went on. The community saw big changes. One female resident said: "I used to be ashamed of my address…now I am proud of where I live".

What did change? Everyone in the community has tenure security. Everyone has access to schools. There are basic public services such as sewerage and water. There are open, safe public spaces. There are more roads, which enables better access.

Crime in the area – and in the surrounding areas – is greatly reduced.

Women are empowered and involved in community decision making: the Regional Government paid for a women's community hall, giving women an opportunity to get out of their houses, meet each other and discuss issues of mutual concern.

The private sector funded and built the school. A number of other donors have been involved over the years.

The Governor was so pleased with the outcome that he invited all Iraqi Governors to come and look at what had been achieved.

Change was not over. In 2012, Baghdad's authority asked for help in dealing with more than 200 slum/IDP sites spread through the city. Based on the successful Erbil example UN-Habitat began to develop a city-wide programme (drawing in a number of programmes and Branches).

Change was still not over. In 2013, The Iraqi Prime Minister's office approached UN-Habitat and said that this is not just a Baghdad problem, it is happening everywhere. UN-Habitat's Country Programme, Regional Office and Branches are now collaborating to develop a national programme involving policy and legislation development, and setting up a regional network of peers – connecting Iraq with similar processes in Egypt, Morocco and Tunisia.

Since 2013, UN-Habitat and UNDP have continued to meet frequently with the Erbil Governor and liaise with the Women's community centre.

In 2017, at the national level, the Shura Council of Iraq is approving three laws relating to slums upgrading and avoiding new informal settlements. The Council is also considering a proposal to allocate funding for the national programme to address informal settlements.

Source: *Interviews and documents, UN-Habitat, March 2017.*

68.   Building the next generation of sustainable urban development skills. There is extensive evidence that UN-Habitat has been driving participatory processes and building local competence for a long time and that this is a standard operating procedure which contributes to sustainability of impacts. Interviewees often mentioned the extensive on-the-job learning for local implementers. There is evidence of institutions and pathways to train new practitioners, but it was not clear if this was considered at project design stage or if these linkages were made on an ad hoc basis during the project. For example, over the past five years, UN-Habitat's technical cooperation with the Afghanistan government has ensured that local skills are developed, maintained and strengthened across various operational areas. Some of these people have remained as programme staff but a number are now working in key positions in the government.[39] It is not known whether UN-Habitat is creating and linking into recognized qualifications and career paths for urban practitioners.[40] However, there was extensive evidence of how UN-Habitat-produced knowledge products are used in university and other learning forums. Some examples are:[41]

- Some Youth and Livelihoods tools are 'now standard use for governments, and our flagship reports are used in university programmes training future generations of municipal governance'.

- Global Land Tools Network's Social Tenure Domain Model (STDM) tool is used in a range of universities, '…we don't have a comprehensive list, as some Universities request lecturing and information input, others do not'. GLTN is collaborating on a curriculum in Responsible Land Administration, involving experts from Universities in Australia, Africa, the UK, the US and the Netherlands.

- Universities, think tanks, research institutions and professionals inform UN-Habitat of the increasingly frequent use of the City Prosperity Initiative in their activities. Forty Universities have uploaded their experiences in collaborating with cities onto UN-Habitat's UNI online portal. The experiences have been used to develop the Action Plans for Universities. UN-Habitat UNI

has grown from 178 institutional members in 2015 to 193 by the end of 2016 and from 1,506 to more than 1,800 individual members.

- University partners and the public have reported increased capacities in various topics ranging from gender to slum mapping, big data, local solutions on policy and practice as a result of accessing the Global Urban Lecture Series. This lecture series has recorded 88,532 viewers.[42]

- The manual published by the The Urban Energy Unit Sustainable Building design for Tropical Africa, Principles and applications for Eastern Africa is being used in at least nine African architectural schools.

2.7 Strategic Plan Monitoring and Reporting

69.   Performance framework is relevant to UN-Habitat activities but has lost connection to the Strategic Result. The Strategic Plan includes a results framework with strategic results by focus area and overall strategic indicators of achievement as shown in Table 7. On completion of the Strategic Plan in 2014, UN-Habitat generated a Strategic Framework for 2016-2017.[43] This outlined the Key Performance Indicators for each sub-programme (focus area in UN-Habitat terminology). Once the framework was approved, detailed performance measures such as baselines and targets were derived for all the indicators in the programme budget by consultation with each Branch, Region and the Executive to generate performance indicator sheets, contained in a Performance Monitoring Plan document.[44] These documents aimed to ensure full alignment of planning, monitoring and review to the Strategic Result. The implementation of the Strategic Plan was to be guided with a Road Map and a series of policy papers, one for each Focus Area and three others covering monitoring, evaluation and advocacy. Strategic results indicators are reported on biennially; indicators of overall strategic results triennially.

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39 UN-Habitat staff interviews, March 2017; Evaluation of UN-Habitat's Country Programme in Afghanistan
40 The evaluators did not manage to interview the capacity building function. Necessary changes can be made in draft 2.
41 UN-Habitat staff interviews, March 2017; UN-Habitat UNI website

42 2016 Annual Progress Report (draft)
43 Strategic Framework of UN-Habitat for the Period 2016-2017, UNGA A 69/6 (Prog12) March 4, 2014
44 Institutionalizing Results-based Management – Performance Measurement Plan for the Six-year Strategic Plan (2014-2019), Undated document

Table 7. Strategic Plan results framework indicators of achievement for the Strategic Result.

Strategic Result Indicators
Strategic Result: Environmentally, economically and socially sustainable, gender-sensitive and inclusive urban development policies implemented by national, regional and local authorities have improved the standard of living of the urban poor and enhanced their participation in the socioeconomic life of the city.
1. Percentage of people living in slums, disaggregated by gender
2. Percentage of urban population with access to adequate housing
3. Percentage of people residing in urban areas with access to safe drinking water, adequate sanitation and waste collection, clean domestic energy and public transport
4. No. of regional and national authorities that have implemented urban policies and are supportive of local economic development and the creation of decent jobs and livelihoods
5. No. of city and regional authorities that have implemented sustainable urban plans and designs that are inclusive and respond to the urban population growth adequately

Source: Strategic Plan 2014-2019 p.15.

70. **Tracking of results is improving.** Despite the lack of connection between the focus areas and the Strategic Result in the Performance Management Plan, each focus area result has articulated how it would contribute individually towards the Strategic Result and the overall goal. The indicators are carefully considered by each Branch in coordination with the Regions in the development of the Performance Measurement Plan and are tracked annually and used to inform assessment of achievements in a comprehensive way. The Annual Reports illustrate that there has been substantial progress in terms of tracking results. The Road Map for preparing the Strategic Plan involved developing a results framework based on lessons learned for each Focus Area from the previous Medium-Term Strategic and Institutional Plan 2008-2013 and developing a SMART[45] results chain. This was then converted into a monitoring and reporting plan with baselines and targets, sources of data and timelines. The resultant Key Performance Measurement Plan (PMP) document is comprehensive, detailed and has guided the generation of Annual Reports since the launch of the Strategy. The programme budgets are, in turn, implemented through projects developed and implemented by UN-Habitat and its partners.

71. **Improved documentation of results and Results Based Management (RBM).** While there are improvements that can be made to the PMP, in general it has led to a vastly improved flow of documentation on results within the organization. The Regional Strategic Plan documents have also

been an important mechanism for contextualising the Strategic Plan and engaging regional partners and stakeholders in the process and demonstrating linkage back to the Strategic Plan. The Regional Plans also explain how the Strategic Plan is linked with the UN Development Assistance Framework (UNDAF) and the national planning frameworks in each country of operation. Some of these plans refer to the draft *UN-Habitat Results-based Management Handbook* [46] that outlines how UN-Habitat's RBM approach should ensure integration of results. There has been extensive training on RBM for technical staff but the RBM team feels disappointed at the level of uptake. However, '…outcome indicators are being put in planning templates to encourage results thinking.'[47] The RBM Handbook recommends that each focus area should generate a theory of change to track all activities; however, it does not illustrate how this links back to the Strategic Result. The Theory of Change guidance is unnecessarily complicated but, more importantly, there is no overall theory of change for UN-Habitat itself confirming that, at this time, UN-Habitat is not able to link results to strategy. (See Figure 3 for draft Theory of Change that assisted with evaluation analysis.)

72. **Quality of Indicators, Targets and Baselines.** UN-Habitat has articulated strategic results and expected accomplishments for each Focus Area with corresponding indicators and means of measurement. The indicators and targets do, to some extent, represent the work that UN-Habitat

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45 SMART: Specific Measurable Agreed Realistic Time-bound

46 Draft UN-Habitat Results-Based Management Handbook, unpublished, accessed March 23, 2017
47 UN-Habitat staff interviews, March 2017

does and it is possible to extract information on how well UN-Habitat is tracking in terms of performance for each of the seven focus areas. However, the results suggest that a review of indicators is warranted to ensure accurate measures in the next two years and in preparation for the new Strategic Plan in 2019. Although there were plans to establish baselines and targets for all indicators, this was not possible due financial constraints. As a proxy, indicative baselines and targets were developed during preparation of biennial work programmes and budgets. There are tools that have been developed at the branch level to assist with gathering of data such as the tracking of the numbers of improved urban policies, users of guides and tools and download of materials. There was recognition across the organization that there were definite gaps in monitoring, capturing the success stories and communicating them. It was also felt that there were not robust enough processes in place to ensure that data and information flowed from the Regions and the countries back to the cross-cutting units.

73. **Comprehensive reporting is time and resource heavy.** Progress against targets is being presented in the Annual Progress Reports and also in the Biennial Global Activities Report to the Governing Council and the Biennial Strategic Plan Reports to the Committee of Permanent Representatives (CPR). There is considerable variation in timing and quality between these documents. The Annual Progress Reports are rigorous and provide strong evidence of performance achieved. More illuminating is the qualitative information that explains the intricacies and emerging impact as well as challenges achieved for the Executive function and each of the seven focus areas. The Biennial Global Activities report is also comprehensive and duplicates much of the information supplied in the Annual Progress Reports. The Biennial Reports to the CPR occur in the alternate years to the Global Activities Reports. The Biennial reports are not substantive and do not adequately represent UN-Habitat's value in the development sector. This overlapping and onerous reporting regime is overly resource intensive for the size of the agency and there are immediate efficiencies that could occur as a result of streamlining reporting. Improved strategic reporting would also act as a key tool for the funding partners to understand how their resources are being applied by UN-Habitat towards the Strategic Result. It may

also assist with CPR member engagement based on the survey feedback for more concise and clearer information.

74. **Make annual results accessible.** This evaluation reviewed Annual Reports of other agencies, specifically United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA), UN Women and the United Nations Development Program (UNDP). Each has positives and negatives, with key positive features which UN-Habitat could consider, including present results in easy-to-digest summaries showing impact; present readable summaries of thematic areas; acknowledge donors; present transparent accounts and show progress in Delivering as One.

2.8 Implementation Challenges and Opportunities

75. **Strategic Plan required results are largely achieved but with important gaps.** While the major thrust of the Strategy has been effectively implemented, there are several smaller planned actions that have not been progressed. For instance, Policy Papers for each Focus Area were planned in order to guide progress by outlining the 'Why, what, how and where' of implementation. These were completed and the contents have largely been embedded into reporting processes. However, the Results Based Management (RBM) and Communication Policies required by the Strategy have not been released. The RBM policy, an important part of ensuring accountability for measuring results, has taken a long time to emerge. It still requires further revision but there is lack of clarity about specific implementation required. A Communication Strategy of moderate quality and limited use for policy guidance has been generated but covered only the 2016 period. Communications and Advocacy is a critical interface between UN-Habitat and all stakeholders concerned with or potentially delivering the New Urban Agenda and requires significant executive attention.[48]

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48 Communicate and Engage for a Better Urban Future, 2016

76. An assessment of principles outlined in the Strategic Plan shows that not all of these are reflected in directed actions, which resulted in implementation gaps (See Table 8). Of concern is that some Medium-Term Strategic and Institutional Plan 2008-2013 review recommendations have not yet been implemented. As the recommendations largely echo gaps found in this evaluation, implementation of these strategic matters must be reviewed.[49]

77. **High staff commitment and competence but increasing concerns about priorities.** This evaluation found a notably high level of staff-applied competence and commitment to UN-Habitat's mandate and the principles underlying the New Urban Agenda. This was evident in the level of enthusiasm which staff showed for their areas of work, the results they worked towards and the achievements keenly shown through cited examples, publications, reports, presentations and so on. Also evident was a level of frustration with the ongoing problems experienced with Umoja and the requirement to use Project Accrual and Accountability System and 'UN rules'. The recent staff survey[50] provides a picture of UN-Habitat staff's current perceptions and daily work experience. Staff record a poor work-life balance, which could be attributed to staff cuts and doubling up of responsibilities. Satisfaction surveys may draw more respondents who feel negatively about an organization and it was communicated to the evaluators that the survey methodology was questionable. Nonetheless, the survey findings triangulated with the mission interviews and another evaluation confirm two important findings: firstly, that UN-Habitat staff are satisfied with work content – this was particularly evident in the interviews where extensive enthusiasm was shown for work content and UN-Habitat's overall purpose; secondly, that there are people management issues which need to be addressed – these were alluded to but not stated directly during field visit discussions,[51] and the Open UN-Habitat Transparency evaluation found little institutional leadership to support staff ability to implement the transparency initiative.[52] In early 2016, the Transparency evaluation commented: '…common

perceptions within the agency suggest that stronger leadership and strategic backing as well as more administrative and managerial support are needed to promote a more transparent work culture'.[53] A year later, these evaluators felt that the following comment reflects a broadly held view, reflecting both staff commitment and frustration which talks directly to UN-Habitat's ability in future to motivate and mobilize the energy and focus for its lead role in the New Urban Agenda.

78. **Impact of Habitat III Secretariat.** The World Urban Forum (WUF) is 'the world's premier conference on urban issues'.[54] In 2016 the Habitat III conference substituted and the New Urban Agenda (NUA) was launched as a UN initiative. The Habitat III Secretariat was staffed by UN-Habitat and located in New York. Habitat III was not a focus of this evaluation but this central event did have an effect. Based on the need to separate Habitat III funds from general UN-Habitat funds, a 'firewall' was created between UN-Habitat and the Habitat III Secretariat. There are differing views as to the impact of this 'firewall' on UN-Habitat staff: from 'staff was totally sidelined and this made it very uncomfortable at Quito', to 'it was only financial and staff were fully involved'. What is clear is that the event was successful and UN-Habitat played a major role. The WUF is generally the preserve of urban practitioners. Habitat III, however, received more attention globally and UN-Habitat's resultant growing role as a source of expertise and knowledge for the NUA can be seen in increased demands for services and tools. However, this role is not assured without continued advocacy by UN-Habitat and a demonstration of continued capacity and performance. It is important to ensure that staff are kept on board and up-to-date about priorities, how these could impact and how concerns will be addressed.

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49 This is also true for key recommendations made in the Delivering as One evaluation published in 2012
50 UN Global Staff Satisfaction Survey 2017. There were 4,000 respondents across all agencies, out of a total of approximately 44,000 total employees (according to UN Careers https://www.quora.com/How-many-people-are-employed-by-the-United-Nations-and-its-associated-agencies. Accessed 08/04/2017). This is a respondent rate of slightly below 10 per cent, which is valid in terms of drawing conclusions.
51 UN-Habitat staff and stakeholder interviews, March 2017
52 Open UN-Habitat Transparency Initiative Evaluation, January 2016, pg 30

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53 Open UN-Habitat Transparency Initiative Evaluation, January 2016, pg 30
54 https://unhabitat.org/wuf/ accessed 27/03/2017

Table 8. Status of incorporation of Strategic Plan principles in implementation.

Principle	Effectively addressed in SP implementation to date?	Valid for future implementation
Reflects the official mandates of UN-Habitat such as the Habitat Agenda, the Millennium Development Goals, and key General Assembly and Governing Council priorities	Alignment is clear throughout implementation	Planned revisions to the Strategic Plan will reflect the Sustainable Development Goals, Habitat III and the New Urban Agenda but these should also outline support requirements
Continuity from MTSIP and responds to emerging urban trends, challenges and opportunities	The MTSIP review noted 13 key actions and three for the Committee of Permanent Representatives (CPR). Five are outstanding and still valid, six are partially addressed. Of the CPR recommendations, only one has been addressed.	While this review is dated, a number of the recommendations are still valid and are echoed in this evaluation. For example (from the Review): **Para 269:** Given the strong relationship between resource mobilization and the positive image created by UN-Habitat, the organization should intensify efforts to raise its profile and improve its image in the media through existing mechanisms…. **Para 276:** Within UN- Habitat, however, it was observed that there was a general lack of knowledge about the (WUC) campaign objectives and message and, as a result, limited engagement **Para 277:** review UN-Habitat's current planning and reporting systems and requirements, in the light of their own requirements, to reduce costs and duplication and strengthen coherence and quality **Para 278:** address UN-Habitat's governance structures and UN-Habitat's relationships with the United Nations Secretariat and UNON
Cross-cutting issues (human rights, gender, youth and environment) are systematically reflected in all substantive focus areas. Partnerships, outreach and communication and capacity development are identified as additional crosscutting issues.	Gradual improvement in four crosscutting areas incorporated into project planning via PAG. Cross-cutting units not brought into Programme Division as proposed due to limited staff resources and dual roles. The others are identified as separate areas of work, rather than considered as crosscutting.	Continue to strengthen key crosscutting areas as resources allow. Introduce mechanisms to integrate the additional identified cross-cutting areas at Project Advisory Group PAG level. Include Risk as an essential crosscutting issue.
The Strategic Plan's focus areas are also the sub-programmes in the biennial strategic framework and work programme and budget, thus ensuring complete alignment among the three documents	The Strategic Plan branches mirror the focus areas. This is effective for technical focus but has not led to aligned documents or monitoring. What is particularly missing is the integration to achieve the Strategic Result.	There should be greater emphasis on integration between the focus areas and the Strategic Result
Monitoring framework will lead to reporting on the six-year Strategic Plan and the biennial work programme and budget being unified into a single process	The framework has been relatively effective in defining indicators but reporting is not unified as it should be	A more integrated Theory of Change is proposed (see Figure 3). Reporting still needs to be consolidated. Some improvements in indicators are required.
The Strategic Plan approach requires both top-down and bottom-up approaches	Resources are spread thinly so full linkages that connect top to bottom do not always occur. Where they do, best results are seen.	More effort is required to maintain and improve field-to-strategic linkages
Closer cooperation and coordination with other United Nations agencies is needed and with a view to avoiding overlapping and duplicating programmes and activities	UN-Habitat does make an effort to engage with the United Nations at country level	Member countries could be more engaged in proactively supporting UN-Habitat and advocating for support

79. **Management challenges for UN-Habitat.**
The lingering impacts of Habitat III, Umoja implementation, efficiency findings in the Change Management Study, views expressed in the survey and views on communications effectiveness all indicate that there are management gaps to be addressed for UN-Habitat. If the primary cause is that responsible managers just have too much to do – balancing administrative and substantive responsibilities – then reducing staff numbers has not saved money or made the agency more efficient or productive. Furthermore, there are additional staff management issues on the horizon which will require careful management and more focused engagement with teams. The UN's Staff Selection and Managed Mobility System[55] will be implemented in 2018. This new staffing system aims at 'increasing periodic movement of staff members within the Secretariat through vacancies and managed mobility'. Participation in this process will contribute to 'career development through acquisition of new skills, knowledge and experience' and promotion opportunities. The advent of this process, together with the Secretary General's review later in 2017 should be harnessed as an opportunity to improve UN support to the agency but also to identify and implement critical people management strategies to improve staff confidence and morale so that UN-Habitat teams learn to accommodate more frequent staff rotations yet continue to produce a high level and quality of work.

80. **Indicators need to be reviewed and improved.**
The UN resolution 71/256 adopting the NUA places UN-Habitat at the centre of implementation and reporting based on recognition of its expertise and knowledge.[56] The gap in performance of knowledge management is illustrated in Figure 4 on page 10, which has resulted from an analysis or performance indicators which were regrouped into the categories shown, with performance scores reconfigured and aggregated accordingly. The resultant analysis confirmed positive operational results and some management challenges but led to a very high performance for advocacy and communication and a low performance for knowledge management activities; neither of which are valid performance measures when compared with actual performance evidence such as activities, expenditure or reported outcomes. This demonstrates that the performance

indicators require reviewing to ensure that the right things are measured – in particular for the knowledge management indicators.

81. **Knowledge management and UN-Habitat thought leadership not optimized.** UN-Habitat's role as a knowledge producing organization is critical making it necessary to show the learning loop that contributes to its expertise, intellectual property and ability to support strategic advances, delivery of improved systems and procedures and actual impact. In practice, this learning loop would be ensured through an effective knowledge management function that consolidates and synthesizes and identifies the key products, ideas and messages coming out of an organization's knowledge production. This synthesis is then fed back into the organization and is made available in various forms to external stakeholders via the advocacy and communications functions. Knowledge management plays two important roles in knowledge-based organizations: as thought leader and as functionary. The thought leadership role drives the consolidation and synthesis of knowledge products, identifies gaps for research, facilitates organizational learning, suggests and contributes to communications and advocacy vehicles. Knowledge management functions ensure that monitoring functions take place and data is analyzed and used for reporting, that knowledge products such as normative guidelines, tools and templates, reports, publications and papers are catalogued and stored, that these are up-to-date and accessible and that knowledge-sharing platforms are dynamic and provide links to key issues of the day.

82. This evaluation did not find a sufficiently urgent high-level commitment to building knowledge management functions to support UN-Habitat's key role in the NUA. The content exists as branches produce good information and knowledge products but this is not synthesized at the strategic level. There are good examples already of what needs to be done with more focus. The Transparency Evaluation found that 'UN-Habitat went from lagging to leading', incorporating the Open data portal into key strategic documents, and that the initiative is 'consistent with international aid priorities and supports the needs of stakeholders'.[57] The Habitat UNI initiative is also encouraging – this partnership with universities around the world promotes and facilitates the dissemination of educational and

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55 https://hr.un.org/sites/hr.un.org/files/POLNET%202017%20Timelines%201%20February%20 2017.pdf. UN Managed mobility programme time schedule for initial implementation. accessed 22/3/2017
56 Resolution 71/256 New Urban Agenda, Paragraphs 165 and 171

57 Open UN-Habitat Transparency Initiative Evaluation, January 2016, pg 30

research products – as it seeks 'to create the next generation of urban leaders, managers, researchers and practitioners'.[58] The linkages which branches have with learning institutions can be incorporated to build a comprehensive engagement.

83. **Communications and Advocacy could be strategically enhanced to build UN-Habitat's international profile.** This evaluation found that the communications and advocacy functions in UN-Habitat are divided: the Habitat III functions were based in New York to deliver the Habitat III conference, and the World Urban Campaign continued reporting to the person heading the Habitat III Secretariat. The rest of the Division is Nairobi based and, despite a D2 level hired to head the function, appears somewhat sidelined, with few allocated resources and little acknowledgement or enabling by management of communications' strategic role. Communications is a critical tool for popularizing the New Urban Agenda. Yet, despite the high value of many project outputs, it appeared that most remain with project implementers and branch communications staff, and are distributed only by these people to their own lists. The Open UN-Habitat Transparency evaluation from early 2016 confirmed that focus area products are placed on the web portal but argues that more strategic use should be made of the Transparency Initiative web tool. UN-Habitat is 'routinely publishing data' on the International Aid Transparency Initiative website, but '…use of the data is still quite limited, and there is little evidence that internal communication has benefitted'.[59]

84. A year later, this evaluation finds that while there is slightly better internal communication in terms of programme focus, via the drive to build multi-disciplinary programmes, the communications function remains insufficiently supported. There are no specific strategies for different stakeholder groups such as the Committee of Permanent Representatives (CPR) or member states. Engagement appears to be primarily one-way from the Communications and Advocacy unit to branches. There is no centralized database of implementing partners, which was discovered when this evaluation process needed to survey implementing partners. This could be automatically updated from relevant sources such as the database of formal signed agreements, which is currently also incomplete.

Resource constraints are part of the problem but this may also be a result of management not harnessing this function. For example, the quarterly newsletter *Urban Impact* is well produced and short enough to inform busy stakeholders but a number of CPR members did not recall receiving it. Much work is needed in this area. As a result, there is a gap in communications effectiveness.

85. **Determining risk as an integral part of planning.** The New Urban Agenda cites the Sendai Framework for Disaster Risk Reduction 2015–2030 and envisages risk management as a key requirement for a sustainable city.[60] It is, therefore, concerning that risk management as it applies to urbanization is not a requirement for all programmes – in the same way that the four crosscutting issues are. The last Global Activities report shows more than 300 different risk or resilience projects or parts of projects, 'most of which had not referred back to the Risk & Rehabilitation Branch for advice'.[61] It is advisable that a coherent and informed UN-Habitat approach to risk needs to inform programme design and implementation. The crosscutting marker mechanism has proved to be effective in the Project Advisory Group process, and a fifth could easily be added. The Risk and Resilience disaster risk management and resilience planning requirements should, at the very least, include the recognized key indicators of mitigating harm to human life; mitigating harm to assets and ensuring continuity of city functions.

86. **Partnerships, Advocacy and Resource Mobilization (PAR) are organization enablers.** Potential partners who might implement or pay for programmes and services need to be convinced that UN-Habitat is their partner of choice. This requires advocacy aimed at attracting resources and partners who can leverage resources to be a priority at both strategic and management levels as well as within planning of transformational activities. At the programme level, these considerations do not require additional resources but can be systematized in a similar manner to crosscutting issues and the

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58 http://uni.unhabitat.org/about-uni/ accessed 22/03/2017
59 Open UN-Habitat Transparency Initiative Evaluation, January 2016, pg 30

60 Resolution 71/256 New Urban Agenda, Paragraph 13 (g) 'Adopt and implement disaster risk reduction and management, reduce vulnerability, build resilience and responsiveness to natural and human-made hazards and foster mitigation of and adaptation to climate change'; Paragraph 65: '… by supporting the development of disaster risk reduction strategies and periodical assessments of disaster risk caused by natural and human-made hazards, including standards for risk levels, while fostering sustainable economic development and protecting the well-being and quality of life of all persons…'; Paragraph 77 '…by mainstreaming holistic and data-informed disaster risk reduction and management at all levels to reduce vulnerabilities and risk, especially in risk-prone areas of formal and informal settlements, including slums, and to enable households, communities, institutions and services to prepare for, respond to, adapt to and rapidly recover from the effects of hazards, including shocks or latent stresses….'; and so on
61 UN-Habitat staff interviews, March 2017

resources leveraged through programme funding. At the strategic management level resources are needed. Some mechanisms already exist – such as the World Urban Congress, and planning processes for the World Urban Fund. Resourced knowledge management and communications functions are also needed to maintain the momentum from Habitat III and to keep the messages of UN-Habitat successes alive at all levels.
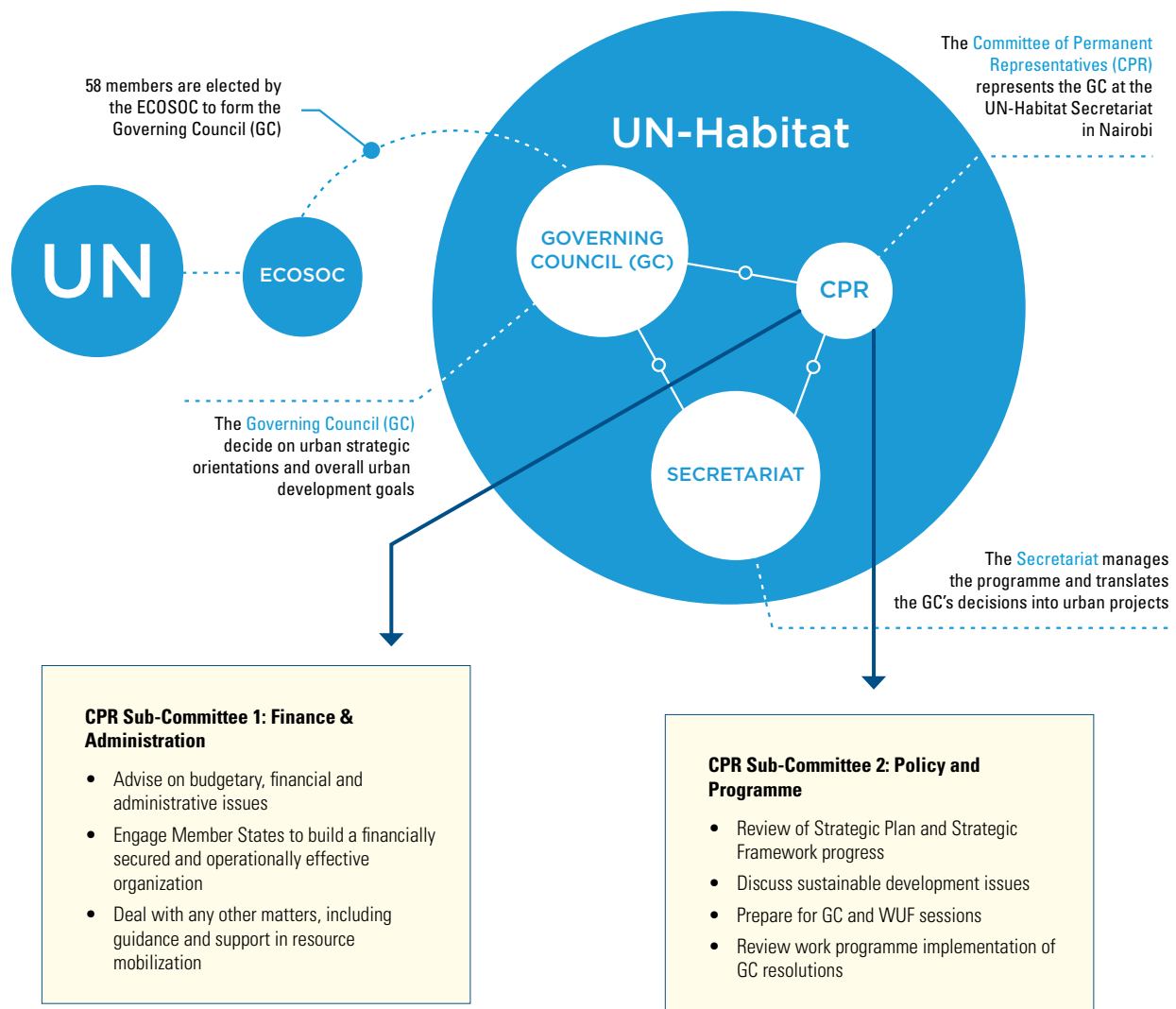
2.9 Strategic Governance

87. **Governance structure and functioning should ensure good results.** The Strategy emphasizes the role of UN-Habitat's mandate and structure within the United Nations. The United Nations' adoption of the Sustainable Development Goals and the New Urban Agenda also mean an increased role for UN-Habitat within the organisation in terms of providing leadership and guidance as regards countries achieving their targets and commitments in sustainable urbanization. 'The fundamental function of good governance in the public sector is to ensure that entities achieve their intended outcomes while acting in the public interest at all times.'[62] A review of governance and government structures was not within this evaluation's scope. However, the evaluation noted UN-Habitat's current governance structure, how that has enabled or constrained implementation of the Strategic Plan and whether existing structures were appropriate for UN-Habitat's envisaged expanded role in delivering the New Urban Agenda.

88. **UN-Habitat Governing Structures.** The Governing Council (GC) of the United Nations Human Settlement Programme (UN-Habitat) approved the Strategic Plan for 2014-2019 in 2013.[63] The GC holds meetings every two years and is made up of 58 member states. Interim oversight is delegated to a sub-group, the Committee of Permanent Representatives (CPR), which is composed of ambassadors or foreign envoys of member states accredited to UN-Habitat. The CPR meets four times a year and makes recommendations to the GC.[64] CPR functions are shown in Figure 9. To support CPR functioning, UN-Habitat is required to submit three subsequent biennial work programmes and linked budgets for 2014-2015, 2016-2017 and 2018-2019, and to generate progress reports. The Secretariat endeavours to keep CPR members informed about financial and operational performance. In their individual engagement with UN-Habitat, some members are well informed while others appear to know little about UN-Habitat's achievements. The qualitative response to the survey for CPR members demonstrated that there was substantial variation in level of understanding about UN-Habitat, its role and performance and the governance role that the CPR plays. Although the response rate to the survey was low (n=9), it was evident that around half believe that their role is to make decisions and manage UN-Habitat directly; others, correctly, see their role as advisory to the Governing Council who then take decisions.

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62 Chartered Institute of Public Finance and Accountancy (CIPFA) and the International Federation of Accountants (IFAC), International Framework: Good Governance in the Public Sector

63 CPR, 24st Session, through Resolution 24/15 of 19 April 2013
64 UN General Assembly resolution 56/206, 2002

Figure 9. Committee for Permanent Representatives Functions.

58 members are elected by
the ECOSOC to form the
Governing Council (GC)

The Committee of Permanent
Representatives (CPR)
represents the GC at the
UN-Habitat Secretariat
in Nairobi

UN-Habitat

UN

ECOSOC

**GOVERNING
COUNCIL (GC)**

CPR

SECRETARIAT

The Governing Council (GC)
decide on urban strategic
orientations and overall urban
development goals

The Secretariat manages
the programme and translates
the GC's decisions into urban projects

**CPR Sub-Committee 1: Finance &
Administration**

- Advise on budgetary, financial and
administrative issues
- Engage Member States to build a financially
secured and operationally effective
organization
- Deal with any other matters, including
guidance and support in resource
mobilization

**CPR Sub-Committee 2: Policy and
Programme**

- Review of Strategic Plan and Strategic
Framework progress
- Discuss sustainable development issues
- Prepare for GC and WUF sessions
- Review work programme implementation of
GC resolutions

Source: *Diagram: UN-Habitat website. CPR functions: UN-Habitat: The Governing Bodies of UN-Habitat. (undated)*

89. **Review of governance arrangements is timely.**
The UN resolution on the New Urban Agenda
requires the Secretary General to undertake a
review of UN-Habitat, analysing its normative and
operational mandate, and its governance structure,
and make recommendations on enhancing
'effectiveness, efficiency, accountability and
oversight'.[65] This will be a timely and necessary
review and could greatly benefit UN-Habitat by

increasing clarity of purpose and cost-efficiency and
modernization of governance mechanisms so that
the organization can achieve better and wider impact.
Certainly a large number of UN-Habitat staff believe a
less cumbersome and more flexible governance and
accountability structure would enable the agency to
more effectively lead and influence implementation
of the NUA.

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65 UN Resolution 71/256 NUA, Paragraph 172

3. RECOMMENDATIONS

90. There are four key recommendations (A, B, C & D) arising from the Mid-term Evaluation of the Strategic Plan, according to the requirement to generate recommendations for the strategic, programmatic, structural and management aspects of Strategic Plan implementation, respectively. Each of the four recommendations will require multiple actions and shifting (not necessarily new) resources; consequently, the actions proposed in this report are indicative and for guidance only. The intent of the recommendations may involve other or different actions.

91. Nonetheless, the recommendations are made with a clear intent to strengthen outcomes towards the Strategic Result. For this reason, a key indicator is proposed for each recommendation to aid in tracking for the final evaluation of the Strategic Plan. Most of the indicators are already being tracked to some extent but can be refined and baselines constructed to reflect the recommendations. In tracking the progress, UN-Habitat needs to consider its contribution towards the Strategic Result in the Strategic Plan 2014-2019, which has been reaffirmed through this evaluation as highly relevant in the current context. A concise version of the recommendations is included in the Executive Summary.

A. Gear up to take a leading role in the NUA and SDG 11

Raise the profile of UN-Habitat's Vision and Guiding Statements and capitalize on its notable achievements within the context of the New Urban Agenda and Sustainable Development Goals.

Potential actions	Indicators
1. Take a more proactive approach to implementing the Knowledge Management strategy towards the Strategic Result. These could be cost or non-cost bearing, depending on what is identified. For example: • Prepare and implement a holistic and cumulative internal knowledge building plan. Include inputs and participation into individual learning plans. This process can be done without additional resources except allowance for time from staff within the branches and regions. Regional case studies on lesson learning would help to identify how normative tools need to be adjusted or amalgamated and whether new tools or interventions are necessary • Prepare and implement a plan to collate and catalogue, all UN-Habitat normative tools. This process should be ongoing and would eventually involve review, identify redundancies or consolidations, and identify new needs. Availability and usefulness should feed into communications suggested below in point number 4. • Consider locating essential information gathering, knowledge management and communications into one Division or branch that has direct access to the Executive team such as Strategic Communications & Knowledge Management, including monitoring functions 2. Produce a comprehensive Communications Strategy to generate clearer and more strategic key messages in line with the Strategic Plan Guiding Statements, the New Urban Agenda (NUA) and Sustainable Development Goals (SDG) which will focus on Sustainable Cities and ensure that these messages are widely disseminated 3. Strengthen work that defines the characteristics of a Sustainable City and key tools and guidelines for achieving progress towards Goal 11 and the NUA 4. Produce and propagate directed communications showing UN-Habitat's capacity to help countries implement the NUA and, through this, report their Goals' achievements. This could include promoting the short and longer-term cost savings and sustainability benefits derived from use of different suites of tools: planning; community engagement and implementation and monitoring city progress.	In two years, UN-Habitat has: a) A clear and coherent suite of key messages that are consistently applied across the organization b) Demonstrated increasing use of UN-Habitat tools and services amongst partners through media articles, evaluations, external reports and so on c) Begun to track the uptake and impact of messages aimed at different stakeholder groups/levels d) Tracked an increase in downloads and the dissemination of tools and guidelines, including follow up qualitative evidence of use e) Seen an increase in funding streams

Potential actions	Indicators
5. Take a stronger approach to promoting UN-Habitat's 'value for money' advantage, especially in development and tailoring of normative products for sustainable urbanization and city development	
6. Produce regular data showing UN-Habitat's contribution to country level SDG target achievements. Use this to advocate for increased core funding or less tightly tied funding	

B. Enable programmatic integration towards transformative results

UN-Habitat is achieving transformational results and must strengthen systems to acknowledge, support and increase these, and enable meaningful measurement of progress.

Potential actions	Indicators
1. Develop a concise and clear Theory of Change which shows how the work of branches, regions and countries ultimately contribute to the Strategic Result and Vision of UN-Habitat, and use this to more clearly guide activities to contribute towards the Strategic Result	By 2019, UN-Habitat:
2. Develop a short set of 'transformational indicators', in addition to the current indicators, that reflect where transformational results are being achieved. It is important to note that, given UN-Habitat's role with partners, its transformational results will need to be tracked through contribution analysis not through direct attribution.	a) Is tracking indicators for transformational results b) Has stronger evidence for 'value for money c) Has implemented a defined and equitable system for strengthening integrated approaches towards transformational results in line with the Strategic Result
3. Link programmatic results to knowledge management and use concise knowledge products for future programming, advocacy and resource mobilization, including actions such as: • More closely tracing emerging results on transformational change to knowledge management (see recommendation A); • Ensuring that all crosscutting teams/units have the same level of access to/engagement with programme content as the Gender and Equality Unit – this may involve relocation • Investigating the equity of resource allocation and funds mobilization efforts across focus areas and regions in line with focus area priorities and the Strategic Result	d) Has disseminated publication/s on learning from transformational projects
4. Integrate whole of organization enablers (Partnerships, Advocacy and Resource Mobilization) within the planning, delivery, monitoring and reporting of transformational activities. These do not require additional resources, but can be systematized in a similar manner to crosscutting issues.	
5. Add Risk and Resilience (disaster risk management and city resilience planning) as a fifth crosscutting issue alongside the four already in place	

C. Advocate for 'fit-for-purpose' UN structure and systems

Given UN-Habitat's identified leadership role in the New Urban Agenda, input into the Secretary-General's review should advocate for a governance structure, which is in line with current good practice oversight and which enables rather than hinders operational functionality.

Potential actions	Indicators
1. Provide strategic input to the review of UN-Habitat, particularly: • Structural concerns raised in the Peer Review of Medium-Term Strategic and Institutional Plan 2008-2013 that require GC advice and action should be reiterated in a Management Letter to the GC through the Committee of Permanent Representatives • Consider the potential actions proposed in this evaluation towards restructuring the current arrangements to provide more functional support systems; particularly for knowledge management, communications and cross-cutting issues • Based on the opposed forces – on the one hand UN-Habitat's expanded mandate and leadership role in the New Urban Agenda (NUA) and, on the other, declining core resources – advocate for an appropriate increase in core funding sufficient to ensuring that administrative, support as well as substantive functions commensurate with UN-Habitat's required role as outlined in the NUA, and in its support to countries aiming to achieve their Goal 11 targets 2. With United Nations Office in Nairobi (UNON) and United Nations Office for Project Services review the benefits and cost of outsourcing finance and human resource functions, and adjust arrangements to achieve best value for money and efficient delivery of the approved Strategic Result 3. UN-Habitat with UNON identify where current UN Rules are not 'Fit For Purpose' and seek systematic exceptions to enable UN-Habitat, as an implementing agency, to deliver on its mandate as effectively and efficiently as possible 4. Input into the Secretary General's review should advocate for a governance structure in line with current good practice oversight based on available international guidelines, that enables operational functionality, with clear role and responsibility boundaries and, in addition to stakeholder representatives, decision-makers who are appointed based on their specific oversight competencies and who can provide specialized guidance 5. UN-Habitat, with the CPR and the GC to consider how best it can implement 'Delivering as One', given the extent of country coverage, particularly in relation to the expanded mandate from Goal 11 and the NUA.	By 2018, UN-Habitat has: a) Communicated a clear and substantiated statement of where UN Secretariat inhibitors are experienced to the Committee of Permanent Representatives (CPR) b) Initiated contact with the Secretariat and the United Nations Development Group and presented a proposal on 'Fit for Purpose' requirements and Delivering as One systems

D. Improve internal effectiveness and efficiency

6.   There is a range of initiatives underway to improve internal efficiency. These require serious attention by senior management to improve strategic results.

Potential actions	Indicators
1. Bring together information gathering, knowledge management, monitoring and communications into one Division with direct access to the Executive 2. Engage, as a matter of urgency, with the Umoja 2.0 design process to ensure that the provider has a clear and comprehensive list of UN-Habitat's input and output requirements 3. Conduct an 'Umoja CAN DO' campaign, with a concise list of UMOJA advantages for UN-Habitat based on the existing UMOJA promotional material. Undertake any necessary change management or training to address internal factors preventing efficient use of Umoja. 4. Accelerate work of the joint United Nations Office in Nairobi, UN-Habitat and UNEP Business Transformation and Change Management initiative to improve internal business process efficiency and set service standards. 5. Improve the functioning of the Project Accrual and Accountability System for both management information and links to Umoja financial reporting to improve accountability on cost-efficiency and streamline reporting requirements to GC and CPR to reduce wasted time and effort.	UN-Habitat achieves incremental annual improvements 2017-2019 in terms of: a) Shorter internal recruitment and procurement processes b) Complaints and basic service requests regarding Umoja, Inspira and the Project Accrual and Accountability System have decreased c) Reporting has been streamlined, requires less investment of resources and is rated as satisfactory or above by stakeholders

APPENDIX 1. TERMS OF REFERENCE FOR THE MID-TERM EVALUATION

I. Introduction and Mandate

1. The Governing Council (GC) of the United Nations Human Settlement Programme (UN-Habitat) approved the strategic plan for 2014-2019, together with the biennial programme budget for 2014-2015, at its 24st Session through Resolution 24/15 of 19 April 2013. In the same Resolution, the GC further requested the Executive Director to continue strengthening implementation of the results-based management in all the programmes, projects, policies and activities of UN-Habitat.

2. The UN-Habitat Strategic Plan for 2014-2019 was approved with an evaluation framework.[66] Specifically, Paragraph 95 states that all projects with a budget of more than USD 3 million will be subject to external evaluation upon completion and the budgets for all such projects will, as a matter of principle, include funds for evaluation. All focus areas of the Strategic Plan, or sub-programmes of the work programme, will be evaluated at least once during the life of the Plan.

3. With respect to the Strategic Plan itself, there will be a mid-term evaluation of its implementation. This evaluation will include the first reporting on the indicators of achievement of the Plan's overall Strategic Result. The Plan will be adjusted on the basis of this mid-term evaluation, the outcome of Habitat III and any changes in the governance structure of UN-Habitat. A final evaluation of the strategic plan, including the second reporting on the overall Strategic Result's indicators of achievement, will be carried out during 2019.

4. The evaluation of UN-Habitat in 2015 by the Office of Internal Oversight Services (OIOS) recommended that UN-Habitat should commission evaluability, mid-term and final evaluations of the Strategic Plan. The recommendation was accepted by UN-Habitat Management with the mid-term review scheduled to be conducted in early 2017. The mid-term evaluation will inform the readjustment of the Strategic Plan within the timeframe of the meeting of 26th Governing Council, which is scheduled to be held on 3-7 April 2017.

5. The present Terms of Reference (TOR) set out key elements of the mid-term evaluation of the Strategic Plan. They describe the background and context, purpose, scope and focus, evaluation questions, stakeholder involvement, evaluation approach and methodology, accountability and responsibilities, qualifications of the consultant to conduct the evaluation and provisional time schedule as well as expected deliverables and resources.

II. Background and Context

6. UN-Habitat is the lead United Nations agency responsible for promoting sustainable urbanization. It is mandated by the UN General Assembly to promote socially- and environmentally-sustainable towns and cities with the goal of providing adequate shelter for all and sustainable development.   Its broad, multi-faceted mandate derives from three main sources. These are:

- The *Habitat Agenda*, adopted in 1996 at the United Nations Conference on Human Settlements (Habitat II) in Istanbul, Turkey and imbuing UN-Habitat with a mandate to pursue adequate shelter for all and sustainable human settlements development in an urbanizing world

- The specific mandates that various General Assembly and UN-Habitat Governing Council resolutions have endowed the programme such as the Millennium Declaration (Res. 55/2), in particular its target on achieving significant improvement in the lives of at least 100 million slum-dwellers by 2020, a goal UN-Habitat estimates to have been met twice over

66 The Revised UN-Habitat Evaluation Framework approved in by the Board in 2015and adopted by the Executive Director January 2016 stipulates the requirement for all projects of USD 1 million and above to have an end of project evaluation by external evaluator.

- The outcomes of relevant international conferences such as, in 2002, Member States attending the World Summit on Sustainable Development further mandated UN-Habitat to monitor and report on progress towards the achievement of Millennium Development Goal 7 [67]

Evolution and Organizational Reform of UN-Habitat

7. UN-Habitat's evolution reflects the growing importance of urbanization as a priority to the United Nations and its Member States. Its history and development is rooted in two landmark Conferences on Human Settlements. The first, Habitat I, held in Vancouver, Canada, in 1976, established the United Nations Center on Human Settlements (UNCHS). The second conference, Habitat II, took place in Istanbul, Turkey, in 1996. Here, Member States adopted the Istanbul Declaration and the Habitat Agenda. In the Habitat Agenda, human settlements problems were framed as an integral element in countries' broader social and economic development. Habitat Agenda also promoted the concept of partnership and called for a shift in focus toward governance, including greater participation, democracy and civic involvement in urbanization issues. It also gave the agency an explicit normative mandate to support and monitor the implementation of the Habitat Agenda.

8. In the General Assembly Resolution 56/2006, UNCHS was elevated into a full-fledged Secretariat programme, UN-Habitat, in 2001.[68] In the period from 2001-2004, UN-Habitat witnessed rapid growth in the programme's staff, activities and budget. The 2005 OIOS evaluation of UN-Habitat recommended that it become more strategic and focused. This led to the formulation of the agency's six-year Medium-Term Strategic and Institutional Plan (MTSIP) 2008-2013. The MTSIP's intent was to sharpen the focus of the work of UN-Habitat and broaden its funding base; strengthen programme alignment and coherence and apply results-based management (RBM) to enhance value for money, transparency and accountability. As endorsed by the 21st Governing Council (Resolution 21/2) requesting for priority to be given to the proposed institutional reforms necessary to bring about better organizational alignment in the delivery of the Medium-Term Strategic and Institutional Plan.

9. UN-Habitat has revitalized and redirected its mandate, introduced a new management system, put in place a project accountability system and aligned its programmes to focus on strategic results. UN-Habitat's work is designed to combine normative and technical cooperation work in which a virtuous circle of knowledge production is applied to work in the field and also applied to the normative work.

The Strategic Plan 2014-2019

10. The development of the Strategic Plan 2014-2019 drew from the lessons learned from the implementation of the MTSIP 2008-2013. It is being implemented through programme of work and budget of the biennium 2014-2015, 2016-2017 and 2018-2019. UN-Habitat is implementing the Strategic Plan and delivering its work in seven focus areas through an organizational structure that is aligned to the focus areas with seven Branches and coordinated with the regional and country level through four Regional Offices, three Liaison Offices and about 55 Project Management and Coordination Desks (HPMs) at country level.

11. The strategic plan outlines seven focus areas: Urban Legislation, Land and Governance; Urban Planning and Design; Urban Economy; Urban Basic Services; Housing and Slum Upgrading; Risk Reduction and Rehabilitation and Research and Capacity Development. The first four listed will be the priorities during 2014 to 2019.

12. The Plan's results framework specifies the overall UN-Habitat Strategic Result as 'Environmentally, economically and socially sustainable, gender-sensitive and inclusive urban development policies implemented by national, regional and local authorities have improved the standard of living of the urban poor and enhanced their participation in the socio-economic life of the city', and focus area strategic results and their indicators of achievement.[69] Strategic results indicators are reported on biennially, whereas indicators of overall strategic results are reported triennially (see Figure 10 below, op.cit, page 43).

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67 Millennium Development Goal 7 includes targets on access to safe drinking water and halving the proportion of people who do not have access to basic sanitation by 2015
68 Resolution 56/206

69 Draft Strategic Plan, HSP/GC/34/5/Add.2, III. Strategic choice, D. Strategic result, page 10

Figure 10. Indicators of achievement.

2030 Agenda for Sustainable Development and Habitat III

13. In September 2015, the United Nations Sustainable Development Summit adopted the 2030 Agenda for Sustainable Development. The Agenda 2030 contains 17 Sustainable Development Goals (SDGs) and 169 targets to achieve sustainable development in its economic, social and environmental dimensions. UN-Habitat is leading and supporting the implementation of Goal 11: *Make cities and human settlement inclusive, safe, resilient and sustainable.* It has already prepared a Monitoring Framework as a guide to assist national and local governments in their efforts to collect, analyse and validate information as they prepare their country reports.[70] The activities related to these Goals need to part and integral of the Strategic Plan, work programme and budget.

14. The Third United Nations Conference on Housing and Sustainable Development (Habitat III), held in 20 October 2016, resulted in the New Urban Agenda outcome document. This stipulates the importance of urbanization as a source of development and an engine for prosperity and human progress, as reflected in the 2030 Agenda for Sustainable Development. The New Urban Agenda puts in place actions to change the path of urbanization and identifies key actors to carry out the changes. It recognizes UN-Habitat as a focal point in the United Nations System on sustainable urbanization and human settlements.

15. The significance of the 2030 Agenda and the New Urban Agenda outcome document on UN-Habitat underlines the case for reviewing the implementation of the Strategic Plan.

III. Purpose of the Mid-term Evaluation

16. The purpose of the Mid-term Evaluation is to assess the relevance, efficiency and effectiveness in bringing about transformative change and in the implementation of the Strategic Plan. The evaluation will assess progress towards achievement of the overall Strategic Result as well as the focus areas' strategic results so as to inform the implementation of the remaining period of the Plan, taking into account expectations expressed in Sustainable Development Goal 11 of the 2030 Agenda for Sustainable Development and in the New Urban Agenda.

70 11 Sustainable Cities and Communities: SDG Goal 11 – Monitoring Framework, March 2016

IV.   Specific Objectives

i. Assess progress towards achieving the overall strategic result and focus area results, as contained in the Strategic Plan's results framework for 2014-2019

ii. Assess the continued relevance, effectiveness and impact of the Strategic Plan driving changes in how UN-Habitat sets priorities, plans and implements the Plan

iii. Assess the extent of transformational changes resulting from the delivery of the Strategic Plan, and the quality of UN-Habitat's work, through an examination of the development and delivery of the project portfolio

iv. Recommend strategic, programmatic, structural and management considerations for implementing the remaining part of the Strategic Plan, with particular emphasis on improving the performance of the seven sub programmes.

V.   Scope and focus

17. This evaluation will assess progress in the implementation of the Strategic Plan with emphasis on transformational changes and progress in achievement of focus area strategic results over the period 2014-2016. It will build on existing strategic plan progress reports and monitoring reports and other Strategic Plan-related assessments/evaluations that have been carried out so far, as well as reports of related institutional processes. It will draw on data and findings from the recently-concluded assessment of UN-Habitat by the Multilateral Organization Performance Assessment Network (MOPAN).

APPENDIX 2. EVALUATION MATRIX

The following evaluation matrix was created to guide the Mid-term Evaluation

Criteria	High-level questions	Scoping questions	Key Indicators	Source of Information	Comment/probing questions
Relevance	Is UN-Habitat's Strategic Plan still relevant to the changing global context and does it enable flexible priority setting to meet changing needs?	How does UN-Habitat define 'transformation'? How should this transformation contribute to enhancing normative changes at global and regional level? What are the implications for changes to people's lives at the local level? To what extent are crosscutting issues such as human rights, gender equality, youth and climate change effectively integrated into programme design and implementation of the Strategic Plan?	Align to the New Urban Agenda framework? Alignment to Sustainable Development Goal 11? Inclusion of crosscutting issues in programming. Partnership approaches appropriate to Strategic Plan. Targeting approach to beneficiaries.	Key informants: staff and partners Key informants: staff and partners Documents and key interviews with partners - project documents and case study	Does UN-Habitat contribute design elements that are transformational? If so, in what way? Do UN-Habitat's implementation arrangements support innovation and systems change? Do UN-Habitat interventions reach the intended beneficiaries? Were beneficiaries who needed different solutions discovered? Was this the optimal approach to the problem? Why or why not? Is integration of programmes and results areas happening? How? Can these programmes be scaled up? By whom? Why or why not?
Effectiveness	How far has UN-Habitat progressed towards the achievement of strategic and focus area results as contained in the Strategic Plan results framework for 2014-2019? How are strategic results measured and is this effective? What is the extent of transformational changes resulting from the delivery of the strategic plan, and the quality of UN-Habitat's work? (through examination of the development and delivery of the project portfolio)	How effective and coherently has UN-Habitat, as a matrix organization, delivered and achieved integrated approaches towards urbanization? How effective has UN-Habitat been in implementing the Strategic Plan at regional and country level, working under Delivering as One principles?	Extent of delivery in relation to expected results	Evaluation reports Annual Report Programme and project reports Other available performance data Interviews with key staff	(Focus on targeted projects/programs) What worked? In what way? What difference did this make to whom? Are these results transformative? What are the political and social dynamics between various players within the implementation framework? Have these slowed down progress and how has this been managed?

Criteria	High-level questions	Scoping questions	Key Indicators	Source of Information	Comment/probing questions
Efficiency	How have UN-Habitat's and partner resources been applied to generate the results?	To what extent have the UN-Habitat organizational system reforms affected the implementation of the Strategic Plan 2014-2019? What has changed and what are elements of continuity since the adoption of the Strategic Plan 2014-2019, which followed the MTSIP 2008-2013? To what extent are UN-Habitat's business processes adapted to the delivery of the Strategic Plan?	Has UN-Habitat delivered what it promised, on time and to specification? Has UN-Habitat's arrangements enabled projects/staff to use resources efficiently? Has this changed over time? How? What needs to change to improve this?	Budget and actual expenditure overall and for focus projects Shifts in budget allocations and rationale Feedback from staff Available evaluations and other internal reports	Have UN reforms affected the ability to implement/utilize resources efficiently? Exactly how (better/worse)? Has Results based budgeting been used?
Sustainability	What strategic, programmatic, structural and management adjustments should be undertaken to improve sustainable performance in the implementation of the remainder of the Strategic Plan, particularly in the seven sub-programme areas?	What key global issues has UN-Habitat dealt with effectively in this strategy? What issues are emerging that may affect implementation in the future? What needs to change after Habitat III?	Have any contributions been made to achieving sustainable urbanization at global, national and local levels? Have UN-Habitat programmes improved ability to maintain sustainable urban settlements?	Evaluation reports, Focus programme results, case studies and key informant interviews	What does Habitat III and Sustainable Development Goal 11 mean for approaches to building urban settlements? What is the level of ownership of programmes and activities at the national and local level by national and local governments or local organizations?
Impact	Is UN-Habitat's Strategic Plan able to provide direction so that the organization undertakes necessary changes in the way it sets priorities for implementation, and ultimately achieves impact and sustainability of results?	To what extent is UN-Habitat progressing towards the achievement of the Plan's Strategic Result? Have any contributions been made to achieving sustainable urbanization at global, national and local levels?	Evidence of impact/emerging impact	Project evaluations, case study contact with beneficiaries, and key informant interviews	What needs doing to improve impacting and sustainable delivery that improves beneficiaries' lives? External Relations Division: How does advocacy, communication and partnerships support implementation of the Strategic Plan?

APPENDIX 3. SURVEY RESULTS

Two surveys were developed as part of the Evaluation methodology with the aim of reaching out to key stakeholders to gain their perspectives of UN-Habitat's progress. One survey was designed for implementing partners and the other for Committee of Permanent representative members.

Given the short timeframe for this evaluation there were limitations in preparing and conducting the surveys. Firstly, circulation lists had to be collected and collated. This resulted in the discovery that a number of email contacts were incorrect or out of date. Also, there are expected to be duplicate contacts from circulation directly from central contact databases and via branch databases. While effort was taken to update and correct emails, the number of return emails was high at around 14 per cent from central databases. Furthermore, the response rate could only be estimated and that does not follow good survey practices.

Nonetheless, for the implementing partner survey, a valid survey response was considered to have been achieved with 47 responses from an estimate circulation of 356 – an estimated response rate of 12 per cent. This is higher than the expected rate of 2-5 per cent for an unsolicited survey but lower than an expected rate for an internal voluntary survey of 22-25 per cent. As the respondents were external stakeholders, the response rate is considered valid for analysis. However, the response from the Committee of Permanent Representatives' (CPR) members was low as there were only nine responses of which three were from the same Member Country and a further two were incomplete.

Therefore, the survey is not considered to have generated valid data and only qualitative responses, where text input has been added to aid in interpreting CPR member viewpoints, have been analysed. Overall, while the survey has generated some useful findings future evaluation methods should allow more time for the development, implementation and analysis of survey processes.

Implementing Partner survey

1. Profile

The profile of respondents is shown in the Table below showing that more than half (53 per cent) were from either national or local government.

Respondents	No.	%
National Government ministries/agencies	13	28
Local government	12	25
Government associations	4	8
National NGOs	11	23
Development partners	6	12
Partner projects	2	4
Total	47	100

The range of activities was diverse as respondents could nominate more than one and this is shown below. The largest group has worked directly with UN-Habitat on implementation of programmes and projects. Many had also been involved in the design of these projects/programmes. Almost half had also been involved in thematic discussions, events and activities and have used UN-Habitat's knowledge products. Almost two-thirds had received funding via UN-Habitat. Specifically, for government respondents, most have been directly engaged with UN- Habitat on development of urban plans.

Respondents	%
Joint programme/project design	40
Joint programme/project implementation	63
Used knowledge resources	40
Participated in thematic events	48
Received funding	67
Development of urban plans	20

The main focus of the programmes with UN-Habitat that the Implementing Partners engage with are shown below. Partners could nominate more than one focus area and most did so, indicating multiple partnership roles.

Programme area	Engagement %
a. Urban Planning and Design	47
b. Urban Legislation, Land and Governance	31
c. Urban Economy	9
d. Risk Reduction and Rehabilitation	38
e. Urban Basic Services	41
f. Housing and Slum Upgrading	50
g. Research and Capacity Building	22

2. Relevance

The following statements were designed to assess level of agreement on whether UN-Habitat's work in implementing the Strategic Plan is relevant. Results are shown in the table below. This demonstrates that implementing partners are strongly convinced regarding the relevance of UN-Habitat's work. It shows that partners are not yet fully aware of the relevance of the New Urban Agenda and that they are less convinced about the relevance of UN-Habitat's approaches to sustainable results.

Statement	Agreement %	Disagreement %	Unsure %
a. The focus of the UN-Habitat on Sustainable Urban Development is relevant in the current development context	97	0	3
b. The UN-Habitat Strategic Plan 2014-19 is well aligned with the New Urban Agenda that was agreed at the HABITAT III conference in Quito in 2016	74	3	26
c. UN-Habitat's strategy and approach emphasizes participation and ownership by stakeholders who stand to benefit from implementation	91	3	6
d. UN-Habitat's approach is achieving changes in urban development that improve people's lives	100	0	0
e. UN-Habitat's approach is appropriate to ensure that benefits achieved are lasting and sustainable	75	19	6

A selection of qualitative comments is provided below:

#	Responses
1	Integrated NUPs need to be built in consultation with local and regional governments to ensure regular coordination among levels of government and stakeholders.
2	We were a partner only in one project and we are not really familiar with the UN-Habitat programme or programming.
3	Each nation should have the clear and handy NUP that can be understood and implied by local governing bodies, CSOs and individuals.
4	In "agreement" simply means that all the concepts/ ideas behind the program is for the welfare of the populace. As champion, it is the education of the leaders to have a full support on these programs. I do not strongly agree since sometimes the program provide a template that is not flexible enough for the local communales to adopt.
5	The engagement of the local government units and grass-root participation together with other stakeholders makes the plans more achievable and effective where both horizon.' and vertical alignment and integration of the different stakeholders play key roles in urban develpoment .
6	There is need for more than NUP to achieve lasting changes in the urban sphere. Strong oversight and involvement of CSOs are needed. There are also many policies but little implementation. So NUP should go hand in glove with action.
7	UN-Habitat's strategy and approach should really emphasises ownership by stakeholders who stand to benefit from implementation, and particularly the Government. The strategy should be really very practical. UN-Habitat has a weekenest in dusbursing fund.
8	These are necessary for sustainablity of interventions undertaken in urban areas and creating ownership among beneficiaries.
9	Our organization is working on WASH sector In rural area of Nepal. Therefore we have not familiar with urban development theme.
10	The context i which South Sudan Is currently night affect the strategy
11	Les politiques urbaines nationales et particulierement les strategies nationales d'amelioration des bidonvilles soot un cadre pertinent de reflexion et de raise en coherence des actions pour des villes plus inclusives et plus durables conformement au nouvel agenda urbain.
12	The policies of UN Haabitat are broad and extensive to improving people's lives and creating ownership of projects.
13	The policies and strategies of UN Habitat has always focused on sustainable development, local ownership, stakeholder participation and public participation.
14	All the above questions are very relevant to what we are partner with UN-Habitat.
15	The answers reflect our convenience with the UN-Habitat practice that emphasizes on participatory approach in Urban Planning ongoing project in Gaza with very good M&E.
16	None.
17	It must be ensured that national urbanization policies are not a means of excluding fragile social strata. which can not meet the criteria and laws of town planning.
18	If there is insufficient legislation to accompany urban policies, they will not be effective and sustainable.

Focus was placed on understanding Implementing Partners' views regarding National Urbanization Policies, given the strong emphasis that the New Urban Agenda (NUA) will place on this approach in future.

Similarly to the question above related to the NUA, the respondents were convinced of the need for National Urban Policies but less sure of the mechanisms for benefits and sustainability. This provides a signal to UN-Habitat that it needs to engage with its partners further to explain the concepts and present evidence of benefits and potential for sustainability.

Statement	Agreement %	Disagreement %	Unsure %
a. All countries should put in place a National Urbanization Policy (NUP) and associated legislation	91	3	6
b. UN-Habitat's focus on NUPs is appropriate to achieve changes in urban development that will improve people's lives	82	3	18
c. The NUP focus is appropriate to ensure that benefits achieved are sustained beyond programme/project implementation	69	6	25

Effectiveness

The results show that partners believe that the implementing arrangements in the partnership are successful and achieving good results. There is however, less confidence in relation to the extent citizens have been engaged in an effective way.

Statement	Agreement %	Disagreement %	Unsure %
a. My organization partnership with UN-Habitat has been implemented in an effective way	97	3	0
b. Other stakeholder organizations have been involved in implementing this programme in an effective way	91	3	6
c. Citizens have been involved in this programme in an effective way	84	3	13

In terms of effectiveness, respondents were asked what group of stakeholders they believe benefit the most from UN-Habitat support. Participants could select the top three. The national government was a clear front runner for benefits. Community leaders were the second group nominated for greatest benefits. Interestingly, local government and community organizations were seen to be benefiting equally. There was less benefit perceived for private sector or community members. This suggests that UN-Habitat needs to increase its available information regarding the ultimate benefits for end users of the plans and policies.

Statement – Who benefits most	%
a. Implementing partner	31
b. National government	78
c. Local government	44
d. community leaders	66
e. community members	25
f. private sector	12
g. NGOs	22
h. community organizations	44

Respondents were also asked what the most important benefits have been in their experience. Please find below a selection of answers received.

Responses
1   The local government level has been more involved In policy development and recommendations
2   s
3   Community awareness on the importance of conservation of public open spaces
4   Level of awareness of the local populace on climate thange. Specifically. knowldege on evacuation trail to lead evacuation venues...
5   A more active interest and participation of local government units and other stakeholders.
6   Improved community participation in urban planning issues and creating focal points at the cornmunity level
7   Improved our approach in engaging with communities and leveraging local resources to solve urban development challenges.
8   Human ressources empowerment
9   Rapproche participatove pour l'amélioration des conditions de vie dans les bidonvilles
10 Total Sanitation Status has been achieved in rural and remote Terai areas of Nepal.
11 Risk reduction, improved basic services etc
12 1. Les discussions des resider. sur famdboration de leur quartier au sein de leur comité de quartier. 2. La satisfaction des femmes travaillant dans les bancotieres cretre reconverbes en agent d'hygiene et de proprete du quartier
13 Provision of safe portable water. educabon and capacity building. Increase in sanitation and hygeine promotion. Reduction in pollution of water facility through the provision of resil.nt platforms
14 The anticipated results are achieved timely and people are using services in sustainable man.
15 It would support the basic need of the people . provision of sheker
16 Wonderful and useful urban planning.
17 Significant improvement in the level of community participation with marked trust between the local community and the planning authorities. That has been assessed by using pre and post intervention questionnaires and the change was very significant "almost doubled".
18 Increased knowledge and skills on water and sanitation by community members
19 Better housing for the poor
20 Our NGO's has observed a change in its method of work and in its participatory approach. The results are now quantifiable and better.
21 Strengthened local government capacity, improved bcal-central contact and coordination
22 The team approach for all actors of sustainable urban development and the dedication of the local actors in the management of their problems
23 Precise In work
24 Access basic services
25 Improved water supply access in peri-urban areas in targeted Towns
26 Provided relief in the phase of emerge, to address the shelter and WASH needs of the community in displacement
27 Approaching to achieve durable solution

Finally, respondents were asked a series of overall performance questions and were also asked to provide any further suggestions that they had for further improvement for the next stage of Strategy implementation. They were asked 'What are the facilitating and constraining factors?' and 'Do you have any suggestions for improvement for UN-Habitat to achieve greater results in future?' The results are shown below. These results show that are positive perceptions of UN-Habitat and its work overall. There are efficiency concerns with relation to delays and unmet expectations. This is related mainly to procurement delays – however, the respondents recognize the efforts that UN-Habitat is making to operate in an efficient way. There is appreciation of the tools and procedures generated but less evidence that the tools have been scaled up or leveraged.

	Strongly agree–	Agree–	Disagree–	Strongly disagree–	Unsure/Not applicable–
a. UN-Habitat programme/project/s have been implemented effectively –	41%	53%	6%	0%	0%
b. UN-Habitat programme/project/s have experienced delays	19%	39%	32%	3%	7%
c. UN-Habitat programme/project/s have proceeded as expected	25%	44%	16%	6%	9%
d. UN-Habitat programme/project/shave resulted in the development of new procedures/tools	32%	55%	0%	0%	13%
e. New procedures/tools been up scaled or used/adapted elsewhere	13%	65%	3%	0%	19%
f. UN-Habitat fulfils its role in implementing project/programme/s in an effective way	36%	58%	3%	3%	0%
g. UN-Habitat uses its resources efficiently	44%	44%	3%	0%	9%

Facilitating Factors:

Responses
1 The involvement of Habitat's partners
2 s
3 Careful participatory planning with the partner and continuous guidance, support and rnonitoring and subsequent feedback for the improvement of the project implementation
4 In program design: planning - incorporating/integrating CCA DRRM in plans at the objective 8 strategy formulation level.
5 VVhen vertical intergration is done where the different stakeholders from the national govemment down to the local conimunties, public and private institutions, the academe and oridnary citizens are engaged from planning to implementation.
6 Partnership and stakeholders involvement
7 Community participation and utilisation of indigenous knowledge.
8 Trainning
9 Timely release of funds. Capacity building for stakeholders involved in implementation. Effective monkoring of prograrnrne implementation.
10 Impication des communauté à la base d'identification et mise en oeuvre de programme.
11 Coordination and regularly follow up
12 Working in partnership
13 La démarche parscipative en amont (équipe pays) et . aval (comité de quarter suivi par l'équipe pays) .2. Le caractere à la fois local, national et international du Programme
14 Effectively engagement with stakeholder, timely reportage, effective monitoring
15 The supports are channeled for capacity buiding of stakeholders and their rn.ilization for the community sensitization. The public participation is ensur. through the wt policies.
16 Strong Monitoring System
17 Commitment, transparency, and using the most relevant experts in every activity.

18 Good planning for the projects with engagement of partners since the early stages. In addition, the UN-Habitat the extremely effective M&E to the detail of appointing project coordinator for daily contact and coordination.

19 Participatico of stakeholders in all stages of project/programmes delivery

20 Flexibility

21 The involvement of mukiple actors in the implementation of the program The follow-up evaluation which allows to have an effective retum

22 Durable, responsive partnerships with local governments

23 Participatory Planning

24 Country Team Approach and Household Empowerment

25 Using professional team

26 Follow recommendations from partner organizations

27 The partnership arrangement is excell.t, it empowers the implementer to effectively execute the project works.

Constraining Factors:

#	Responses
1	Need to promote a greater bottom-up approach and enhance kcal and natio. govemment dialogue .
2	s
3	The lack of local elected goveming bodies for the immediate decision makings.
4	Education of decision makers.
5	Aside from budget and tirne constraints. certain policies or lack thereof makes projects/programs difficult to implemenT as planned and ensure its sustainability.
6	Delays caused by various phases of project implementation.
7	Bureaucracy.
8	Disbursement of find.
9	Delay of release of oo-tinancing funds.
10	La gestion des problemes fonciers dans les projets d'amitioration de bidonville.
11	Local contest was not priorize in program design.
12	Delays in implementation.
13	Les intéréts individuels de certains résidents ne doivent pas primer sur l'intérét général d'arnélioration du quartier.
14	Long bureaucratic processes and poor communication channel.
15	The main barrier in Nepal are the prolonged political transition.
16	NOC from Government.
17	Time limit due to burden of programs, may be local land disputes.
18	Negative attitude of some of local government personnel as they are not used for the cutbire of participatory approach in planning.
19	Few number of staff members.
20	Not enough staff.
21	Bureaucracy.
22	Decision-making a. political level Non-controllable follow-up times.
23	Complexity of prcgramming highlighting local-central coordination and cooperation.

24	Project by Project Approach.
25	The availabdity of financial resources.
26	Israeli Municipality regulation and rules.
27	UN-Habitat Staff efficiency and management.
28	Delays in transfenthg funds from financing organizations to the implementor.
29	International organizations as partners which can delay the NOC process our couthy resulting in delay in Implementation.
30	Moja System for delaying the stallernents.
31	Support budget restrictions.

Recommendations for Strategy Implementation

The comments below show the range of recommendations from the Implementing Partners with regard to future action. Many relate to overcoming the Umoja issues and the related delays and challenges noted above. Other points relate to ensuring engagement and ownership in implementation and also the scaling up of benefits.

#	Responses
1	We recommend to enhan. the involvement of local and regional govemment associations in the New Urban Agenda implernentation. We further suggest to partner wei load and regional govemrnent associations for the tasks of monitoring and review of the major global agendas.
2	s
3	Need of bottom-top approach in project planning and top-bottom approach in the project implementation and need of invetsment of organzational development of the partners to sustain the long term benefit of the program implemented in Nepal.
4	Secure first the full support of the decision makers. Perceived problems: 1) lack of skilled manpower. 2) inability to supply skilled manpower because of cap on personal services (hiring is limited to 45% of totalrevenue of local government).
5	A stronger partnership with key organizations that can push both policies, projects and programs more effectively. Include fund, support to cover administration of projects at the country (ministry) implernentng partners level who normally assumes greater responsibilities on top of their TORs.
7	Timely disbursements.
8	Imrpove on te disbursement of fund, effective building of capacities for government and stakeholders authonomy.
9	The release of funds should be fimely and on schedule.
10	l'implicatión des chercheurs en amont dans l'étaboration des outits et demarche d'intervention. Mieux capitaliser les expériences réussies et les mettre en partage pour favoriser la dissemination.
11	Scale up the benefits for grassroot level staffs.
12	Timely planning.
13	Il faut implementer le programme sur plusieurs quartiars a la fois, afin de créer de l'emulation et de la concurence.
14	Improve communication channels with stakeholders, improve long process of doing business with partners.
15	Flexibility in adoption of changes in approach through mid-term review shall be incorporated in the project documents and agreement of cooperation.
16	More Focus should be given to developmental projects.
17	We would recommend it to have a very competent staff, so that it can deriver a multiple projects simultaneously.
18	To ensure funding for scab community infnastructure that have been agreed upon by the local community in the planning process in the planning areas in order to give more confidence b local community.
19	Involves all stakeholders in planning, monitoring and evaluation of UN Habitat activities.
20	More staff.

21	Work more with local organizations.
22	The Implementation of prograrns through multiple small actions. The setting up of an independent focal point.
23	Programmatic approach.
24	The contribution of partners and ensure the availability of funds on time.
25	Need to take input from partner organization regularly and discuss at high UN system.
26	Improvement on funds transfer procedures.
27	Localized approach should be adopted.

CPR member survey

1. Profile

Of the nine respondents, the average time of engagement with UN-Habitat as a Committee of Permanent Representatives (CPR) member was 2.3 years.

2. CPR Role

Respondents were asked to explain their role with UN-Habitat. All mentioned the providing policy guidance, advice or direction. Four understood their role to be related to approval of funding whereas the others expressed their role more in terms of policy oversight, with words or comments such as 'promoting the objectives' and 'transparency'.

3. Strategy relevance

Agreement with the relevance of the Strategy was high (strongly agree and agree) for all nine respondents. However, two raised concerns regarding the extent to which stakeholders are engaged in implementation and the allocation of resources for participation and three indicated concern with the relevance of sustainability mechanisms for implementation.

4. Urban impact Newsletter circulation

Of the nine respondents, only three remember receiving the Urban Impact newsletter. Of the three receiving the newsletter, none noted that they felt it was informative. As a flagship publication, this is of concern.

While it is possible that the newsletter has been circulated (based on feedback from UN-Habitat staff that the newsletter has been provided to the CPR) and not read by the CPR members, it suggests that the newsletter either is not given sufficient prominence by the members or that the means of circulation is not adequate to draw their attention.

Furthermore, several who had been members for a short period of time may not have yet received a copy, yet providing a package of back editions of the Urban Impact for new members would provide contribution to orienting the new members to UN-Habitat's work. Qualitative suggestions for improving information to CPR members related to more transparent, concise and easily read information and more effective use of the website.

5. UN-Habitat capability

The responses related to capability varied across the six respondents to this question. All strongly agree or agree that UN-Habitat helps to build the capability of governments. Five out of six agreed that staff are capable of delivering UN-Habitat programmes. Management capability is considered positive for half of the respondents with only one being unsure of management capacity. However, only one respondent agreed that the leadership is capable of guiding UN-Habitat's strategic directions, with three out of six strongly disagreeing and two disagreeing.

6. Success factors

The qualitative responses to what UN-Habitat needs to focus on to build success and impact related strongly to the normative and policy work. Good practices noted were the work on legislative change, input to sustainable planning and design and, in particular, the City Prosperity Initiative and the Global Land Tool Network. The suggestions were for leverage from normative work and to widen opportunities for hands-on experience related to the normative products.

APPENDIX 4. LIST OF PEOPLE INTERVIEWED

1. **Ana Moreno,** Former Coordinator, Habitat III Secretariat, WUF-9 Coordinator

2. **Andre Dzikus**, Coordinator, Urban Basic Services Branch and Acting Coordinator, Risk Reduction and Rehabilitation Branch

3. **Andrew Cox,** Director, Management and Operations Division

4. **Angela Mwai,** Gender Coordination and Support Unit, Gender Focal Point, Unit Leader, Gender Equality Unit

5. **Asenath Omwega,** Quality Assurance, Management and Operations Division

6. **Christine Auclair,** Project Leader, World Urban Campaign, Outreach and Communications Branch, External Relations Division

7. **Christine Musisi,** Director, External Relations Division

8. **Christophe Lalande,** Unit Leader, Housing Unit, Housing and Slum Upgrading Branch

9. **Dan Lewis,** Chief, Urban Risk Reduction, Head, UN-Habitat City Resilience Profiling Programme

10. **Danilo R. Antonio,** Land and GLTN Unit, Urban Legislation, Land and Governance Branch

11. **David Thomas,** Consultant, Cross-cutting markers and mainstreaming, Gender Equality Unit

12. **David Kariuki,** Consultant, Economy and Municipal Finance, Urban Economy Branch

13. **David Gatimu,** Chief Officer, Department of Land, Housing and Physical Planning, County Government of Kiambu

14. **Dorothy Mutizwa-Mangiza,** Unit Leader, Quality Assurance, Management and Operations Division

15. **Doudou Mbye,** Senior Human Settlements Officer, Regional Office for Africa

16. **Douglas Ragan,** Unit Leader, Youth & Livelihood Unit, Urban Economy Branch, Youth Focal Point

17. **Dyfed Aubrey,** Director, Regional Office for Arab States

18. **Eduardo López Moreno ,** Research and Capacity Development Head

19. **Elkin Velazquez,** Director, Regional Office for Latin America and the Caribbean

20. **Fernanda Lonardoni,** Housing Unit, Housing and Slum Upgrading Branch

21. Focus Group Meeting with interested Members of the Committee of Permanent Representatives (CPR)

22. **Gerald Gakuha Giuthinji,** Deputy Governor Kiambu County

23. **Gordon Weiss,** Ag. Coordinator (and Spokesperson), Advocacy, Outreach & Communications

24. **Jane Reid,** Consultant (NUP), Regional and Metropolitan Planning Unit

25. **Joan Clos,** Executive Director

26. **Joe Hooper,** Change Manager, UNON

27. **Joseph Mocabi,** Kiambu County Revenue Officer

28. **Juma Assiango**, Human Settlement Officer/Coordinator, Safer Cities Programme, Local Governance and Decentralization Unit, Urban Legislation, Land and Governance Branch

29. **Kerstin Sommer,** Ag. Branch Coordinator, Unit Leader, Slum Upgrading Unit, Housing and Slum Upgrading Branch

30. **Koussay Boulaich,** Speechwriter, Office of the Executive Director

31. **Laura Petrella,** Officer-in-Charge, Urban Planning & Design Branch, Leader City Planning, Extension and Design Unit

32. **Liliana Contreras,** Division of Management and Operations

33. Mashimoni Slum community leaders focus group

34. **Marco Kamiya,** Ag. Coordinator, Urban Economy Branch

35. **Martin Barugahare,** Chief, Evaluation Unit

36. **Masayuki Yokota,** Chief, Urban Research and Capacity Development Unit, UN-Habitat, Saudi Arabia Programme, Riyadh

37. **Mohamed Robleh,** Methods & Oversight Officer, Management and Operations Division

38. **Naison Mutizwa-Mangiza,** Director & Principal Adviser, Strategic Advisory, OED

39. **Oumar Sylla,** Senior Human Settlement Officer, Land and Global Land Tool Network Unit, Urban Legislation, Land and Governance Branch

40. **Pacome Kossy,** Quality Assurance

41. **Rafael Tuts,** Director, Programme Division

42. **Regina Orvañanos Murguía,** Task Manager, Cities Prosperity Initiative, Research and Capacity Development Branch

43. **Remy Sietchiping,** Unit Leader, Regional and Metropolitan Planning Unit, Urban Planning and Design Branch

44. **Robert Lewis-Lettington,** Ag. Branch Coordinator, Urban Legislation, Land and Governance Branch

45. **Srinivasa Popuri,** Senior Human Settlements Officer (SHSO), UN-Habitat, Regional Office for Asia and the Pacific

46. **Stephen Van Houten,** evaluation consultant

47. **Susanne Bech,** Evaluation Officer, Evaluation Unit

48. **Vincent Kitio,** Unit Leader, Urban Energy Unit, Urban Basic Services Branch

49. **Yoshinobu Fukasawa,** Director, Regional Office for Asia and the Pacific

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