





RESULTS-BASED MANAGEMENT HANDBOOK

APPLYING RBM CONCEPTS AND TOOLS FOR A BETTER URBAN FUTURE



Results-Based Management Handbook Applying RBM concepts and tools for a better urban future

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Contents 《

Acronyms an	d Abbreviations	vii
Acknowledge	ements	vii
Preface		vii
Purpose and	audience of the Handbook	ix
Part 1: Overv	iew of RBM	1
1.1.	What is Results-Based Management?	2
1.1.1	Results should be grounded in a sound Theory of Change	4
1.1.2	. Defining the pillars of RBM	7
1.2.	Origins and International context	12
1.3.	RBM in the UN Reform agenda	14
1.3.1	. RBM in the global UN context	14
1.3.2	. RBM in UN-Habitat	15
Part 2: Result	s-Based Planning	20
2.1	General concept	21
2.1.1	What is planning?	21
2.1.2	Why planning?	21
2.2	Corporate level planning in UN-Habitat	24
2.2.1	Introduction to Corporate planning	24
2.2.2	Strategic Planning	25
2.2.3	Strategic framework	54
2.2.4	The Work Programme	60
2.2.5	. The annual work plan	66
2.3	Project level planning	68
2.3.1	RBM in Project Planning	68
Part 3: Result	s-Based Monitoring and Reporting	84
3.1.	General concept	85
3.1.1	What is results-based monitoring?	85
3.1.2	What is results-based reporting?	87
3.2	Monitoring and reporting for results at strategic and programme levels	89
3.2.1	Monitoring and reporting framework for the strategic plan and the biennial work	
	programme and budget	89
3.2.2	Monitoring and Reporting on the Implementation of the Six-year Strategic Plan	90
3.2.3	Monitoring and reporting on the implementation of the Biennial Work Programme	
	and Budget	95



	3.2.4	Guidelines for monitoring and reporting on Programme of Work using IMDIS	105
	3.3.	Project Level Monitoring and Reporting	124
	3.3.1	Using Performance Information	126
Part 4	: Results	-Based Evaluation	129
	4.1	General concept	130
	4.1.1.	What is evaluation?	130
	4.1.2	Why UN-Habitat carries out evaluations?	130
	4.1.3	Evaluation in the UN System	131
	4.1.4	UN-Habitat's expectations from evaluations	132
	4.1.5	Roles and responsibilities	133
	4.1.6	Involving key stakeholders in evaluation processes	134
Part 5	: Capacit	ry Building, Knowledge Management and Innovations in RBM	163
	5.1	Building RBM Capacity in UN-Habitat	164
	5.2	Knowledge Management and Learning in RBM	166
	5.3	Driving innovations in RBM	167



List of Figures **《**

Figure 1:	The Results Chain	3
Figure 2:	Example of Theory of Change diagram	6
Figure 3:	RBM Pillars	9
Figure 4:	RBM cycle	10
Figure 5:	Main characteristics of RBM	11
Figure 6:	Challenges associated with the implementation of RBM in UN-Habitat	16
Figure 7:	Expected Benefits of RBM	17
Figure 8:	What is planning?	21
Figure 9:	Corporate Level Planning in UN-Habitat	22
Figure 10:	Translating UN-Habitat mandates to results	23
Figure 11:	Delivering the Strategic Plan	25
Figure 12:	Pyramid of strategic choice	39
Figure 13:	Example of UN-Habitat's results chain	40
Figure 14:	Spheres of control, influence and concern	42
Figure 15:	Example ToC diagram, using National Urban Policies	46
Figure 16:	Programme risk matrix	49
Figure 17:	Preparation of the strategic framework	55
Figure 18:	Structure of the Strategic Framework	55
Figure 19:	Preparation of the work programme and budget	60
Figure 20:	Components of the work programme and budget	61
Figure 21:	General example of a results-chain	62
Figure 22:	Example of a results-chain using subprogramme1, Urban legislation, land and governance	63
Figure 23:	Preparation of the annual workplan	66
Figure 24:	Link between project objectives and strategic results	68
Figure 25:	Delivering as One UN-Habitat: From Outputs to Expected Accomplishments	69
Figure 26:	Example of a Vertical Project Results Chain	71
Figure 27:	Logic Model as contained in the Concept note	72
Figure 28:	Risk assessment matrix	81
Figure 29:	Categories of risk	81
Figure 30:	Basic Model (adapted from World Bank)	82
Figure 31:	Levels of monitoring	86
Figure 32:	The Significance of Monitoring and Reporting	88
Figure 33:	Linkages in the results chain within the IMDIS	96
Figure 34:	Balancing reach, resources and results	127
Figure 35:	Continuous performance monitoring and decision making	128
Figure 36:	A simple RBM Model	128
Figure 37:	Phases of evaluation	136
Figure 38:	The M&F-Learning-Accountability Virtuous Triangle	167



List of Tables 《

Table 1:	Major International Conferences on Aid Effectiveness and Managing for Development Results	13
Table 2:	Sample questions for environmental scan	28
Table 3:	Template for a SWOT matrix	31
Table 4:	Some example of indicators	48
Table 5:	Example of a Results Framework – UN-Habitat Results Framework 2014 – 2019	52
Table 6:	Example of a Results Framework – Urban Legislation, Land and Governance	53
Table 7:	Example of logframe as presented in the biennial strategic framework Subprogramme 1:	
	Urban Land, Legislation and Governance	58
Table 8:	Channels for submitting the strategic framework to the PPBD	59
Table 9:	Example of a Horizontal Project Results Chain	71
Table 10:	Concrete example of a Logic Model	77
Table 11:	Performance Measurement Framework Template	78
Table 12:	Four-point rating scale	83
Table 13:	Risk Register or Matrix (risk management measures include prevention,	
	reduction, acceptance, contingency, outsourcing risk and risk ownership)	83
Table 14:	Key Aspects of Programme Monitoring	87
Table 15:	Tools for programme performance monitoring, data collection and analysis	89
Table 16:	Principles of good results-based reporting	91
Table 17:	Step by step process in preparing the Annual Progress Report	93
Table 18:	UN-Secretariat required Work Programme monitoring and reporting cycle actions	97
Table 19:	Responsible persons for different actions in the monitoring and reporting process	98
Table 20:	Template for collecting evidence for programme performance monitoring and	
	reporting progress on indicators and results achieved (Example for subprogramme 3.)	100
Table 21:	Information for tracking and verifying output delivery in IMDIS and programme	
	performance evidence database	101
Table 22:	UN- Habitat PAAS Based Project Implementation Monitoring & Reporting	125
Table 23:	Summarizes the key actors, their roles and responsibilities in the evaluation process	134
Table 24:	Steps in evaluability Assessment	139
Table 25:	Checklist for consideration at the early planning stage of the evaluation	140
Table 26:	Checklist for preparation of ToRs	146
Table 27:	Checklist for selection of evaluation consultants	150
Table 28:	Elements of the evaluation work plan	152
Table 29:	Summary of common data collection methods used in UN-Habitat evaluations	154
Table 30:	Contents of the evaluation report	156
Table 31:	Checklist for evaluation report	158



List of Boxes **《**

Box 1:	RBM in the UN reform	14
Box 2:	Effective organizations	32
Box 3:	UN-Habitat's Vision Statement	32
Box 4:	UN-Habitat's Mission Statement	33
Box 5:	UN-Habitat's Philosophy Statement	34
Box 6:	UN-Habitat Goal	35
Box 7:	UN-Habitat Programme Level Strategic Result	36
Box 8:	Some examples of actors responsible for data collection/validation:	50
Box 9:	Selecting appropriate Data Collection Methods	50
Box 10:	Some Examples of Data Sources	51
Box 11:	Developing Strong Targets	51
Box 12:	Role of the QAU in preparing the biennial strategic framework	59
Box 13:	Role of Branches in preparing the biennial strategic framework	60
Box 14:	Role of the MOD (Quality Assurance Unit & Finance	
	and Budget Unit) in preparing the biennial WP&B	65
Box 15:	Role of branches in preparing WP&B	65
Box 16:	Questions to ask yourself when drafting or assessing a result statement:	73
Box 17:	Useful Definitions	75
Box 18:	Example of a project objective	75
Box 19:	Example of activities and outputs	76
Box 20:	Example of sub-expected accomplishments and expected accomplishments	76
Box 21:	Example of a qualitative performance indicator	79
Box 22:	Examples of external assumptions	80
Box 23:	Useful Risk Terminology	82
Box 24:	Why engage stakeholders?	135
Box 25:	Contents of the TOR	142
Box 26:	Resources for identifying external evaluators	149
Box 27:	List of documents to be made available to the evaluation team	151
Box 28:	A few reminders	165
Box 29:	Components of RBM sustainability	165



Acronyms and Abbreviations 《



ACABQ Advisory Committee on		PAAS	Project Accrual and Accountability
	Administrative and Budgetary Questions		System
BPP	Biennial Programme Plan	PMF	Performance Measurement Framework
СВО	Community Based Organizations	POW	Programme of Work
CPC	Committee for Programmes and	PPA	Preliminary performance Assessment
	Coordination	PPBD	Programme Planning and Budget Division
CPR	Committee of Permanent	PPR	Programme performance report
	Representatives	QAU	Quality Assurance Unit
DAC	Development Assistance Committee	RBM	Results-Based Management
DM	Department of Management	SMAR	Specific, Measurable, Attainable, Realistic
EA	Expected Accomplishments		and Time-bound
ECOSC	C United Nations Economic and Social	SWOT	Strengths, Weaknesses, Opportunities,
	Council		and Threats
ESCAP	Economic and Social Commission for	TCPR	Triennial Comprehensive Policy Review
	Asia and the Pacific	TOR	Terms of Reference
GC	Governing Council	UN	United Nations
HRBA	Human Rights-Based Approach	UNCT	United Nations Country Team
IMDIS	Integrated Monitoring and	UNDAI	United Nations Development Assistance
	Documentation Information System		Framework
IP	Implementing Partner	UNDG	United Nations Development Group
ISBN	International Standard Book Number	UNDP	United Nations Development Programme
LM	Logical Model	UNEG	United Nations Evaluation Group
M&E	Monitoring and Evaluation	UNFPA	United Nations Population Fund
MDG	Millennium Development Goals	UN-Ha	bitat United Nations Human Settlements
NGO	Non-Governmental Organization		Programme
OECD	Organization for Economic Co-operation	UNICE	F United Nations Children's Fund
	and Development's (OECD)	WATSA	N Water and Sanitation
OIOS	Office of Internal Oversight Services	WP&B	Work Programme and Budget





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The Handbook is intended to further strengthen and support UN-Habitat staff, management and partners' understanding of what RBM is, and how its key pillars comprising planning, monitoring & reporting, evaluation and learning are implemented at strategic, programme and project levels.

Development of this Handbook was led by the Quality Assurance Unit, in the Management and Operations Division that is responsible for Programme Planning; Monitoring and Reporting; and Audit and Inspection. The Evaluation Unit contributed the section on evaluation and the Programme Division wrote the section on project planning and monitoring. All the contributions to this Handbook are greatly appreciated. Special thanks to Pacome Kossy who also coordinated the process. The core team comprised:

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Preface 《

This Handbook on Results-Based Management (RBM) is the first manual and guide on strategic, programme and project planning, monitoring, reporting and evaluation in UN-Habitat. This document should be used in conjunction with the RBM Policy, the Project-Based Management Policy¹, the Evaluation Policy and the evaluation guidelines which together guide the implementation of RBM in UN-Habitat.

UN-Habitat has been implementing the results-based budgeting (RBB) approach in its programme planning, monitoring, reporting and evaluation since 2000, in line with Regulations and Rules Governing Methods of Evaluation, ST/SGB/2000/8 of April 2000, which were updated in May 2016 with the Regulations and Rules Governing Methods of Evaluation, ST/SGB/2016/6. The organization adopted Results-Based Management as the management approach for implementing and achieving the results of its six-year Medium-term Strategic and Institutional Plan (MTSIP) of 2008-2013, and more recently, its strategic plan for 2014-2019. Implementing Results-Based Management is in line with current international development expectations and practices, including the 2030 Agenda for Sustainable Development with its Sustainable Development Goals and the New Urban Agenda.

http://habnet.unhabitat.org/sites/default/files/documents/11782_Project_Based_Management_policy_November_2012.pdf



Purpose and audience of the Handbook

The main purpose of this Handbook is to provide UN-Habitat staff at all levels with common ground for programme and project planning, monitoring, reporting and evaluation using RBM principles and tools. The Handbook responds to the need to institutionalize RBM in all UN-Habitat processes, activities, projects and programmes; and strengthen the culture of results, with the aim of enhancing the organization's relevance, efficiency, effectiveness, accountability, visibility and value for money. Effective implementation of RBM in UN-Habitat will greatly enhance the achievement of desired results and demonstrate real change in the lives of the people for whom its interventions are designed.

This user friendly Handbook will clarify key concepts, principles, terminology and tools to enhance RBM knowledge, skills and application by UN-Habitat management, staff and partners. The reader of the Handbook will understand:

- What RBM is and why it is used; its key elements and history; and how it is applied in UN-Habitat;
- The value of strategic programme and project planning for effective implementation, monitoring and evaluation;
- The critical role of monitoring in demonstrating the performance of programmes and projects, and in steering the implementation process towards the intended results;
- How monitoring lays the groundwork for evaluation;
- Different types of evaluation in UN-Habitat and their contribution to learning and accountability;
- The role of monitoring and evaluation in strengthening UN-Habitat's humanitarian and development effectiveness and managing for development results;
- Principles, norms, standards, policy, processes and responsibilities for planning, monitoring and

- evaluation in UN-Habitat;
- Where to look for references and materials for additional information and guidance.

Structure of the // Handbook

The Handbook is divided into the following five parts:

- Part 1 consists of an overview of RBM, including its origins and international context, as well as its place in the United Nations reform agenda, in general, and in UN-Habitat in particular.
- Part 2 deals with RBM in planning. It presents the general approach to planning using RBM principles and tools before presenting how planning for results in UN-Habitat is undertaken at strategic, programme and project levels.
- Part 3 presents RBM in monitoring and reporting.
 It also presents the general concepts of monitoring and reporting, before dealing with monitoring and reporting for results in UN-Habitat at strategic, programme and project levels.
- Part 4 deals with RBM in evaluation. It presents the basic principles of evaluation in the UN system in general, and in UN-Habitat in particular. It provides guidance on how to plan and conduct evaluations in UN-Habitat.
- **Part 5** is about capacity building, knowledge management and innovations in RBM.

The five sections are mutually reinforcing and make up a coherent whole. At the same time, each section is designed to stand alone by reiterating the key introductory concepts, and can be read by itself.







1.1 What is Results-Based Management?

esults-based management (RBM) is a broad management approach whose core focus is achieving results. The Office of Internal Oversight Services (OIOS) defines RBM as a "management strategy by which processes, outputs and services contribute to the achievement of clearly stated expected accomplishments and objectives. It is focused on achieving results, improving performance, integrating lessons learned into management decisions and monitoring and reporting on performance."²

The Organization for Economic Cooperation and Development (OECD) defines RBM as "A management strategy focusing on performance and achievement of outputs, outcomes and impacts".³

The United Nations Development Group defines results based management as "a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and higher level goals or impact). The actors in turn use the information and evidence on actual results to inform decision-making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting."⁴

CIDA holds that RBM "aims at improving management effectiveness and accountability by defining realistic expected results, monitoring progress toward the achievement of expected results, integrating lessons learned into management decisions and reporting on performance"⁵

RBM is sometimes used interchangeably with managing for development results (MfDR). MfDR is about achieving development or sustainable rather than short-term results that have an impact on the lives of people.

It is about accountability for delivering results to the citizens on whom the interventions are focused.

Another commonly used term is results-based budgeting (RBB), which has a narrower focus than RBM and refers to "a programme budget process in which (a) programme formulation revolves around a set of predefined objectives and expected results (b) expected results justify the resource requirements which are derived from and linked to outputs required to achieve the results; and (c) actual performance in achieving results is measured by objective performance indicators".6

RBM is about selecting a destination first, then deciding on the route, checking against a map and making adjustments as required, in order to achieve the desired results. The RBM approach shifts away from a focus on inputs, activities and processes to a focus on benefits and achievements that are a direct effect of the intervention. RBM also emphasizes using information on results to improve decision making. The RBM approach demands that management continually reflects on the extent to which that implementation of activities and outputs will lead to the achievement of desired outcomes. It is about effectiveness of implementation. Accordingly, management is supposed to continually make necessary adjustments to ensure that planned or desired outcomes or results are realized.

RBM is not a tool; it is a mindset, a way of working that looks beyond processes, activities, products and services to focus on the actual social and economic benefits of projects and programmes at the level of beneficiaries. RBM is a system, and like all systems its components must work harmoniously and cohesively for it to be effective.

² Review of results-based management at the United Nations (OIOS)- A/63/268/

³ Organisation for Economic Cooperation and Development (OECD), "Glossary of Evaluation and results based management (RBM) Terms", 2010 edition, page 34.

⁴ United Nations Development Group, results-based management Handbook: Harmonizing RBM concept and approaches for improved development results at country level" edited draft October 2011, p 2.

⁵ Results based management in Canadian International Development Agency (CIDA), January 1999.

⁶ A/53/500 of 15 October 1998- Office of Programme Planning Budget and Account



What then is a result or a development result? A result arises as a consequence (intended or unintended, positive or negative) of a development intervention or humanitarian assistance, deriving from the utilization of products and/or services provided to targeted institutions and communities. Some of the key elements of RBM are:

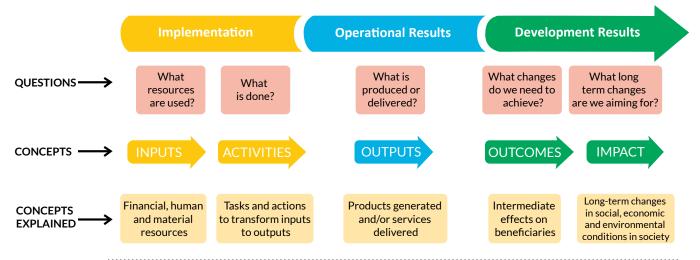
- 1. Focusing the dialogue on results at all phases of the development process;
- 2. Aligning programming, monitoring and evaluation with results;
- 3. Keeping measurement and reporting simple;
- 4. Managing for, not by results; and

Using results information for learning and decisionmaking.

Other commonly used terms for results are effect, outcome, expected accomplishment and impact.

A central tenet of results thinking is the results chain, which is an illustration of the causal relationship between various elements over time. A results chain can be summarized as a series of conditional statements: If A is done, B will happen; if B happens, C is also likely to happen. The diagram below is an illustration of a results chain.

Figure 1: The Results Chain



Definitions:

Inputs: are financial, human and material resources used for the development intervention

Activities: are options taken or work performed using resources to produce specific outputs

Outputs: are products or services which are relevant for the achievement of outcomes – they are the short term products of completed activities.

Outcomes/Expected Accomplishments⁷:

are the intended intermediate effects on the target groups —they represent the most important result-level in RBM.

Impact: refers to long term improvement in society. The causal relationship between the development intervention and the changes that have taken place in society is often difficult to prove and is a function of multiple factors, both negative and positive.

Within the UN Secretariat and UN-Habitat outcomes are referred to as "expected accomplishments".



While a results chain shows a causal relationship over time, it is not a simple linear process. There are many external factors that may affect the results of the intervention, especially at outcome and impact levels.

Outcomes may be caused by factors both within and beyond the control of the programme – the intervention may be one of the many contributors to an outcome. In the value chain of results – or the intervention – the question to ask is, "Would the change have occurred without the intervention?" The intervention strategy has to have reasonable influence on the planned outcomes.

At impact level, it becomes increasingly difficult to attribute the observed development change to a particular intervention, as there are many variables and many actors or sources (i.e., the partner country, multiple donors and other stakeholders, both local and international) who may be contributing. At that high level, success or failure cannot be attributed to one specific programme intervention; therefore, reference is made to their contribution.

Multiple factors, events, conditions or risks beyond the control of the programme or intervention may negatively influence or threaten the achievement of intended results or changes. Accordingly, in any intervention, it is always important to analyse both internal and external risks that may hinder the success of the programme and attainment of planned results. Risks are closely related to results and should therefore be analysed against the results framework of a programme.

Risk management is therefore an integral part of results-based management. Internal risks are factors under the control of the programme that may hinder success, and include human and financial resource capacity, corruption, management capabilities, incentive structures, ownership, etc. External risks are factors beyond the control of the programme which could hinder the achievement of results and include political, institutional, economic, environmental, social and technological conditions.

1.1.1. Results should be grounded in a sound Theory of Change

Achieving the Sustainable Development Goals (SDGs) adopted by the United Nations General Assembly will require a strong RBM approach to the planning and implementation of development initiatives, including a strong monitoring and evaluation (M&E) system. Evidence shows that both planning and achievement of results increasingly receive attention at global, regional and country levels. However, when results are not explicitly factored into the planning and budgeting process, we often tend to let the projects/programmes manage us instead of us managing them. Experience indicates that clarity in direction invariably leads to enhanced effectiveness and efficiency for policy makers, planners and programme managers.

As donor assistance shrinks and internal financial allocations are shared among competing priorities, managers are challenged to prove that their programmes and projects produce the results that they promise to achieve.

RBM together with a changing mind-set and culture towards achievement of results is often positioned as an important part of management reform. It helps to connect policy, resources and programme designs with service delivery and their effect on communities.

At the beginning of a planning cycle, whether it is at programme or project level, it is important to determine what results need to be achieved, when they need to achieved, and what needs to be done right away, in order to successfully achieve set goals and objectives. Results should be based on a sound Theory of Change (ToC) that will guide the different phases of programme/project implementation.

The Theory of Change is not simply a 'buzzword'; it represents an increasing desire for organizations to



explore and represent change in a way that reflects a complex and systemic understanding of development. This desire stems at least in part from the "results agenda", and this places the ToC at the center of RBM.

What is the Theory of Change?

The Theory of Change as an approach is a guiding framework for all stages of planning (thinking), implementation (action) and performance management (accountability and lessons-learning) when intervening in social change processes.

It is a method that organizations and groups use to think critically about what is required to bring about a desired social change. It is a process designed to depict how a complex change initiative will unfold over time. It creates an illustration of all the various moving parts that must operate in concert to bring about a desired outcome.

The ToC articulates and illustrates the causal relationship between the different level of results, from the immediate results/outcomes/preconditions to the intermediate results/outcomes/preconditions, to the desired change or long-term outcome. The ToC brings flexibility to and expands on the results chain. In fact, it could be called a results cloud.

In UN-Habitat, the ToC is used as a result-oriented approach for analysing the complex systems in which the organisation and its partners operate, and for planning actions that are likely to influence those systems in a positive way, and bring about change in the lives of urban dwellers.

Although ToCs exist in endless variations of style and content, the steps to follow in developing a ToC in UN-Habitat are presented in "Section 2.2.2 Preparing the strategic plan", page 43 including a concrete example using national urban policies.

UN-Habitat distinguishes between the ToC as a way of thinking (overall approach); a process (a ToC analysis or enquiry); and a product (the result of a ToC process).

 ToC is a thinking and action approach to navigate the complexity of social change. It is a way of looking at the world that calls on and fosters people's capacities for critical questioning, not taking things for granted, dealing with uncertainties, and acknowledging the inevitability of diverse perspectives.

- ToC is a process. If used well, a ToC enquiry is an ongoing process of analysis and reflection. It is not a one-off exercise in the design phase of a programme, but rather involves an ongoing actionlearning cycle.
- A ToC is also a product because a ToC enquiry results in specific outcomes – in narrative and/or visual form – that represent the theory of change of an organisation, a team, or a project or programme. It is a 'living' product because it will change over time.
- A ToC is a temporary snapshot, a reflection of the thinking at a specific moment, which will not and does not need to be complete. As a product, a theory of change offers a framework for sensemaking that needs to be used, revisited and adapted as the project or programme advances, other actors come in, changes in the context occur and learning takes place.

Desired change or strategic result Assumptions Assumptions Domain of Assumptions Domain of change 4 change 1 Domain of Domain of change 2 change 3 Assumptions Assumptions Assumptions Assumptions Intermediate Intermediate outcome or Intermediate Intermediate outcome or precondition outcome or precondition outcome or precondition precondition Assumptions Assumptions Assumptions Intermediate Intermediate Intermediate outcome or outcome or outcome or precondition precondition precondition Assumptions Assumptions Assumptions Assumptions Immediate Immediate Immediate outcome or outcome or precondition outcome or precondition precondition

Figure 2: Example of Theory of Change diagram



Why the Theory of Change?

In UN-Habitat, a number of reasons and expected benefits justify the use of theory of change as a tool to guide planning, implementation and performance management; among them:

- understanding the context and situation as a starting point for planning programmes and projects; bringing critical thinking to bear on the assumptions around an initiative, to make views on how the initiative is expected to work transparent;
- moving beyond 'business as usual', generic programme and project designs through a greater awareness of the context;
- developing a common understanding of the work and surfacing differences in perspective in a positive way;
- strengthening the clarity, effectiveness and focus of programmes and projects;
- offering a more flexible alternative to working with log-frames for complex initiatives and contexts;
- using theory of change as a framework within which to assess impact and improve monitoring and evaluation, test assumptions, demonstrate impact and learn from it;
- improving relationships with partners and stakeholders by identifying opportunities for dialogue and collaboration;
- providing a unifying framework for strategic decision-making, communication and reporting;
- wanting to have a clearer conceptualisation of 'results' and understanding the intermediate changes that have significance for the organization and stakeholders, to enable strategies to be optimized for the context;
- strengthening adaptive management and responsiveness to changes in the context; and
- finding new ways of bringing rigour to the evaluation of complex and emergent change in difficult areas related to sustainable urbanization, such as legislation and governance.

1.1.2. Defining the pillars of RBM

Pillar 1: Planning (discussed in greater detail later under the sections on strategic & programme planning, Sec 2.2):

Planning in an RBM system is the process of identifying the goals or objectives to be achieved; formulating the strategies to achieve them; organizing or creating the means required; and establishing performance measurement frameworks, as well as determining the resources required. Planning lays the basis for implementation, monitoring, reporting and evaluation processes, and directs all steps in their proper sequence.

A basic principle of results planning is to start with the desired change (impact and outcomes) and then identify the outputs, activities and inputs required to achieve them — develop a results framework. This implies a thorough analysis of the problem that needs to be solved, the changes that are desired and the activities and inputs that are necessary to achieve them.

Key questions to be addressed during the planning phase are:

- 1. What is the problem to be solved *(the undesirable situation)?*
- 2. What do we want to achieve (the desired change)?
- 3. How do we get from A to B (the strategy)?
- 4. How will we know when we have arrived (the indicators)?
- 5. What assumptions are we making if the desired change is to happen (what needs to be in place)?
- 6. What are the risks and how will they be mitigated?

Pillar 2: Monitoring (discussed in detail later, under the sections on strategic and programme monitoring, section 3.2):

Monitoring in an RBM system is a continuous or periodic process that provides performance information on the degree of progress made towards achievement of desired change or results at a particular time. It involves systematic collection of data on selected indicators to measure performance against targets. Data on indicators provide management and the main stakeholders of an ongoing development intervention with pointers to the



extent of progress in implementation and achievement of outcomes/objectives, and use of allocated funds.

Monitoring tracks progress and alerts management on whether actual results are being achieved. It focuses on the fidelity of the cause-and-effect relationships: Are inputs or resources leading to desired activities? Are activities producing the desired outputs? Are outputs being utilized by target users? The process involves making adjustments and tradeoffs. Monitoring checks to see whether outputs are of the desired quality and whether they are timely and adequate to lead to the desired change. If not, adjustments are required – that is adaptive management.

Monitoring provides records of activities and results, and identifies challenges and risks. It will not explain why a programme is not reaching its planned outcome or impacts. That kind of analysis, as well as questions of cause and effect, is normally dealt with through reviews and evaluations.

As part of monitoring, evidence of the reported results should be collected using indicators to verify what is reported.

Pillar 3: Evaluation (discussed in detail later under the section on evaluation, section 4.2):

Evaluation in an RBM system is the systematic and objective assessment of an ongoing or completed project, program, or policy, including its design, implementation, and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact, and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making processes of both implementers and donors.

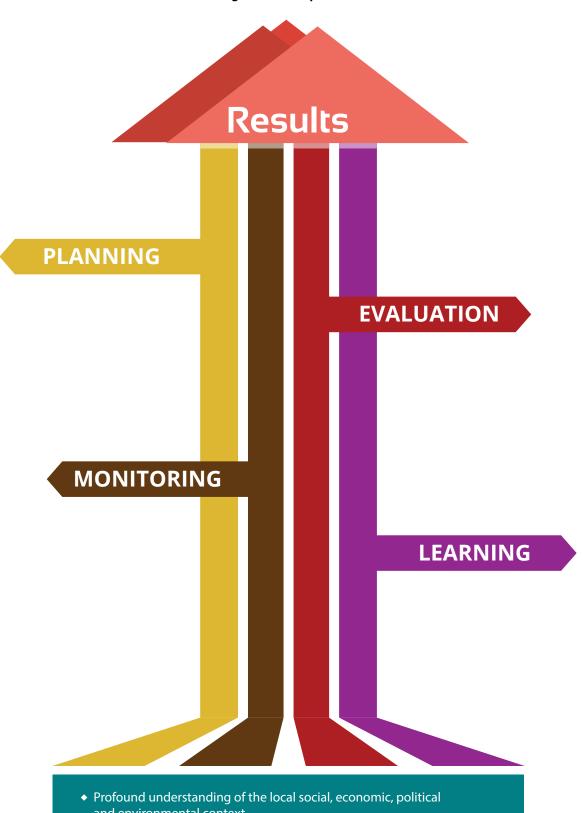
More importantly, evaluations should be able to indicate whether desired results, especially outcomes and impacts were achieved, and if not why not? They should provide information that monitoring cannot adequately provide. Evaluation focuses on the achievement of desired results.

Pillar 4: Learning: Learning in an RBM system is a critical and continuous process that occurs throughout

the cycle of planning, implementation, monitoring and evaluation, all of which contribute to knowledge creation. Learning informs management and the organization at every stage about what is working well and what needs to be adjusted. It strongly influences strategy development, programme/project design and implementation. An effective monitoring system is critical to facilitating learning and accountability, which are essential elements of RBM.



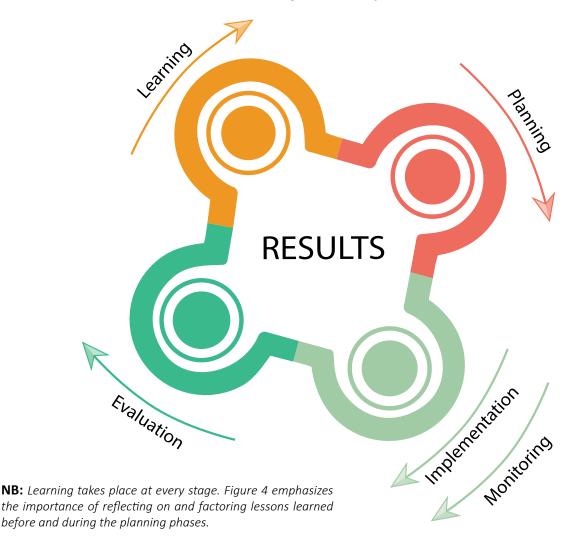
Figure 3: RBM pillars



- and environmental context.
- Rigorous knowledge of stakeholders.



Figure 4: RBM cycle



Within each of the pillars described above, methodologies and tools are developed to form the RBM nervous system. This notwithstanding, for the system to be effective and sustainable, the environment in which RBM is utilized is as important as the tools and methodologies.

RBM thrives in an environment that meets some basic success factors:

A results-oriented leadership to drive the results agenda: A major precondition of effective results management is leadership commitment. A results-oriented leadership ensures selection of clear objectives and strategies for the programme, demands information and documentation of results and uses performance information for decision-making. Results-oriented

leadership demonstrates attitudes and behaviour that are essential for the success of the organization.

The focus on the desired change or results must be supported from the highest political or management level by demanding results and results information. Key to the development of a results-oriented culture is training for everyone involved in implementation, readily available RBM tools and reference materials, incentives that promote application of RBM and disincentives for non-application of RBM principles.

Incentives to institutionalize a culture of results: Managing for results represents a very different way of doing business. Traditional systems reward delivery of activities and processes rather than achievement of results. Research and the experience of organizations



and countries that have mature RBM systems have demonstrated that an incentive system is important for consistent use of RBM and the embedment of a results culture. Incentive structures are important for motivating management and staff to change a traditionally compliance-oriented culture.

An organizational culture conducive to improvement and learning: Involving staff in the development and implementation of a results approach is important for creating the support for the necessary change of orientation. This implies training and provision of necessary tools, as well as participation in setting realistic goals and targets, assessing risks and reporting on performance.

A results-oriented organization ensures that knowledge and learning from reporting and evaluation are used consistently to improve decision-making. A key question to ask is "What should be changed in order improve achievements?" Emphasis on learning implies flexibility in responding to the situation.

Accountability and clear roles and responsibilities: Committing to results management requires that staff and management be held accountable for appropriate levels of results. **Inclusiveness:** Buy-in and support for RBM can only be achieved by actively involving staff and stakeholders. People are inclined to resist any approach that is perceived as being imposed from above. When staff is involved in developing and implementing results, they own the process and appreciate the relevance of RBM and its related systems, processes and tools.

Resources: According to the UN Joint Inspection Unit, accounting for results is at the heart of the shift to RBM in the UN, where it is regarded as "a management tool that should enhance responsibility and accountability in the implementation of programmes and budgets". Accordingly, harnessing the organization's resources to achieve its desired results/objectives, and demonstrating the linkage between resources and results, is essential for an effective RBM system. Most accounting systems do not show the alignment of resources to objectives.

Linking resources to objectives enables assessment of a programme's performance level in relation to resources provided, and enhances accountability. Most RBM systems include the following processes:

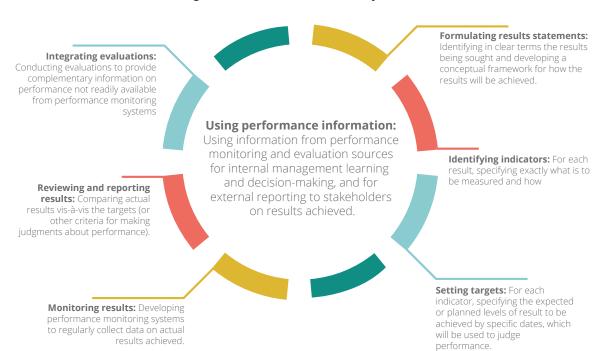


Figure 5: Main characteristics of RBM



1.2 Origins and International context

BM has its modern day roots in public sector reforms in a number of OECD⁸ countries in the 1980s and 1990s, in response to economic, social and political pressures, social and political pressures, especially budget deficits and globalization. Lack of public confidence in governments led in demands for efficiency in the delivery of public services and greater accountability. Several high level meetings also called for greater effectiveness, accountability for results and value for money.

A central feature of the reforms was the emphasis on improving performance and ensuring that government activities achieve desired results. Performance management of public organizations was introduced in some industrialized countries in the 1980s, but its emphasis was initially on efficiency or cost-effectiveness in delivering public sector services.

RBM emerged a decade later and shifted the emphasis to effectiveness, which is achieving desired outcomes. Countries such as the United States of America, Canada, Australia, New Zealand, the United Kingdom and the Scandinavian countries adopted RBM in the 1990s, which required their public sectors to measure performance and conduct evaluations as part of a comprehensive approach to RBM.

Some middle income countries, such as Chile, Colombia, Malaysia, and South Africa, developed their public sector performance management systems independently. Most low income countries originally acted at the instigation of the official development assistance agencies (i.e. World Bank and International Monetary Fund).

Despite many challenges, some based on misconceptions, others stemming from genuine concerns about the effectiveness of monitoring and evaluation (M&E) systems, RBM has been flourishing, and has evolved over the last 10-15 years, most notably

with increased emphasis on participation.

The Millennium Development Goals (MDGs) became one of the drivers of RBM, following a series of international conferences, culminating in the Millennium Summit of September 2000. World leaders committed themselves to a global agenda to reduce extreme poverty and set out a series of time-bound targets.

The concept of the MDGs would have been weakened without the means to measure whether progress was being achieved, and how. RBM was the focus of major international conferences and roundtables on aid effectiveness and managing for development results, outlined in table 1.

OECD: Organization for Economic Co-operation and Development, whose mission is to promote policies that will improve the economic and social well-being of people around the world.



Table 1: Major International Conferences on Aid Effectiveness and Managing for Development Results -

2002 Washington, First International Roundtable on Managing for Development Results	The Roundtable took stock of ongoing efforts in countries and agencies to manage for results, with a focus on the actions needed to build demand for and increase capacity to adopt results-based approaches in developing countries. It stressed the need for development agencies to offer coordinated support for capacity-building and to harmonize approaches to results-measurement, monitoring and reporting. Further, it discussed ways for development agencies, including the Multilateral Development Banks, to develop results-focused corporate cultures and incentives.
2002 Monterrey, First Conference on Financing for Development	The Conference reaffirmed the importance of improved policies and development strategies, both nationally and internationally, to enhance aid effectiveness. Financing for Development: Outcome document of the International Conference on Financing for Development spelled out actions needed to promote a global partnership for development and accelerate progress towards the MDGs.
2003 Rome, High Level Forum on Harmonization	Convened by the OECD, donor agencies committed to work with developing countries to better coordinate and streamline their activities at the country level. They agreed to take stock of concrete progress before meeting again in Paris in 2005.
2004 Marrakech, Second International Roundtable on Managing for Development Results	The second International Roundtable on Management for Development Results took place in Marrakech on 4-5 February 2004. The Roundtable brought together representatives from developing countries and development agencies to discuss the challenges of Managing for Development Results at the country level, and ways in which countries and development agencies were addressing these issues on the ground.
2005 Paris, Second High Level Forum on Aid Effectiveness (second such conference after Monterrey)	The Paris Declaration on Aid Effectiveness called on countries to improve aid effectiveness and be held accountable through a series of indicators and targets, to combat poverty in developing countries. The declaration was organized around five core principles: ownership, alignment, harmonization, managing for results and mutual accountability.
2007 Hanoi, Third Roundtable on Managing for Development Results	Government officials and development experts from more than 40 developing countries, as well as donor agencies, private companies, and NGOs met in the Vietnamese capital, Hanoi, and called for stronger action to improve the number and quality of development results achieved with countries' own public funds and with international aid.
2008 Accra, Third High Level Forum on Aid Effectiveness	The Accra High Level Forum in September 2008 endorsed the Accra Agenda for Action (AAA) to accelerate and deepen implementation of the Paris Declaration. The AAA set out three broad challenges: strengthening country ownership; building more effective partnerships; and delivering and accounting for development results.
2011 Busan, Fourth High Level Forum on Aid Effectiveness	In Busan, Korea, on the occasion of the Fourth High Level Forum on Aid Effectiveness, over 3000 delegates met to review progress on implementation of the principles of the Paris Declaration. The forum culminated in the signing of the Busan Partnership for Effective Development Cooperation by ministers of developed and developing nations, emerging economies, providers of South-South and triangular co-operation and civil society- marking a critical turning point in development co-operation.

As a result of these high level fora, in the last ten years, RBM has been taken seriously by government agencies, international development organizations and large NGOs. The Paris Declaration noted that "the true test of aid effectiveness is improvement in people's lives".



1.3 RBM in the UN Reform agenda

1.3.1. RBM in the global UN context

In 1997, the General Assembly recommended the establishment of a 'better performance yardstick'. Results-based management is not a stand-alone initiative, but forms part of the broader agenda of reforms in the United Nations. Indeed, a central feature of UN reform, as defined in 1997 by the UN Secretary General in his Programme for Reform⁹, has been to "[...] place greater emphasis on results in planning, budgeting and reporting and shifting the focus of planning, budgeting, reporting and oversight from how things are done to what is accomplished".

Moreover, these reforms aim to achieve system-wide coherence on major policy and operational matters in the United Nations; strengthen accountability; and improve the impact of the United Nations.

The work on RBM in the context of UN reform is guided by the UN Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME) set forth in the Secretary-General's Bulletin (ST/SGB/2000/8) and updated in 2016 as ST/SGB/2016/6.

United Nations organizations have since been undertaking wide-ranging efforts to integrate RBM in their work culture. RBM is today one of the five core programming principles applied by the UN country teams in the preparation of common country programming documents such as the United Nations Development Assistance Framework (UNDAF).

ВОХ



RBM in the UN reform

"The United Nations is engaged in a continuous process of change and reform to strengthen its ability to meet new demands and deliver its vital services in the most effective and efficient ways. This means:

- Constant emphasis on transparency, accountability, integrity, efficiency and flexibility.
- Creating an environment in which improvement is expected and innovation is welcomed.

These efforts are aimed at (i) delivering results to those most in need,

(ii) doing more with what we have, and (iii) strengthening accountability."

(Reform of the UN: Strengthening the UN)

⁹ Renewing the United Nations: A Programme for Reform – A/51/950



1.3.2. RBM in UN-Habitat

Results-based management is central to the work of UN-Habitat, from strategic planning to programming, monitoring and reporting, and evaluation. In this regard, UN-Habitat like other UN agencies has been applying Results-based management in planning, monitoring and evaluation at programme level since 2000 in line with ST/SGB/2000/8 and updated in 2016 as ST/SGB/2016/6. In 2007, the organization adopted RBM as the approach for implementing and achieving the results of its first six-year Medium-Term Strategic and Institutional Plan (MTSIP), as mandated by the Governing Council in its resolution 21/2, which Member States requested the Executive Director "irrespective of the level of funds received, to give immediate priority to the proposed institutional reforms, including further implementation of results-based management...." As part of the process of institutionalizing RBM, (i) UN-Habitat developed a results framework for the MTSIP, (ii) developed an action plan, (iii) a road map, (iv) commenced participatory programme planning, (v) started a programme to build staff capacity in RBM, and (vi) reformed the Programme Review Committee (now Project Advisory Group), a key instrument for ensuring that all projects are results-focused and aligned to the approved strategic framework and biennial work programme and budget, to name a few.

Following the adoption of RBM as the management approach for achieving the results of the MTSIP, UN-Habitat carried out an assessment of the status of RBM in the organization in 2008-2009, and identified gaps and institutional changes needed for the RBM approach. As part of the process of institutionalizing RBM, UN-Habitat developed an action plan and a road map.

The action plan included the following major deliverables:

- 1. Refined MTSIP with SMART objectives, indicators, and performance measures;
- 2. An RBM framework and strategy for mainstreaming RBM:
- 3. A reformed Programme Review Committee (now Project Advisory Group), a key instrument for ensuring that all projects are results focused and aligned to the approved strategic framework and biennial work programme and budget;

- 4. Guiding principles and benchmarks for designing performance measurement plan for the MTSIP;
- 5. An introductory RBM training programme for all staff;
- 6. Guidelines for results-based participatory program planning and budgeting; and
- 7. A knowledge management system.

A roadmap for implementation of all these was developed and guided the process up to 2010, when most institutional reforms connected to the MTSIP were completed. Another important recommendation of the review was the restructuring of the organization and the programmatic structure to ensure that they were aligned for effective achievement of the MTSIP results. Implementation of the RBM processes listed above was undertaken after implementation of the MTSIP had commenced. Refinement of the results framework, which was supposed to be the basis of the biennial strategic framework and work programmes and budgets for the six-year period could only be reflected in the documents for the final biennium of the MTSIP, as the earlier documents had already been developed and adopted by the Governing Council and the General Assembly. These were therefore, not fully aligned, which presented a major challenge. As result, the MTSIP and the work programme and budget had to be monitored and reported on separately as they had different logframes. Many lessons learnt from the MTSIP informed the development, operationalization, implementation and management of the second sixyear strategic plan for 2014-2019. Everything was done in sequence, so that the results framework of the strategic plan was completed early, and the logframes for the strategic framework and the work programme and budget were replicated from the results framework of the strategic plan.

A six-year performance measurement plan was developed and was the basis for planning, monitoring and evaluation for the six-year period. The reporting burden was greatly reduced as only one report was required to inform on progress made in implementation of the six-year strategic plan and the successive biennial work programmes and budgets, since the two were fully aligned. The organizational structure and the programme were also fully aligned, i.e. seven subprogrammes and seven branches. An RBM capacity assessment (CAPSCAN) undertaken in 2012 concluded that



significant progress had been made in implementation of RBM in the organization with over 75% of the staff trained in RBM and significant improvement noted in all pillars of RBM. An OIOS evaluation of UN-Habitat undertaken in 2014 concluded that "UN-Habitat has made measurable progress in its approach to results over time. ... in interviews and surveys, staff noted an overall improvement in the culture of results compared to the period of the MTSIP"¹⁰

In spite of a few challenges encountered along the way (see figure 6 below), strengthening of RBM in UN-Habitat is a continuous endeavour, and this Handbook exemplifies the efforts deployed by the organization since the Governing Council of April 2007 to implement RBM and strengthen the culture of results.

Figure 6: Challenges associated with the implementation of RBM in UN-Habitat

Attribution versus contribution to results:

There are challenges in identifying results achieved through an intervention – attribution. Donors are especially interested in knowing the development results/impact achieved by a recipient organization. The problem is that there are usually many players in a country and the UN is only one; and often the resources invested in the intervention are a small proportion compared to what is invested by the government. Attribution of results can be done at lower level results, but at development results or impact level, UN agencies contribute to achieved results.

Poor definition of

results:

Defining and measuring results at output level is easy, while meaningful definition and measurement of outcomes with SMART and sound indicators is challenging. The definition and measurement of results in normative work is even more challenging. To deal with this, more effort and emphasis should be put into this process, otherwise the organization may invest time, effort and scarce resources on the wrong things.

Partial implementation of

the RBM system: results-based management is a system and for it to be implemented effectively, all elements of the system must work. One of the weakest links is between the results framework and the resources framework. There are often gaps between plans and resources. Strategic plans and biennial plans are rarely fully funded. For results-based management systems to be effective there must also be effective knowledge management (as part of organizational learning) and accountability systems.

Weak culture of results:

Building a results culture and fully institutionalizing RBM is the most difficult aspect of RBM. Building a culture of results takes time and requires necessary incentives – however, to a large extent there are no incentives.

Lack of alignment of corporate and country level priorities: level programming has to re-

Country level programming has to respond to national priorities. Balancing or aligning corporate priorities for UN agencies to national ones, takes time and effort and can be challenging to achieve. UN-Habitat is attempting to do this through Habitat country programme documents (HCPDs) but not all countries in which UN-Habitat is working have these.

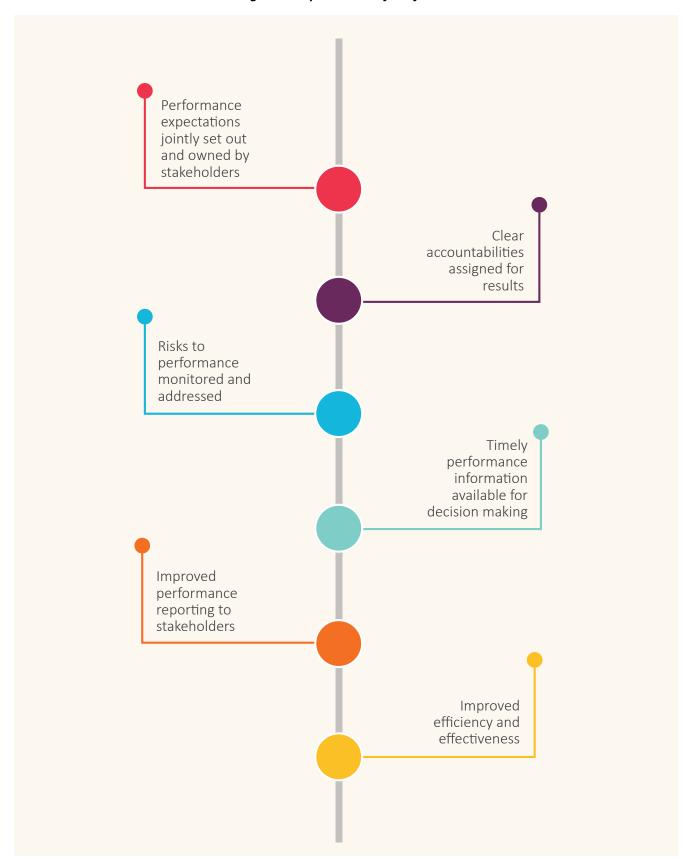
Inadequate knowledge and skill among

staff and management: Ensuring that staff and management have knowledge and skills in RBM is a challenge due to time constraints, pressure of work or little value placed by management on staff having RBM knowledge & skills. Turnover of staff can also mean that the level of RBM competence in an organization is low. Competence in RBM is a function of both training and practice, if RBM skills are not used, they disappear. To address this, there is a need for continuous training, coaching and briefings on RBM.

¹⁰ Evaluation of United Nations Human Settlements Programme: Report of the Office of Internal Oversight Services, E/AC.51/2015/2



Figure 7: Expected Benefits of RBM



Basic RBM terminology (A full RBM Glossary is provided in annex 2)



Results

Results are changes in a state or condition that derive from a cause-and-effect relationship. There are three types of such changes-outputs, outcomes and impact - that can be set in motion by a development intervention. The changes can be intended or unintended, positive and/or negative.

Results chain

The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired results. It begins with inputs, moving through activities and outputs, and culminating in individual outcomes and those that influence outcomes for the community, goal/impacts and feedback. It is based on a Theory of Change, including underlying assumptions.

Impact

Impact implies changes
in people's lives. This might
include changes in knowledge, skill,
behaviour, health or living conditions for
children, adults, families or communities.
Such changes are positive or negative longterm effects on identifiable population groups
produced by a development intervention,
intended or unintended. These effects can
be economic, socio-cultural, institutional,
environmental, technological or of other
types.

Results-based management

RBM is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services con-tribute to the desired results (outputs, outcomes and higher level goals or impact), and use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities, as well as for accountability and reporting.

Goal¹¹

A specific end result desired or expected to occur as a consequence, at least in part, of an intervention or activity. It is the higher order objective to which a development intervention is intended to contribute.

Outcome¹²

Outcomes represent changes in the institutional and behavioral capacities for development conditions that occur between the completion of outputs and the achievement of goals.

Performance indicator

A performance indicator is a unit of measurement that specifies what is to be measured along a scale or dimension but does not indicate the direction or change. Performance indicators are a qualitative or quantitative means of measuring an output or outcome, with the intention of gauging the performance of a programme or investment.

Outputs

Outputs are changes in skills or abilities and capacities of individuals or institutions, or the availability of new products and services that result from the completion of activities within a development intervention within the control of the organization. They are achieved with the resources provided and within the time period specified.

Activity

Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources, are mobilized to produce specific outputs.

¹¹ In UN-Habitat, goals are termed objectives or strategic results

¹² In UN-Habitat, outcomes are termed expected accomplishments



Inputs

The financial, human, material, technological and information resources used for development interventions.

Monitoring

A continuous process of collecting and analyzing data for performance indicators, to compare how well a development intervention, partnership or policy reform is being implemented against expected results (achievement of outputs and progress toward outcomes).

Evaluation

A rigorous and independent assessment of either completed or ongoing activities to determine the extent to which they are achieving stated objectives and contributing to decision making

Performance

The degree to which a development intervention or a development partner operates according to specific criteria/ standard/guidelines, or achieves results in accor-dance with stated plans.

Benchmark

Reference point or standard, including norms, against which progress or achievements can be assessed. A benchmark refers to the performance that has been achieved in the recent past by other comparable organizations, or what can reasonably be expected to have been achieved under similar circumstances.

Results framework or matrix

A results framework or matrix explains how results are to be achieved, including causal relationships and underlying assumptions and risks. The results framework reflects strategic level thinking across an entire organization, a country programme, a programme component within a country programme, or a project.

Project

A project is a planned set of coordinated and interlinked activities to deliver agreed outputs over a fixed time period and within certain cost and other limitations. The outputs are expected to contribute to outcomes and impact.

Baseline

Information gathered at the beginning of a project or programme against which variations that occur in the project or programme are measured.

Target

Specifies a particular value that an indicator should reach by a specific date in the future. For example, "total literacy rate to reach 85 percent among groups X and Y by the year 2010."



Results-Based Planning



2.1 General concept

2.1.1 What is planning?

Planning is a critical management function that aims to achieve an optimum balance between needs or demands and available resources. The planning process identifies the goals or objectives to be achieved, formulates the strategies to achieve them, organizes or creates the means required and establishes performance measurement frameworks as well as determining the resources required. Planning forms the basis of the implementation process and directs all steps in their proper sequence.

"If you fail to plan, you are planning to fail." Benjamin Franklin

Figure 8: Why planning?

Is the Cheshire Cat right?

"Which road should I take?" Alice asked the Cheshire Cat.

"Where do you want to get to?" the cat asked helpfully.

"I don't know," admitted Alice.

"Then," adviced the cat, "any road will take you there."

Lewis Carroll. Alice in wonderland.

2.1.2 Why planning?

Planning, especially results-based planning is the first phase of the results-based management approach. It uses a combination of methodologies and tools. We plan because:

1. Planning enables an organization to set its vision, mission, goals, values and strategies for achieving

- results as well as the means for measuring performance.
- Planning enables alignment of project and programme objectives with organizational goals and strategies — without planning the organization may not be in a position to achieve corporate goals and impact, as projects and programmes could deliver services and products that do not effectively contribute to the organizational mission.
- Planning clarifies and outlines what should be done when — without proper planning, projects or programmes may be implemented at the wrong time or in the wrong manner and could result in poor outcomes.
- 4. Planning helps mitigate and manage crises and ensure smoother implementation
- 5. There will always be unexpected situations in programmes and projects. However, a proper planning exercise helps reduce the likelihood of these, and prepares the team to deal with them when they occur. The planning process should also involve assessing risks and assumptions and thinking through possible unintended consequences of the activities being planned. The results of these exercises can be very helpful in anticipating and dealing with problems.
- 6. Planning improves focus on priorities and leads to more efficient use of time, money and other resources —Having a clear plan or roadmap helps focus limited resources on priority activities; that is, the ones most likely to bring about the desired change. Without a plan, it is easy to get distracted by competing demands. Similarly, projects and programmes are less likely to go off track and become ineffective and inefficient.
- 7. Planning helps determine what success will look like a proper plan helps individuals and units to assess whether the results achieved are those that were intended, and to assess any discrepancies. Of course, this requires effective monitoring and evaluation of what was planned. For this reason, good planning



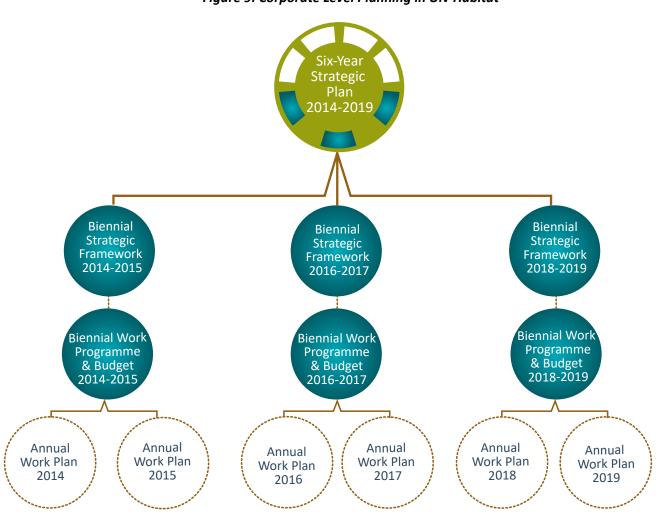
- includes a clear strategy for monitoring and evaluation and use of the information from these processes.
- 8. Planning helps senior management by providing guidelines and frameworks for future decisions. The planning process seeks to answer the following questions: "Who are we? Where are we now? Where do we want to be? How do we get there? How do we measure our progress?"

In most organisations, planning takes place at the corporate level as well as at the operational level. At the corporate level, corporate goals and strategies are formulated in a strategic planning process. In many organisations implementation is often organised through projects and programmes. In this case the operational planning process is also called project/programme planning.

In UN-Habitat, corporate or programme level planning takes place at four levels:

- 1. The six-year strategic plan
- 2. Biennial strategic frameworks
- 3. Biennial work programme and budget, and
- 4. Annual work plans

Figure 9: Corporate Level Planning in UN-Habitat

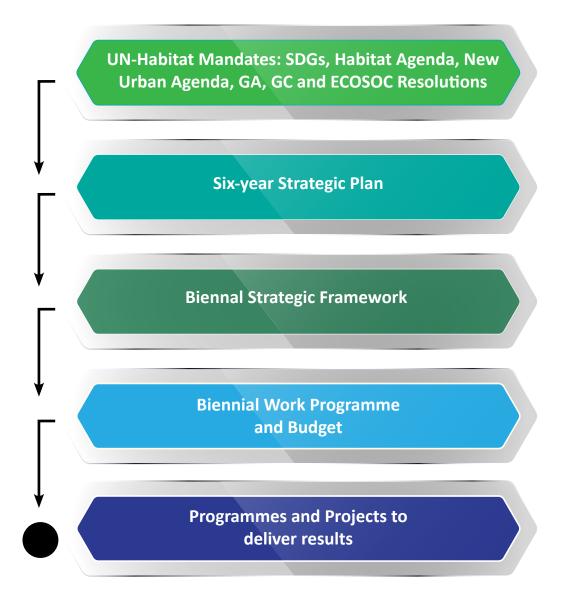




At project level, planning is guided by concept notes, and project documents. Projects are vehicles for implementing outputs included in the annual work plans and the biennial work programme and budget.

Planning at both programme and project levels is also used to translate mandates received from intergovernmental bodies into results.

Figure 10: Translating UN-Habitat mandates to results





Corporate level planning in UN-Habitat

2.2.1 Introduction to corporate planning

Strategic planning is a fundamental organizational management activity that is used to set priorities; focus energy and resources; ensure that management, staff various offices within the organization and other stakeholders are working toward common goals; establish agreement around intended results; and assess and adjust the organization's direction in response to a changing environment. It is a disciplined effort that produces fundamental decisions and actions that shape and guide what an organization is, who it serves, what it does, and why it does it, with a focus on the future. Effective strategic planning articulates not only where an organization is going and the actions needed to make progress, but also how it will know if it is successful.

In UN-Habitat, the strategic plan provides the (i) strategic setting; (ii) overarching vision, (iii) strategic results to be achieved, (iv) areas of focus, and (v) implementation strategies, that will guide its work for a period of six years.

The Governing Council in 2005 requested UN-Habitat to develop a strategic plan to sharpen its programmatic focus in critical areas. The first strategic plan, the Medium-Term Strategic and Institutional Plan (MTSIP) for 2008-2013 was developed in 2007, and a subsequent strategic plan for 2014-2019 was developed by the Agency and approved by the Governing Council in 2013.

UN-Habitat's planning process therefore starts with a six-year strategic plan. In order to align the strategic plan with the planning cycle of the UN Secretariat which uses biennial strategic frameworks as the main policy document, UN-Habitat implements the strategic plan in a rolling manner, with three consecutive strategic frameworks and work programme and budgets.

In practice, three consecutive biennial strategic frameworks are derived from the strategic plan. For example, from the strategic plan 2014-2019 are derived the strategic frameworks 2014-2015, 2016-2017 and 2018-2019.

Each biennial strategic framework leads to a corresponding biennial work programme and budget (WP&B). As in the example in figure 9, there are three work programmes and budgets 2014-2015, 2016-2017 and 2018-2019.

Finally, each biennial WP&B leads to 2 annual work plans. For example, from the WP&B 2014 - 2015 will be derived the 2014 and 2015 annual work plans.

The strategic plan, the strategic frameworks, the work programmes and budgets, and the annual plans are all presented along UN-Habitat's seven (7) focus areas or subprogrammes; namely:

- Subprogramme 1: Urban Legislation, Land and Governance
- Subprogramme 2: Urban Planning and Design
- Subprogramme 3: Urban Economy and Municipal Finance
- Subprogramme 4: Urban Basic Services
- Subprogramme 5: Housing and Slum Upgrading
- Subprogramme 6: Risk Reduction and Rehabilitation
- Subprogramme 7: Urban Research and Capacity Development

The seven subprogrammes are jointly implemented by seven corresponding thematic branches and 4 regional offices under a matrix structure¹³.

¹³ See UN-Habitat organizational structure in annex 1



6-year Strategic
Plan

3 consecutive
Biennial
Strategic
Frameworks

3 consecutive
Biennial work
Programmes
and Budgets

6 Annual Work
Plans

Projects to
deliver work
programme
outputs

Figure 11: Delivering the Strategic Plan

2.2.2 Strategic Planning

The UN-Habitat Strategic Plan is a six-year document that constitutes the overarching framework providing the vision, mission, goal and strategic direction of the organization. The preparation of the strategic plan at UN-Habitat includes the following steps:

- 1. Selecting a team
- 2. Preparing a concept note
- 3. Communicating with staff about the preparation of the strategic plan
- 4. Conducting a situation analysis (Where are we now and what are the trends?)
- 5. Defining an identity/assessing UN-Habitat's identity (Who are we?)
- 6. Defining the future (Where do we want to be? What are our priorities and results?)
- 7. Defining strategies (How do we get there? What are

the risks and assumptions? How much will it cost?)

8. Defining performance tracking mechanism (How do we measure progress?)

Step 1: Selecting a team

The strategic planning exercise is led by the Executive Director of UN-Habitat (ED). The ED is responsible for establishing a diverse and inclusive strategic planning team, including a chair.

The strategic planning team should be kept to a manageable number that allows representation from a diverse cross-section of UN-Habitat staff and representatives of the Committee of Permanent Representatives (CPR) (Member States) if need be, but not too large as to impede the ability of the team to operate effectively. The team should represent Senior Management Board and other core functions.



Step 2: Preparing a concept note or a roadmap

One of the first tasks of the strategic planning team is to develop a concept note and roadmap that defines the strategic planning process and stages, responsibilities, timeframe and communication plan. The team also prepares the terms of reference for a facilitator, preferably a trained professional who has no vested interests in the outcome of the plan, and is therefore less likely to be intimidated or become partial. An impartial third party can concentrate on the process instead of the end result and can ask the tough questions that others may be afraid to ask.

Step 3: Communicating with staff about the preparation of the strategic plan

A strategic plan is an organization-wide process and staff at all levels must be involved and contribute. For this reason, the ED should communicate with all the staff, through town hall meetings and regular memos on the preparation of the strategic plan; including on channels available to all staff to contribute to the development of the plan (e.g. email, intranet, posters, etc.). Open and free discussion regardless of each person's position within the organization should be encouraged.

Step 4: Conducting a situation analysis (Where are we now and what are the trends?)

Before an organization attempts to chart its future course, it must first determine where it currently stands. It must gauge conditions both inside and outside the organization in order to plan ahead.

At UN-Habitat, an internal/external assessment supports the "Where are we now and what are the trends?" stage of the strategic planning process. It provides a baseline assessment of the organization. Further, extending the internal/external assessment by anticipating the evolution of current conditions and identifying emerging issues and trends (also known as "foresight"), lays the groundwork for the "Where do we want to be? What are our priorities and results?" stage of the strategic planning process.

By gaining a thorough understanding of both internal and external factors, senior managers and planners in UN-Habitat are better able to position the organization to respond to beneficiaries' needs in the areas of sustainable urban development.

Typically, guided by the facilitator, both senior managers and staff are involved in collecting and analyzing the data to enhance their understanding of the organization. Inputs should also be sought from Member States (e.g. through the UN-Habitat Committee of Permanent Representatives), strategic and key partners, beneficiary communities and other stakeholders.

Internal/external assessment involves:

- **Situation Inventory** An assessment of UN-Habitat's position, performance, problems, and potential.
- Environmental Scan An analysis of key external elements or forces that affect the environment in which UN-Habitat functions.

To lead into the "Where do we want to be? What are our priorities and results?" part of the planning process, the internal/external assessment is supported by:

- Foresight Explicit efforts should be made to systematically identify, monitor, and analyze longterm trends and issues that are likely to affect UN-Habitat's future environment of operations. It also examines the implications those trends and issues may have for alternative organizational goals and potential actions.
- Problem Analysis An identification and analysis of strategic issues—problems or concerns of critical importance to UN-Habitat and its beneficiaries and other stakeholders.

It does not matter whether the internal situation inventory or the external environmental scan is done first, as long as both are done. Foresight and problem analysis should be ongoing at some level in the organization. However, both play a particularly important role during the strategic planning process and should therefore be formally undertaken.

(a) Situation inventory - How to conduct a situation inventory

A situation inventory is an assessment of UN-Habitat's position, performance, results, problems, and potential.



It identifies strengths and weaknesses and evaluates authority and capacity to respond to issues, problems, and opportunities. It identifies beneficiaries and their needs and expectations. It also reveals the paradigms (patterns or beliefs) and values that comprise the organization's current philosophy and drive (or disrupt) current operations; it throws light on administrative or managerial policies and procedures that help or inhibit performance. A situation inventory should accurately reflect UN-Habitat's internal situation.

A situation inventory is a team exercise. Senior management, with support from the facilitator, and input from the planning officers, should design the method (e.g. survey, focus group, etc.) to be used in conducting an internal assessment. Managers and staff should be involved in the collection and analysis of information. They must be briefed thoroughly beforehand regarding the assessment and its purpose, and how the information gathered during the assessment will be used.

Generally, a situation inventory includes meetings in which managers and staff, with the help of the facilitator, work through a series of exercises and questions designed to assess the organization's internal condition and capacity. Senior management may opt to conduct an employee survey. However, the key to a successful internal assessment is thorough preparation and communication.

The situation inventory is the first time that many staff, and even some managers, become involved actively in the strategic planning process. So this may be their first opportunity to express any doubts or complaints they may harbor about the process. To help prepare participants for the situation inventory, be sure to let them know ahead of time about the purpose of the internal assessment and how it fits into the complete strategic planning process. Garnering input from managers and staff for the design of assessment methods can also expedite the actual assessment exercise.

Specifically, a situation inventory responds to the following questions:

- 1. Who are UN-Habitat's beneficiaries and stakeholders?
- 2. Where has UN-Habitat been programmatically?
- 3. Where is UN-Habitat now?
- 4. What opportunities for positive change exist?
- 5. What are UN-Habitat's strengths and weaknesses?

These questions can be part of a survey, or can be discussed in meetings carried out as part of the situation inventory process.

(b) Environmental scan - How to scan the external environment

UN-Habitat does not operate in a vacuum. To carry out its mission, UN-Habitat must function within an external environment that often exerts forces over which the organization has little control. Further, that operating environment (internal and external) may be subject to frequent shifts or changes.

An environmental scan is an analysis of key external elements or forces that influence the environment in which UN-Habitat functions. Scanning provides an essential backdrop for both strategic planning and policy development. An environmental scan looks at the current operating environment and, combined with foresight methodologies, anticipates changes in the future environment. An environmental scan looks at both the internal and external environment and responds to the following types of questions, which should be customized by senior management and planning officers depending on the context.



Table 2: Sample questions for environmental scan-

EXTERNAL

- What are the emerging sustainable urban development challenges to be addressed, in line with UN-Habitat's mandate?
- What is the state of knowledge on sustainable urban development issues?
- What progress has been made in implementing the Habitat Agenda/New Urban Agenda, the SDGs and other internationally agreed goals?
- What external environmental elements currently affect UN-Habitat? How? Which are most critical? Which are likely to help or impede the organization?
- What major current issues or problems affect the organization?
 Are these local, national, regional, or global in scope?
 Why are they of such importance?
- What current events (development, humanitarian, etc.), issues, or trends have captured the attention of the public?
 How do these affect UN-Habitat's work?
- What topical significant issues should UN-Habitat address?

INTERNAL

- What are UN-Habitat's strengths, weaknesses, opportunities and threats?
- What are the weaknesses and strengths of the current or previous strategic plans?
- What risks is UN-Habitat confronted with?
- UN-Habitat's comparative advantage and its current niche.
- What are the gaps and capacity constraints UN-Habitat is confronted with?

(c) Foresight- Why and how to foresee or anticipate change

The environment in which UN-Habitat operates is changing rapidly. For example, demographic shifts, economic swings, technological innovations, and changing social values and lifestyles require alterations to UN-Habitat's policies and strategies for contributing to the implementation of the 2030 Agenda for Sustainable Development, the New Urban Agenda and achieving lasting results. To avoid crisis management and wasted resources, the Executive Director must be able to anticipate issues, problems, and opportunities. Foresight leads to better decision making, policy development, and strategic planning. To decide where UN-Habitat wants to be in the future, it helps to have an idea of what the future operating environment will be.

Foresight involves explicit efforts to systematically identify, monitor, and analyze long-term trends and issues that are likely to affect UN-Habitat's future environment and to examine the implications those

trends and issues may have for alternative organization goals and possible organization actions.

Foresight methods often involve one or more of the following: (i) issue identification, (ii) trends analysis, (iii) futures programmes, and (iv) alternative futures.

- 1. Issue or problem identification uses methods to identify policy issues that are likely to occur in the future. It is usually associated with scanning activities. Scanning is a periodic and systematic assessment of the social, political, economic, and physical external environment, with an eye for changes that may affect the organization over time.
- Trends analysis, which is often used in demographic, economic, technological, and social forecasting, analyzes trends and attempts to project future developments. Trends analysis is more statistically oriented than other foresight methods.
- 3. A futures programme usually starts by identifying a preferred future and working its way backward



to identify the means necessary to bring about that future. This generally results in a broad policy framework or strategic plan that drives more detailed strategic and/or operational plans. Futures programmes are often linked to a highly visible date or event (for example, a major upcoming event or forum such as the World Urban Forum).

4. Alternative futures is a method that uses scenario building to investigate possible or probable future paths. It allows managers to simulate various future conditions and explore the probable outcomes of various courses of action. For example, linked with trends analysis, different scenarios could project futures with "if the trends continue" (a reactive approach) or "if we alter the trends" (a proactive approach) alternatives. In difficult financial times, organizations might construct scenarios reflecting different levels of funding.

(d) Problem analysis- How to analyze issues/problems Environmental scanning and foresight activities allow management to: (i) anticipate emerging policy issues; (ii) identify unanticipated side effects of proposed policy; (iii) understand emerging trends and crossover effects of policies; (iv) support accountability (oversight and evaluation); and (v) identify and involve relevant stakeholders.

Before an issue can be addressed, it must be analyzed or diagnosed. That is, the facts must be determined. This involves the following:

- 1. Define the issue or problem and determine its parameters.
- 2. Understand who is affected by the issue or problem and how they are affected.
- 3. Determine how serious and immediate the issue or problem is.
- 4. Project future trends for the issue or problem.
- 5. Determine the underlying causes of the issue or problem; identify and verify the key cause(s).
- 6. Assign a priority relative to other concerns.
- 7. Use the information generated by the situation inventory, environmental scan, foresight and problem analysis.

The key purpose of this analysis is to try and ensure that 'root causes' and not just the symptoms of the problem(s), are identified and subsequently addressed as part of the strategic plan process. A clear and comprehensive problem analysis provides a sound foundation on which to develop a set of relevant and focused objectives.

Problem Tree analysis

One main tool used in problem analysis is the **"problem tree"**, a simplified example of which is shown in annex 3. Important points to note about using the problem tree tool are:

- There are two main approaches that can be used to help give focus to the problem analysis, namely: (i) the 'focal problem' method, through which the group brainstorms on development problems (or constraints). With this method, a focal problem is identified, and the cause and effect analysis then pivots around the focal problem; (ii) the 'objectives oriented' method, whereby a broad or high-level development objective is specified at the start of the analysis, and constraints to achieving this objective are then brainstormed, analyzed and sorted into a cause-and-effect logic. Both approaches are equally valid, and which approach to use is largely up to individual preference and circumstances.
- Ideally, problem analysis should be undertaken as a group activity involving stakeholders who can contribute relevant technical and local knowledge. A workshop environment is an appropriate forum for developing problem trees, analyzing the results, and proposing solutions.
- It may be appropriate to undertake a number of separate problem analysis exercises with different stakeholder groups, to help determine different perspectives and how priorities vary.
- One should not necessarily expect full consensus among stakeholders on what the priority problems are or what the causality of these problems is.
- It is important to recognize that the problem tree diagram—however it is produced—should provide a simplified but nevertheless robust version of reality. If it is too complicated, it is likely to be less useful in providing direction to subsequent steps in the analysis.



Before starting work on preparing a problem tree:

- Clarify the scope of the investigation or analysis. You will not want, or be able, to deal with a limitless range of problems. This information should thus help identify either an appropriate objective, or focal problem, to help give focus to the problem tree analysis.
- Inform yourself further. Collect and review existing background information on the main issue(s) of concern. Are you clear what the main issues are, or are likely to be?
- Identify the relevant stakeholder group(s). Who needs to be involved?

The following main steps should be followed in conducting a problem tree analysis:

1. Identifying and listing the main problems

- Explain the purpose of the exercise and the context within which it is taking place. Explain the problem tree method and the input expected from the participants. Provide some examples of the cause and effect relationship before starting, emphasizing the importance of identifying root causes.
- Using contributions from the group, list all the negative statements about the situation you are analyzing. This can be undertaken as a brainstorming session.
- Print each problem statement in clear language on a card and display this on some suitable wall space.

2. Identifying core problems

- Through discussions, identify a core problem on which all can agree- the one(s) which appear to be linked to the most negative statements.
- Print a precise definition of the core problem on a card (if the existing statement requires further clarification).
- Display the card on a wall (or on the floor) so that the whole group can clearly see it.

3. Identifying cause and effect

 Begin to distribute the negative statement cards according to whether they are 'causes', i.e. leading to the core problem, or 'effects', i.e.

resulting from the core problem. Do this until all causes are below the core problem and all effects are above the core problem. At any stage in the exercise, those statements that are considered to be unclear should either be more clearly specified or discarded. Problems that are clear but very general in nature and which affect not only the core issue, but would apply to almost any development problem, can be treated as 'overall constraints' and moved to the side of the main problem tree. This helps keep the core problem tree focused and manageable. You can be guided in this by considering whether or not the problem is likely to be one that can be addressed by an activity-based solution. If not, it is a constraint.

- Then the guiding questioning for further structuring the statements into a problem tree becomes "What leads to that?" Choose any negative statement printed as a problem on the cards and ask: "What leads to that?" Then select from the cards the most likely cause of the problem, and place it below the chosen statement.
- If there are two or more causes combining to produce an effect, place them side by side below the resulting effect.
- After you have placed the card or cards for each relationship, pause to review. Then ask the group if there are more causes leading to that problem.
- Similarly you must ask if there are any more effects resulting from that problem.
- If there are multiple effects resulting from a cause, place them side by side and above the cause(s).

4. Checking the logic

- At each stage you should invite participants to move the cards, i.e. to suggest or hypothesize other relationships.
- When you have placed all cards, review the structure to ensure that related streams of cause and effect are close to each other on the problem diagram.
- Choose one of the cards at the top line of your Problem Tree, then work back through the



diagram according to the guiding question: "What leads to, or causes, that?" in order to check the logic or completeness of your cause-effect structure.

5. Drafting the problem tree diagram

- Draw vertical links to show cause-effect relationships, and horizontal links to show joint causes and combined effects;
- Copy your diagram onto a sheet of paper and distribute it for further comment and variations within an appropriate time period.

6. Dealing with overall constraints

Overarching development problems that are identified during the analysis, but cannot be addressed directly should be taken out of the main problem tree diagram and considered as overall constraints. These overall constraints should then be considered as part of the risks and assumptions analysis undertaken later in the process.

Summarizing the outcome of the situation analysis

At several points during the strategic planning process, senior managers and staff review and analyze the information generated by the internal/external assessment. The information gathered is ultimately presented in a report, including a strengths, weaknesses, opportunities and threats (SWOT) matrix; as well as a synthesis section on trends and emerging priorities. Whatever format is used, the report should be concise. Through the situation inventory, environmental scan, foresight and problem analysis, senior managers and staff of UN-Habitat should have a thorough understanding of the internal and external factors

affecting the organization. They should also have identified any strategic issues and priorities that merit special emphasis.

The final results of the internal/external assessment inform the other phases of the strategic planning process. The information revealed during the assessment is also valuable for implementing quality management efforts, developing budget requests, conducting programme evaluations, and preparing for audits.

The assessment should be reviewed or repeated when revising and updating the strategic plan. Foresight efforts should remain ongoing, even if they are informal rather than institutionalized. Staying aware of environmental conditions and emerging issues helps UN-Habitat avoid being blindsided by events or problems.

Step 5: Defining an identity/reviewing UN-Habitat's identity (Who are we?)

In the context of the strategic planning process, UN-Habitat senior managers and staff must take a critical look at the identity of the organization before projecting the organization into the future, by reviewing and adjusting as necessary the vision, mission and philosophy of the organization based on the findings and conclusions of the internal/external assessment.

The vision, mission, and philosophy (values) comprise the "identity" of UN-Habitat —its "uniqueness." Organizational identity is more than a name, logo, or line of business. It denotes the unique capabilities and characteristics of the organization (the special mix of knowledge, skills, experience, expertise, and even attitude) that distinguish it and determine its ability to achieve lasting results.

	Table 3: Template for a SWOT matrix —	
	HELPFUL To achieving strategic results	HARMFUL To achieving strategic results
Internal factors	Strengths • •	Weaknesses • •
External & Internal factors	Opportunities • •	Threats • •



ВОХ

2

Effective organizations

Organizations that effectively manage and market their identities—convey their unique values, strengths, and experience inside and outside the organization—can position themselves to take greater advantage of opportunities and withstand adversity.

Strategic planning links organizational identity to productive potential; it pinpoints what the organization does well and what it does not. Identity reveals information about the character of the organization and provides the glue that binds the parts of an organization together to form a whole.

Senior managers with support from the facilitator take the lead in identifying and expressing the uniqueness of UN-Habitat. However, organizational identity reflects the values and ideas of the whole organization. Senior managers should therefore seek and weigh the opinions and perceptions of all staff as well as external stakeholders. For that reason, the findings of the internal/external environmental scan are important, before undertaking the vision-mission-philosophy components of the strategic planning process.

(a) Vision: A compelling conceptual image of the desired future

The vision focuses on what the organization wants to achieve in a way that motivates the organization toward its attainment. It is the inspiration for all other components of the planning process. It is a vision of, and for success and results. The vision symbolizes UN-Habitat's future. It is a critical ingredient for change.

BOX

3

UN-Habitat's Vision Statement

"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". 2014-2019 Strategic Plan

It represents a global, continual purpose for the organization. It is the ultimate standard toward which progress and results are measured. Its structure is less important than its effect on the values and behavior of every member of the organization.

How to assess/create the vision of UN-Habitat

Crafting a great vision is a leadership challenge. In fact, it can be argued that crafting an organization's vision for change—and then empowering staff to achieve that vision—is management's most important contribution to the achievement of excellence and results.

However, a great vision is conceived through partnership between senior managers and those who will be living with the vision. UN-Habitat's vision incorporates values and ideals of all staff in Headquarters, Regional, Country and Liaison Offices.

By sharing the vision, management and staff members establish shared ownership of the overall vision as well as a commitment to the fulfillment of that vision.

Reviewing or crafting a vision of UN-Habitat takes into account the following:

- What are our aspirations? What is our ideal future?
- What overall results do we want to accomplish?
- What legacy do we wish to leave?
- What will UN-Habitat be like in the future?
- How do we wish to be known by our stakeholders?
- How will we enhance the quality of life for those who use our services/products?

UN-Habitat's vision statement covers the lifetime of the strategic plan and may even extend beyond the time frame of the plan. The vision statement should be:

- Brief and memorable
- Inspiring and challenging
- Descriptive of the ideal
- Descriptive of future accomplishments or service levels
- Appealing to everyone in the organization and to beneficiaries and other stakeholders



Other examples of vision statements:

UNICEF

"UNICEF is the driving force that helps build a world where the rights of every child are realized."

UNDP

"To help countries achieve the simultaneous eradication of poverty and significant reduction of inequalities and exclusion" (2014-2017 Strategic Plan).

(b) Mission: A broad, comprehensive statement of purpose

The mission identifies what UN-Habitat does and for whom. That is, it describes UN-Habitat's services and products and its beneficiaries. The mission is all encompassing and rarely changes.

The mission statement should be written to answer the following questions:

- 1. What is our name?
- 2. What do we do?
- 3. For whom do we do it?
- 4. Why are UN-Habitat's resources devoted to this effort?

A well-written mission statement:

- 1. Identifies purpose but not process. It describes the overall reason for the existence of the organization, as established by relevant mandate and resolutions.
- 2. Identifies beneficiaries of the organization or users of the organization's products or services.
- Identifies the services or products provided by the organization to meet the needs of its beneficiaries and other stakeholders. It helps identify the needs or expectations of stakeholders
- 4. Is clear and succinct.

BOX 4

UN-Habitat's Mission Statement

"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" (2014-2019 Strategic Plan).

In defining UN-Habitat's mission, the following tasks should be completed:

- 1. Identify the organization's purpose. Why does UN-Habitat exist? What problems or needs was UN-Habitat created to address? Why are public resources devoted to this endeavor? What functions or services are or should be provided by UN-Habitat? What mandates have been assigned to UN-Habitat? Is UN-Habitat carrying out all mandated or authorized programmes?
- 2. Identify the organization's beneficiaries and other stakeholders. For whom does the organization carry out its functions? Who receives or benefits from the services provided by the organization? Are there other stakeholders?
- 3. Review and revise existing mission statements and draft new statements as appropriate..

Other examples of mission statements:

UNFPA

UNFPA, the United Nations Population Fund, is an international development agency that promotes the right of every woman, man and child to enjoy a life of health and equal opportunity. UNFPA supports countries in using population data for policies and programmes to reduce poverty and to ensure that every pregnancy is wanted, every birth is safe, every young person is free of HIV/AIDS, and every girl and woman is treated with dignity and respect."



World Bank

"The World Bank Group aims to fight poverty with passion and professionalism for lasting results - to help people help themselves and their environments by producing resources, sharing knowledge, building capacity, and forging partnerships in the public and private sector".

(c) Philosophy: Core values defining how the organization conducts itself in carrying out its mission. Philosophy defines the way in which UN-Habitat does business. It summarizes the operating principles or core values that will be utilized in fulfillment of the vision and mission. It characterizes UN-Habitat's corporate culture and is part of its organizational identity.

Expressing an organization's philosophy is essential to planning because the philosophy lays a foundation of principles or beliefs to support the vision and mission. A worthy vision must be guided by an equally worthy philosophy. Principles or values expressed in a philosophy serve as a test or criteria for judging the quest for excellence; they guide decisions, choices, and the selection of strategies. Principles are of no use unless they are implemented; but when they are implemented, they can be powerful instruments for changing organizational culture and motivating staff members.

How to express the philosophy

Describing UN-Habitat's philosophy (core values) presents another challenge for management. Not only should the philosophy reflect the values and principles of the senior management but it should address organization-wide values and assumptions as well. The philosophy should be compatible, comfortable, and convincing for everyone within UN-Habitat, as well as for Member States and other stakeholders.

There is a great deal of leeway in the articulation of organization philosophy. Length and format may vary. Sometimes philosophies are expressed in terms of responsibilities—an organization's responsibilities to its beneficiaries, its staff members, its environment and its stakeholders. Sometimes philosophy is expressed in terms of quality or excellence in management and services.

A well-written philosophy statement should:

- 1. Express principles, core values, or fundamental beliefs in clear, decisive language
- 2. Express basic beliefs about the conditions under which people work best
- 3. Support systems and processes that will help make the vision a reality



Generally, the best statements of philosophy express the organization's attitude and values about three things:

- 1. People: the way in which people inside and outside the organization—staff and beneficiaries—are treated.
- 2. Process: the way in which the organization is managed, decisions are made, and products or services are produced.
- 3. Performance: expectations concerning the quality of the organization's products and services.

Other example of philosophy statements: World Bank

"Fighting poverty"

Step 6: Defining the future (Where do we want to be? What are our priorities and results?)

Goals and strategic results make up the "Where do we want to be? What are our priorities and results?" part of the strategic planning process. Goals establish the direction in which UN-Habitat is heading in order to achieve its mandates; strategic results identify milestones along the course. Both are inspired by UN-Habitat's vision, mindful of the organization's mission and philosophy, and based on the organization's current internal situation and external operating environment, as well as projections of future conditions.

(a) Goal: The general end result toward which effort is directed

The formulation of goals is one of the most critical aspects of the strategic planning process. Goals are broad statements that describe desired outcomes for



UN-Habitat. They stretch and challenge the organization, but they are realistic and achievable. They chart direction—show where the organization is going—and point toward a desired destination. However, they do not set specific milestones or determine ways to get there.

How to set UN-Habitat's goal Characteristics of a goal

- The goal is in harmony with and clarifies or amplifies UN-Habitat's vision, mission, and philosophy. The goal is aligned with UN-Habitat's mandates.
- The goal charts a clear course and points to a particular destination but does not determine specific ways to get there. The goal addresses policies and priorities but not strategies.
- The goal provides a framework for the rest of the strategic planning process. It guides the formulation of strategic results and the development of effective strategies to achieve those results.
- The goal reflects the results of the internal/external assessment and is developed in response to strategic issues or critical success factors.
- The goal encompasses a relatively long period of time. As a general rule of thumb, the goal is for the lifetime of the strategic plan and may have such a long time frame that it continues into subsequent plan updates.
- The goal tends to remain essentially unchanged until a shift in the environment under which it was created occurs.
- The goal is challenging but realistic and achievable. It reflects positive change.

Tips for setting goals

- Hold a goal-setting session away from the everyday activities of the office. Go on retreat if possible. If it is not possible to get out of the office, go to a quiet, comfortable area and do not allow interruptions.
- Use the information gathered during the internal/ external assessment to support goal setting.
 Like policy development, goal setting should be grounded in fact and based on reliable information.
- Verify that the goal is within UN-Habitat's mandate.

BOX 6 UN-Habitat 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 Plan 2014 - 2019)

(b) Priorities or Focus areas

After determining the goal of the organization, the next process is to determine the key priority areas of the organization. This is a serious undertaking that involves an intense and iterative process (through meetings, workshops, etc.) during which there are reviews, discussions and decisions on programmatic priorities that will best address the global challenges affecting human settlements, especially chaotic urbanization. This process is informed by UN-Habitat's mandates, the situation analysis, the organization's competitive advantage, outcomes of evaluations and reviews, emerging issues, etc. For the strategic plan for 2014-2019, the following seven priorities or focus areas were identified:

- Focus area 1 Urban Legislation, Land and Governance: aims at fostering equitable sustainable urban development through the formulation and adoption of enabling legislation, increased access to land, and strengthening of systems of decentralized governance for improved safety and service delivery.
- Focus area 2 Urban Planning and Design: aims at improving policies, plans and designs for more compact, better integrated and connected, socially inclusive and climate-resilient cities.
- Focus area 3 Urban Economy and Municipal Finance: aims at improving urban strategies and policies that promote inclusive economic growth, livelihoods and enhanced municipal finance.
- Focus area 4 Urban Basic Services: aims at increasing equitable access to urban basic services and improving the standard of living of the urban poor.



- Focus area 5 Housing and Slum Upgrading: aims at improving access to sustainable, inclusive, adequate housing and improved standard of living in slums.
- Focus area 6 Risk Reduction, Rehabilitation and Urban Resilience: aims at increasing the resilience of cities to the impacts of natural and human-made crises, and undertaking rehabilitation in ways that advance sustainable urban development.
- Focus area 7 Urban Research and Capacity
 Development: aims at improving knowledge on
 sustainable urbanization issues and capacity for
 implementation of evidence-based policies and
 programmes at national, local and global levels.

After the priorities or focus areas are agreed upon and endorsed by key stakeholders, (e.g. senior management and Member States through the CPR), the next stage is to clearly articulate the overall strategic result for the entire strategic plan, and then determine what each priority or focus area is about. This is a highly participatory exercise that requires inclusion of as many staff members as possible to determine what this strategic result should be.

The process should commence with orientation on results-based management, including the process of developing a results chain to ensure that everyone participating in the process understands what results are, and what a strategic result is. Participants also need to have in-depth knowledge of the substantive areas on which they are working. With the facilitator, experts on RBM from the Quality Assurance Unit support and guide the process.

(c) Strategic result or objective: a specific and measurable target for accomplishment

A strategic result is the highest level of result sought by UN-Habitat. It includes the degree or type of change and a timetable for its accomplishment. In contrast to the goal (which is a broad, general statement of long-range intention), strategic results are specific, quantifiable, time-bound statements of outcomes. As such, strategic results represent milestones or intermediate achievements necessary to realize the goal. Strategic results complete the "Where do we want to be? What are our priorities and results?" part of the planning process.

How to formulate strategic results

Strategic results are a required strategic plan component. In UN-Habitat strategic results or objectives are set both at programme and focus area levels.



UN-Habitat Programme Level 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. (Strategic Plan 2014-2019)

Characteristics of Strategic Result

Well-written strategic results are **SMART.** That is, they are:

- Specific: strategic results reflect specific accomplishments that are desired, not ways to accomplish them. All strategic results should be capable of generating specific strategies or actions. A strategic result should also be detailed enough to be understandable and give clear direction to others.
- Measurable: a strategic result must be measurable in order to determine when it has been achieved.
- Attainable: strategic results should challenge, but not demand the impossible. They should state what can reasonably be achieved, given available resources.
- Realistic: strategic results should target results or outcomes, not ways to accomplish them.
- Time-bound: A time frame for meeting strategic results should be specified. Each strategic result should be attainable within a reasonable time period--certainly within the span of the strategic plan.

When formulating strategic results:

1. Review the organization's mission and goal. Be sure the purpose is clear; all stakeholders are identified; and the intent of goals is understood.



- 2. Be sure that you understand the internal and external factors affecting UN-Habitat. Review information generated during the internal/external assessment for:
- What are UN-Habitat's strengths, weaknesses, opportunities, and threats?
- What are the most critical issues that must be addressed?
- What are UN-Habitat's mandates?
- What are the needs and expectations of Member States?
- 3. Decide what results you want:
- How do UN-Habitat's activities or processes work?
 What can be improved?
- What is our baseline performance level?
 What benchmarks exist? How much room for improvement is there?
- What specific outcome(s) do we hope to achieve?
 Is this realistic? What variables or factors may influence the outcome?
- Are specific levels of achievement already mandated by governing bodies? Do service standards exist?
- Are proposed results consistent with the United Nations policies, values, and priorities?
- 4. Set a time frame for achievement of results:
- What is a reasonable period of time for achieving the desired results?
- How critical is immediate action? What are the opportunities to act now versus later? What are the consequences of action now versus action later?
- Are specific time frames or deadlines already mandated by governing bodies?
- 5. Build in accountability. As you set objectives, think about how you will measure progress toward those objectives.
- 6. Keep records related to the formulation of strategic results. Each strategic plan must include, where applicable, a description of any programme evaluations used to develop strategic results and an identification of the primary persons who will

benefit from, or be significantly affected by, each strategic result within the plan. This information should have been obtained in the internal/external assessment. It is part of the process documentation that accompanies the strategic plan and is subject to performance audit.

Step 7: Defining strategies (the "How do we get there?" part of the process)

To achieve results, it is not enough to know where UN-Habitat wants to be; it is fundamental to know how to get there. Strategies make up the "How do we get there?" part of the strategic planning process. Strategies indicate how strategic results and expected accomplishments will be achieved. Essentially, a strategy deploys resources to achieve specific outcomes addressing Member States' needs, service delivery, and/or mitigation or resolution of public issues and problems.

Strategies are the methods used to accomplish goals, strategic results and expected accomplishments. To achieve strategic results, UN-Habitat must select specific courses of action or build strategies. Strategies are concepts for leveraging and generating success. They are directed toward the accomplishment of specific outcomes (expected accomplishment); they exist for that purpose. Strategies bridge the gap between goals and strategic results, and expected accomplishments and outputs that are delivered in order to achieve those goals and strategic results.

In UN-Habitat, development of strategies for achieving the focus area strategic results is a heavily participatory process that includes subject matter experts, senior management and other staff. They discuss what the key role of the focus area will be and what it will focus on in order to achieve the strategic result. Experts on each of the focus areas prepare policy papers on each of them, and these form the basis of the discussions and brainstorming.

Successful strategy building incorporates:

- Reality and reasonableness: Strategies do not represent wishful thinking but make reasonable assumptions based on solid data.
- Self-awareness: Strategy builders are cognizant of



how well or how poorly their current strategies perform; use metrics to gauge the effectiveness and efficiency of processes; and have their finger on the pulse of internal capacity and the external operating environment.

- Awareness of similar programmes: Strategy builders incorporate knowledge of how similar UN agencies work. They use benchmarking to identify best practices and think about how that information can be used to improve their own strategies.
- Emphasis on action, execution, and follow-through: Strategies do not fall victim to "analysis paralysis" over-thinking and under-doing.
- Willingness to change and/or take risks: Strategy builders are willing to challenge the status quo, take on "sacred cows," abandon a current strategy or initiate an innovative new one when clear evidence supports that change, and tolerate risk taking. Of course, tolerance of risk taking must be a part of UN-Habitat's corporate culture if innovation is to occur.
- Diverse thinking: Strategy builders are not a homogeneous group. Strategies are not viewed through the same lens; diverse opinions and points of view are sought.
- Inclusiveness and perspective: Strategy building involves the right people throughout the organization at the right time. Organizational silos are overcome. The "big picture" is maintained even while separate programmes and projects contemplate their individual strategies. Ultimately, all programme and project strategies work together to achieve organization-wide goals and strategic results.

How to build strategies

In UN-Habitat strategy building involves research, analysis, and prioritization. Strategy options or alternatives may be identified and compared through:

- 1. Brainstorming how to achieve expected accomplishments: Free-flowing discussions generate innovative ideas, identify opportunities for coordination and cooperation, and encourage innovative approaches.
- 2. Researching what works: Benchmarking, for example, identifies "best practices" and how they

- got to be that way. Senior managers and key staff members may already have an idea of what works and what does not. Issue scanning may have pinpointed innovative approaches in both the public and private sectors.
- 3. Evaluating what is already in place: The situation inventory portion of the internal/external assessment should have identified what UN-Habitat is doing well, where improvements are needed, and organizational strengths and weaknesses. Programme evaluations, internal audits, and performance audits should also be used to review current strategies.

Strategy building is a decision-making process; and good decisions are based on good information. Use the information generated during the internal/external assessment, including any alternative future scenarios developed through foresight, to build strategies. Before a decision is made regarding the course of action that will be taken, each alternative must be weighed. To analyze the merits of alternative strategies, the following questions need to be considered:

- Is this strategy being used currently or has it been used in the past? If so, how successful has it been? How do we know? Why should we continue or reimplement this strategy?
- If a new strategy is implemented, is it plausible to assume that the expected accomplishments and strategic result will be reached? How do we know? Has this strategy been successful in other UN agencies or private sector organizations? What assumptions must hold true in order for the strategy to be effective?
- What are the anticipated costs and benefits of this strategy?
- How does this strategy address the needs and expectations of Member States?
- Will this strategy have a positive or negative impact on any other strategic result or strategy? Is it dependent upon the implementation of other strategies?
- Do we have the mandate to take this action?
- Do we have the resources (personnel, financial, physical facilities, training, hardware, software,



other equipment, funding, etc.) required to implement this strategy? If not, how will we obtain the resources? Can we reallocate resources within the organization? Can we raise funds?

- Are we organized to act on this strategy? If not, what changes must be made? How long will they take?
- What is the time frame for this strategy? Is it currently ongoing? If not, when would it be implemented and how long would it last? How does the time frame for this particular strategy relate to the time frames for other strategies? Are there priorities or particular sequences for implementation?

Compare alternative strategies on these factors, then

select and prioritize the strategies that will be used to achieve the goal and strategic results. However, prepare to be flexible after the strategic plan is operationalized. If strategies prove to be more or less successful than anticipated, be prepared to revisit and revise strategies. If unanticipated consequences or situations arise, be flexible enough to react in a timely fashion—minimizing damage or maximizing an opportunity.

With the completion of strategies—after the identification of the goal, strategic results, mission and vision—what is termed a "strategic choice" will have been made for the next six years of UN-Habitat's contribution to the sustainable urban development process.

'ision Mission Goal Priorities / Focus Areas Strategic Results Strategies

Figure 12: Pyramid of strategic choice



Step 8: Tracking progress (how do we measure progress?)

Step 8.a. The results framework

Results frameworks are an explicit articulation (graphic display, matrix, or summary) of the different levels, or chains of results expected from a particular intervention—project, programme, or development strategy.

Once the vision, mission, philosophy, goal, overall strategic result and all the focus areas have been defined, a very important step in the strategic planning process is the preparation of results frameworks, which not only clearly articulate the different levels of results,

but also allow for clear expected accomplishments and indicators of achievements for each strategic result.

Although UN-Habitat uses the term "results framework", similar conceptual tools—also designed to organize information regarding intended outcomes and results—are used across different agencies, including logical frameworks, logic models, results chains and logframes.

Thus, at the level of the strategic plan, the results framework captures the essential elements of the logical and expected cause and effect: linking outputs, outcomes, impacts or expected accomplishments, strategic results and the goal.

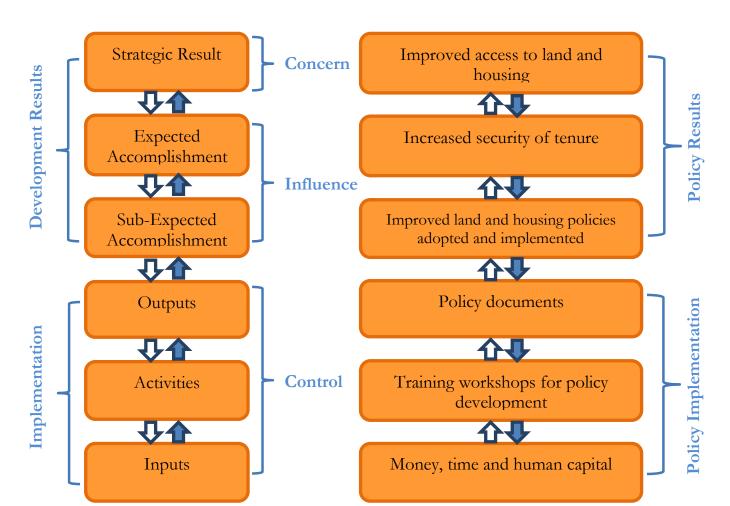


Figure 13: Example of UN-Habitat's results chain



What is required to design a results framework?

Designing a results framework is an iterative process, with objectives and interventions providing the basis for its design, and draft results frameworks in turn helping to clarify specific objectives and interventions. The process for developing a results framework therefore starts with understanding both the problem to be addressed and the desired outcomes, specifying the programme logic, and building stakeholder consensus. Once this agreement is in place, stakeholders can focus on selecting appropriate indicators. Thus, basic steps are as follows:

- 1. Identify and work with stakeholders
- 2. Develop expected accomplishments and subexpected accomplishments
- 3. Develop indicators
- 4. Identify critical assumptions and risks

1. Identifying and working with stakeholders

Stakeholders are those who may be affected by or have an effect on an initiative of UN-Habitat. They may also include people who have a strong interest in the initiative, even though they are not directly affected by it.

One way to characterize stakeholders is by their relationship to the initiative in question.

- Primary stakeholders are the people or groups that stand to be directly affected, either positively or negatively, by an initiative or the actions of UN-Habitat. In some cases, there are primary stakeholders on both sides of the equation: a regulation that benefits one group may have a negative effect on another.
- Secondary stakeholders are people or groups that are indirectly affected, either positively or negatively, by an initiative or the actions of UN-Habitat.
- Key stakeholders, who might belong to either or neither of the first two groups, are those who can have a positive or negative effect on an initiative, or who are important within or to UN-Habitat, or another institution engaged in the effort.

Stakeholders' interests can be many and varied.

A few of the more common ones are:

- Social
- Economic
- Environmental
- Political

Stakeholder mapping is a method for identifying all those people or organizations that may have an important impact on UN-Habitat's results.

Stakeholder engagement involves influencing and managing the people or organizations that have an interest in UN-Habitat's initiatives. For this purpose, a stakeholder engagement strategy should be developed.

2. Developing expected accomplishments and subexpected accomplishments

Expected accomplishments (EAs) are changes that occur in part because of a programme or project *intervention*, i.e. its approach to realize the overall objective. Expected accomplishments are: (i) the direct consequence or effect of the generation of outputs and services; (ii) indicative of a positive change for the end-users/beneficiaries of the programme or project's outputs; and (iii) at a lower level than strategic results and should lead to the fulfillment of the strategic result (expected accomplishments occur before realizing the strategic result).

Sub-expected accomplishments (Sub-EAs) are utilized in UN-Habitat to help strengthen the relationship between EAs and outputs. Sub-EAs are a critical middle layer that helps determine if the right mix of outputs is in place.

EAs and sub-EAs are results. As described in Section 1.1, results are the consequences (outcomes, effects, expected accomplishments) for the beneficiaries of a development intervention or humanitarian assistance, deriving from the utilization of products and/or services provided to them.

As defined in the introductory sections, results are a describable or measurable change that is derived from a cause-and-effect relation—ship. There are two types of such changes: (i) outcomes (EAs and Sub-EAs), and (iii) impact (strategic results and goals), which can be set in



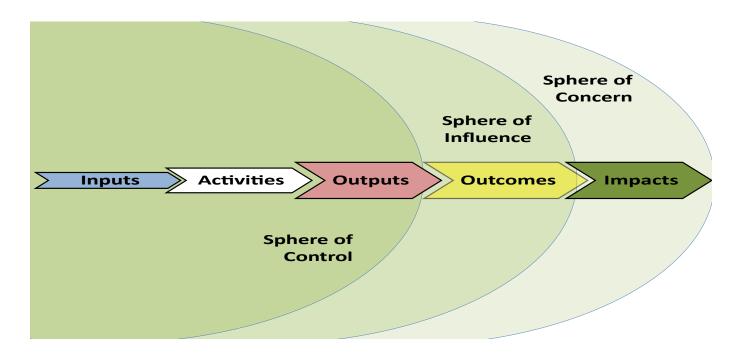
motion by a development intervention. The changes can be intended or unintended, positive and/or negative. It is expected that careful management for development results within programmes using RBM will lead to positive change.

However, this is not always the case. Change can sometimes lead to unintended or negative consequences. It is therefore impor—tant to continually manage for results so that programmes and projects can truly result in positive change.

To distinguish results from each other, it can be helpful to reflect on the concept of "Spheres of Control, Influence and Concern". These spheres facilitate differentiation of results:

- over which UN-Habitat has power (Sphere of Control; deliverables or outputs);
- from those UN-Habitat can influence, but cannot control (Sphere of Influence; use-level outcomes);
- and those UN-Habitat is concerned about (Sphere of Concern; change in society or impact).

Figure 14: Spheres of control, influence and concern





Using the theory of change to develop EAs and Sub-EAs.

The Theory of Change (ToC) is essentially a comprehensive description and illustration of how and why a desired change is expected to happen in a particular context. It is focused in particular on mapping out or "filling in" what has been described as the "missing middle", between what a programme, project or change initiative does (its activities or interventions), and how these lead to the desired goals being achieved. It does this by first identifying the desired strategic results and then working backwards from the results to identify all the preconditions (outcomes) that must be in place for the strategic results to occur (and how these are related to one another causally).

The ToC is therefore an excellent tool to use when identifying EAs and sub-EAs, with the two central questions being:

- What expected accomplishments (also called preconditions or outcomes in ToC) should be realized in order to achieve the strategic result or objective of each focus area?
- What sub-expected accomplishments should be realized in order to achieve the expected accomplishments?
- Which assumptions must hold true to move from the sub-EA to the EA on one hand, and from the EA to the strategic result on the other hand?

These are all mapped out in an outcomes or results framework. The results framework then provides the basis for identifying what type of output, activity or intervention will lead to the EAs and sub-EAS identified as preconditions for achieving the strategic result. Through this approach the precise link between outputs and the achievement of the strategic result is better understood. This leads to better planning, in that outputs and activities are linked to a detailed understanding of how and why change actually happens. It also leads to better evaluation, as it is possible to measure progress towards the achievement of EAs and strategic results that goes beyond the identification of outputs.

The process of developing a ToC is led by the facilitator or an RBM specialist. Below are the steps to follow in developing a ToC:

Task 1: Clarify the purpose of the ToC process

A clear purpose for going through a ToC process gives you a sense of direction and helps to ensure that the participants start off on the same foot.

The purpose informs decisions about who should participate in the process, how to shape the process, and what levels (e.g. policy, programme, project) it needs to encompass, as well as what type of outputs or products you want to end up with and which questions need specific attention in each step.

Core questions:

- Why are we doing this? What do we want to be different for the Member States and the Agency as a result? Which specific benefits do we expect the process will bring us?
- What is this ToC process expected to produce?

Task 2: Describe the change

What you want to change, why and for whom are the core questions of any ToC process. The desired change represents the changes in people's lives and the conditions and relationships in society that we wish to see occurring and want to contribute to through UN-Habitat's actions during the six-year period of the strategic plan.

In UN-Habitat the departure point or the change we want to see will be the strategic results of each focus area, which have been already identified. However, the ToC could be taken as an opportunity to fine-tune the strategic results.

Core question:

What is the desired change? Why? And for whom?

Task 3: Analyze the current situation

Every change initiative takes place in a context that determines the conditions and opportunities for change. We need to understand the situation in order to make strategic choices that increase the chances of success. This step is about analysis of the existing situation and the issues we wish to change: the 'ecosystem' in which the



desired change is to take place; and the social, political, economic, cultural, ecological and geographical factors that directly influence the issue, its causes or effects, and the desired change process?

What are the roles and interests of stakeholders and other actors? Are there power and gender dynamics at play? What are the drivers of change and what are the opportunities?

In the case of UN-Habitat the report summarizing the outcome of the situation analysis should be an input to the ToC process and therefore made available to the facilitator and participants.

Core question:

• What is the current situation in relation to the issue(s) we wish to change?

Task 4: Identify domains of change

Once the existing situation has been explored and mapped, we need to identify the domains where important changes have to take place in order to achieve the overall desired change. Identifying the domains of change helps to make the complexity more manageable, and to determine what matters for the desired change, and for the people who we hope will benefit from that change. It enables us to decide where best to intervene.

To make the desired change possible, changes usually need to happen simultaneously in many different domains and amongst different groups of stakeholders. For example, changes may be needed in formal institutions, as well as in the behaviour and relationships of actors involved in those institutions, —such as the legal system; changes in the behaviour and relationships that shape people's participation in political processes; changes in the norms and values people have about housing; changes in the attitudes of service providers, etc.

These changes are substantial, beyond the control of any single actor, and often need to happen in parallel in order to reach the desired change.

Core questions:

 For the desired change to happen, who and what needs to change? Where and in which way? Who needs to do what differently?

Task 5: Map change pathways

Pathways of change are a projection of the envisaged change process into the future, based on what we know of the current situation and our views and beliefs about how change happens.

Mapping 'pathways of change' is done by working backwards from the long-term desired change, asking ourselves what needs to change for the desired change to occur. At the same time, we are also unpacking and testing our thinking about how the change process may evolve from the current situation to the future.

Pathways of change, or causal pathways, can be pictured as a series of intermediate changes realised, often called 'results chains', or in the form of a less linear representation, such as a flow chart, web or system map. It is essential to indicate the interrelations between elements, as well as the feedback mechanisms and how the process is expected to evolve over time. In practice, this process will never be linear: think of backlashes and recurrent processes. This means that the pathways and underlying ToC need regular adaptation, in response to developments in the situation and new information.

Realistic assumptions are identified along the way. Assumptions are the variables or factors that need to be in place for results to be achieved. Assumptions can be internal or external to UN-Habitat.

Assumptions should be stated in positive language. The expectation from stakeholders is that if the outputs have been delivered and the assumptions in the programme document still hold true, then the outcome will be achieved. At the end of this process, each focus area must have its own ToC.

Core questions:

How do we think the change process may evolve?
 What needs to happen before the next positive step in the process can take place?



Task 6: Select EAs and sub-EAS for the results framework

Because the rule of thumb is to have no more than three EAs per objective or strategic result and no more than three sub-EAs per EA, this step of the ToC is about prioritizing the EAs and sub-EAs that are not only relevant to the work of UN-Habitat, but also critical to achieving the strategic result.

A prioritization process based on task 5 is therefore carried out by considering UN-Habitat's comparative advantages, to determine the specific areas in which to focus development assistance in the anticipated strategic plan. The prioritization must consider the mandates, technical capacities available (in-country, regional or global) and resources of the organization. The process also uses the outcome of the situation analysis.

The EAs and sub-EAs selected will then be part of the results framework. EAs and sub-EAs are about change. It is important to use 'change language' rather than the customary 'action language'.

The differences between change language and action language are:

Action language (i) expresses would-be results from the providers' perspective – and usually starts with "by doing this or that"; (ii) can be interpreted in many ways because it is not specific or measurable (e.g., improve housing); and (iii) focuses only on the completion of activities (e.g., to establish 25 new youth-friendly centers).

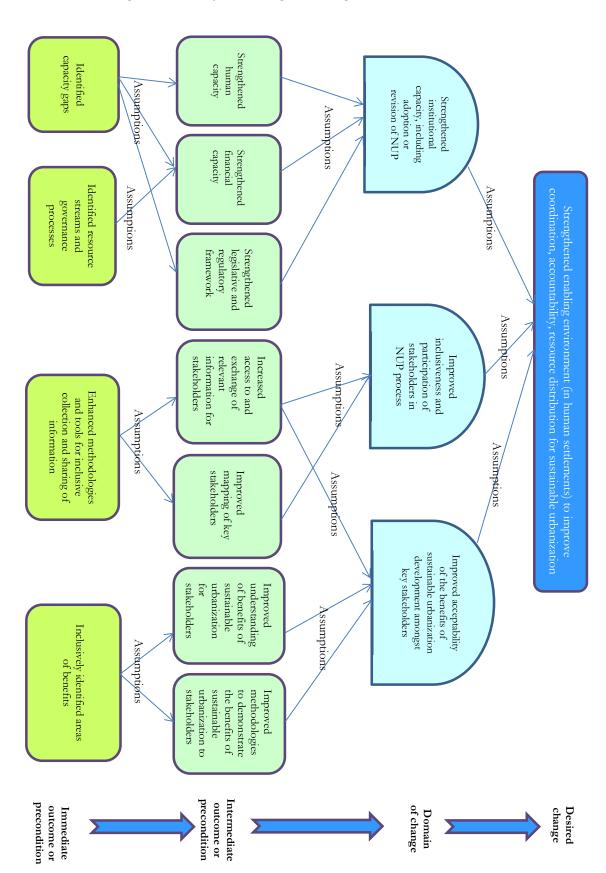
On the other hand, change language: (i) describes changes in the conditions and/or quality of life of people; (ii) sets precise criteria for success; and (iii) focuses on results, and does not focus on the methods to achieve them (hence the need to avoid expressions such as "through this and that").

The following are some examples of results using change language:

- Improved capacity of partner cities to adopt strategies supportive of inclusive economic growth;
- Increased capacity of local and national

- governments and other Habitat Agenda partners to implement urban legislation in the urban extension, densification, urban planning and finance areas;
- Enhanced capacity of slum communities to partner with national and local authorities implementing policies or programmes on access to adequate housing and improved standard of living in slums;
- Improved capacity of national and local authorities and partners to formulate evidence-based policies or programmes.

Figure 15: Example ToC diagram, using National Urban Policies





3. Developing indicators

An indicator is a specific observable and measurable characteristic that is used to show changes or progress a programme or intervention is making towards achieving a specified outcome or result. It specifies exactly what is to be measured, but does not indicate the direction of change.

There are various types of indicators: input and process indicators (these two constitute implementation indicators); and output, outcome and impact indicators (these three constitute performance indicators). Indicators can be qualitative or quantitative, and provide evidence to demonstrate the extent to which expected accomplishments have been achieved by the end of a programme or specific time period. It is important that stakeholders agree a priori on the indicators that will be used to measure the performance of an initiative.

Quantitative indicators are discrete statistical measures. Quantitative indicators measure specific change through hard numbers or percentages that are verifiable:

- Number of....
- Frequency of....
- Percentage of....
- Amount of....

Qualitative indicators are interpretative judgements. They are measures of an individual or group's judgement and/or perception of the presence or absence of specific conditions. Qualitative indicators normally utilize surveys or opinion polls that ask respondents their opinions or views on a given aspect of change:

- Capacity of....
- Extent of....

- Degree of....
- Level of....

The criteria for a strong indicator are as follows:

- Validity: Does the indicator actually measure the EA?
- Reliability: Is the indicator a consistent measure over time?
- **Sensitivity:** When the EA changes will the indicator be sensitive to those changes?
- **Simplicity:** How easy will it be to collect the data?
- **Utility:** Will the information be useful for decision-making and learning?
- Affordability: Can UN-Habitat afford to collect the information? Choose indicators that provide the best possible measurement of the results achieved within the budget available. Look for a balance of rigor and realism
- Meaningful and relevant: They are significant and relate directly to the EAs. They are valid measures of progress toward the EAs they measure.
- **Credibility:** They are based on accurate and reliable data. They stand up to audit.

Good indicators are **SMART** indicators, with the following characteristics or criteria:

- Specific (to the process being measured)
- Measurable (either in quantitative or qualitative terms)
- Achievable (without overstretching local statistics capacity)
- Realistic (cost-effective)
- Time-bound (within a reasonable time period).



Table 4: Some example of indicators -

Quantitative indicators Qualitative indicators • Number of government officials who have • Extent to which men respond favourably to women's participation in attended learning programmes addressing a community committee. gender issues. • Level of satisfaction of the beneficiaries with the basic services offered. Number of information materials on gender • Degree of trainee participation in developing results-based work plans. issues targeted specifically at men. • Level of beneficiary satisfaction with learning opportunities available. • Percentage of county governments that have established results-based strategies. • Quality of city plans developed by trainees Number of jobs opportunities accessed • Evidence of inclusive planning by county governments by youth.

Tip for developing indicators: Avoid combining several results or variables (changes in condition), or indicators into one statement. Specify statements about the quality, improvement, or implementation of a policy, legislation or service in verifiable terms.

Often qualitative indicators may be quantified. For example, we may quantify the number of people who are very satisfied, moderately satisfied or unsatisfied with the service provided. However, the level of satisfaction remains a qualitative indicator.

4. Identifying risks

Risk corresponds to a potential future event, fully or partially beyond control that may (negatively) affect the achievement of results. Since potential impacts can be both positive and negative, some agencies have chosen to widen the definition of risks to include both threats that might prevent them from achieving their objectives and opportunities that would enhance the likelihood that objectives can be achieved. Such a definition has the advantage that it enables a more balanced consideration of both opportunities and threats, thereby promoting innovation and avoiding risk aversion.

During the strategic planning process, risk assessment should consider a wide range of potential risks, including strategic, environmental, financial, operational, organizational, political and regulatory risks. Using a risk matrix, as in figure 16 below, enables systematic identification and prioritization of identified risks. In the risk matrix, risks can be ranked according to their

likelihood of happening (from improbable to frequent) and potential harmfulness (from unimportant to critical) if they were to occur. A risk mitigation strategy should also be defined for each risk to minimize the potential impact of risks on the achievement of results. Programmes and projects are expected to manage the risks related to their activities. The following are a range of risk mitigation strategies that may be considered:

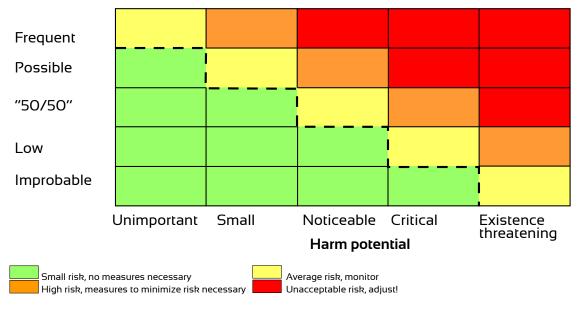
- Prevention: prevent the risk from materializing or prevent it from having an impact on strategic results or EAs;
- Reduction: reduce the likelihood of the risk developing or limit its impact if it materializes;
- Transference: pass the impact of the risk to a third party;
- Contingency plan: prepare actions to implement should the risk occur;
- Acceptance: based on a cost/benefit analysis, accept the possibility that the risk may occur and go ahead without further measures to address the risk.

During implementation, it is good practice to incorporate the planned responses to risks into the regular work plan of the programme or project, assigning staff members to be responsible for the actions and resources required. The risk assessment should be repeated during the formulation of work programmes and budgets, programmes and projects and should be guided by the Enterprise Risk Management Strategy.



Figure 16: Programme risk matrix

Probability of occurrence



Step 8.b. The performance measurement plan

The performance measurement plan (PMP) is a framework that operationalizes all the indicators constructed as part of the strategic planning process, by providing the basis to effectively use indicators to track progress and trends for the work to be undertaken during the six year period, and for the seven focus areas. In this respect, for each indicator the PMP:

- Clearly states the constituent elements and what is to be measured, i.e. operationalizes the indicators;
- Establishes the units of measurement (e.g. number of countries, local authorities, cities etc.);
- Establishes what each UN-Habitat branch/regional office/unit is and will be doing for each of the indicators, in each of the countries, cities, etc., and with which partners; if work has been started, provide evidence/documentation to support reported progress /status of the indicators;
- Determines all baselines for indicators of the strategic results and expected accomplishments for the seven focus areas, as well as for the Executive Direction, the management and the Programme Division;
- Establishes biennial targets for each of the above indicators for the six-year period;

- Reviews coordination and collaboration among the various organizational units in UN-Habitat, towards indicator targets, expected accomplishments and strategic results; and
- Gives clear recommendations and suggests methodologies, processes and tools for more efficient and cost-effective ways for tracking performance on indicators and expected accomplishments in future reports, taking into account the organizational context, and informed by best practices in other organizations.

To succeed, senior managers have to know how well UN-Habitat is doing. Therefore, this part of the strategic planning process, after the development of results frameworks, deals with measuring results. The most comprehensive, elegant, and technically perfect plan is of no worth unless it works.

What gets measured gets done. Most people want to do a good job. Performance measurement helps managers and staff focus on what is important. By comparing actual results with expected results, managers and policy makers are able to evaluate progress toward goals and objectives.

Performance measurement also brings greater clarity to budget processes and provides donors with a more



meaningful sense of the results being obtained with their resources. The PMP follows the structure of the results framework and adds for each indicator:

- Unit/division/department responsible for collecting data on the indicator
- Measurement unit
- Data collection method
- Frequency
- Source of data
- Baseline data
- Target data
- Milestones

What is Responsibility?

Responsibility looks at who is tasked with collecting and/or validating the data.



Some examples of actors responsible for data collection/validation:

- Beneficiaries
- Local professionals
- Partner organizations
- Consultants
- External monitoring and evaluation specialists
- UN-Habitat staff

What is a measurement unit?

A measurement unit is a quantity used as a standard of measurement so that any other value of the physical quantity can be expressed as a simple multiple of the measurement unit.

What is a data collection method?

Data collection methods represent how data about indicators is collected. Choosing a data collection method depends on the type of indicator and the purpose of the information being gathered. It also depends on how often this information will be gathered.

BOX Selecting appropriate Data Collection Methods

- Determine which data collection methods best suit the indicators in question and give the best evidence for the desired change.
- Use multiple lines of evidence (observation, interviews, and reports). The combined data from these sources will produce stronger evidence that can be corroborated.
- Consider the practicality and costs of each method.
- Weigh the pros and cons of each data collection method (accuracy, difficulty, reliability, time).

Some Examples of Data Collection Methods:

- Observation
- Analysis (of records or documents)
- Literature review
- Survey
- Interview
- Focus group
- Comparative study
- Collection of anecdotal evidence
- Questionnaire
- Pre and post-intervention survey

The identification of data collection methods and data sources can help with the selection and validation of realistic indicators. Data sources and collection methods should be established in collaboration with partners, stakeholders and evaluation specialists.

What is Frequency?

Frequency looks at the timing of data collection; how often will information about each indicator be collected and/or validated? Will information about a performance indicator be collected regularly (quarterly or annually) as part of ongoing performance management and reporting, or periodically, for baseline, midterm or final evaluations? It is important to note that data on some indicators will need to be collected early in the initiative to establish a baseline.



What is a data source?

Data sources refer to the individual, organizations or documents that will provide the information you need. Performance data on some indicators can be found in existing sources, such as land registries, appointment logs, and tracking sheets; or in the reports and studies carried out annually by actors, tracked by governments and partner organizations, and reported in annual reports to donors.

Finally, UN-Habitat staff and partners may need to identify their own sources of data to track performance against expected results. The source of the performance data is very important to the credibility of the reported results. Try to incorporate data from a variety of sources to validate findings.

BOX



Some Examples of Data Sources

- Beneficiaries (individuals, groups, communities etc.)
- Partner organizations (local and international)
- Government documents or officers
- Government Statistical reports
- Human Development Reports
- Things that you can observe (field sites, etc.)

What is baseline data?

Baseline data is the set of conditions existing at the outset of a programme or investment; quantitative and qualitative data collected to establish a profile. Each performance indicator must have an initial baseline figure, or the point in time preferably before the commencement of the initiative, programme or project that is designed to achieve a given result.

Without a baseline it will be impossible to measure change that results from the interventions or activities that are undertaken to achieve the concerned result Baseline data is collected at one point in time and is used as a point of reference against which results will be measured or assessed. A baseline is needed for each indicator that will be used to measure results during the investment.

Without a baseline, it will not be possible to detect change resulting from the interventions (e.g. "70 %

of households with access to clean water" is not a meaningful result if the current status is not known – it might already be at 75 %!).

What are targets?

A target specifies a particular value for a performance indicator, to be accomplished by a specific date in the future; it is what the development intervention would like to achieve within a certain period of time, in relation to one of its expected results. Targets are normally expressed as either a percentage or a number.

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Developing Strong Targets

- Targets must be realistic and reviewed regularly.
- Beneficiaries and stakeholders should be involved in establishing targets.
- Timelines for targets can vary from short to long-term (i.e., monthly, midway and projectend).
- A strong target consists of a clear statement of desired performance against an expected outcome, and is developed using an established baseline.

Example:

Indicator: Percentage of households in region Y living within X distance of a well.

Baseline: At the moment, 5% of households in region Y live within X distance of a well.

Target: For the first year of the Basic Services Initiative for region Y of country Z, the target is to have 25% of household living within X distance of a well. The target for the end of the initiative is to have 65% of households living within X distance of a well. This target is realistic because it takes into account the low percentage established during the baseline study and the fact that some communities in region Y are very remote and potentially difficult to work in.

What is a milestone?

Milestones are key stages, scheduled events or benchmarks on the results continuum that enable to formulate progress achieved towards planned results in concrete terms.

Table 5: Example of a Results Framework – UN-Habitat Results Framework 2014 – 2019

Goal	Environmentally, ecc regional and local au life of the city.	Environmentally, economically, and socially sustainable, gender sensitive and inclusive urban de regional and local authorities have improved the standard of living of the urban poor and enhanife of the city.	sustainable, gender sed the standard of livin	ensitive and inclusive	urban development i and enhanced their pa	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 social economic life of the city.	al economic
Indicators	 Percentage of pe 	Percentage of people living in slums, disaggregated by gender	saggregated by gender				
	 Percentage of ur 	Percentage of urban population with access to adequate housing	cess to adequate hous	sing			
	 Percentage of pe clean domestic e 	Percentage of people residing in urban areas with access to safe drink clean domestic energy and public transport, disaggregated by gender	areas with access to saport, disaggregated by	afe drinking water, ad gender	equate sanitation anc	Percentage of people residing in urban areas with access to safe drinking water, adequate sanitation and regular waste collection services, clean domestic energy and public transport, disaggregated by gender	on services,
	 Number of city, regional and r of decent jobs and livelihoods 	Number of city, regional and national authorities that have implemented urban policies sup of decent jobs and livelihoods	uthorities that have im	plemented urban po		portive of local economic development and creation	nent and creation
	 Number of city and regional aupopulation growth adequately 	Number of city and regional authorities that have implemented sustainable urban plans and population growth adequately	s that have implemente	ed sustainable urban		designs that are inclusive and respond to urban	ond to urban
Strategic Result/	FA 1: City, regional	FA 2: City, regional and	FFA 3: City, regional and	FA 4: City, regional and	FA 5: Local, national and	FA 6: Cities have increased their	FA 7: Key actors at local, national and
Focus Area	and national authorities have adopted enabling	national authorities have adopted	national authorities have adopted or	national authorities have implemented	regional authorities have implemented	resilience to the impacts of natural and	global levels acquire increased knowledge on
	legislation and established	policies, plans	implemented improved urban	policies to increase	policies for sustainable and	human-made crises and have	sustainable urbanization
	for improved access	more compact, socially inclusive.	strategies that are supportive of	to urban basic services and	housing, slum upgrading and	rehabilitation in ways that	enhanced capacity for monitoring
	to land, effective decentralised	better integrated	economic development.	improve the standard of	prevention	advance sustainable	urban conditions, as well as for
	governance and	cities that foster	with particular	living of the		urban	formulation and
	that foster	: sustainable : urban	men and women	urban poor		development	evidence-based
	sustainable urban	development and are resilient to	and enhanced urban and				policies and programmes
	development	climate change	municipal finance				

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$\widetilde{}$ — Urban Legislation, Land and Governance –

Strategic Result	City, regional and national authorities have adopted enabling legislation and established decentralised governance and urban safety that foster sustainable urban development.	City, regional and national authorities have adopted enabling legislation and established systems for improved access to land, effective decentralised governance and urban safety that foster sustainable urban development.	ems for improved access to land, effective
Indicators	Number of partner cities, regional and national authorities that have adopted legislat	al authorities that have adopted legislation for	tion for improved urban governance
	Number of partner cities, regions and countries that have improved tenure security	es that have improved tenure security	
	Number of partner cities, regional and national authorities implementing the Guidelines of Local Authorities, the Guidelines on Access to Basic Services and all the Guidelines	Number of partner cities, regional and national authorities implementing the Guidelines on Decentralization and the Strengthening of Local Authorities, the Guidelines on Access to Basic Services and all the Guidelines for the Prevention of Crime.	nes on Decentralization and the Strengthening for the Prevention of Crime.
Expected Accomplishment	Increased capacity of local and national governments and other Habitat Agenda partners to implement enabling legislation to improve urban extension, densification, urban planning and urban finance	Increased capacity of local and national governments and other Habitat Agenda partners to implement programmes that improve security of tenure for vulnerable groups, including women, youth, indigenous people and minorities	Local and national governments and other Habitat Agenda partners develop improved policies, plans and strategies that strengthen decentralised governance, inclusive urban management and safety
Indicators	 Number of consultative legal reform processes to improve urban extension, densification, urban planning and finance 	 Number of programmes implemented by partner local and national governments and other Habitat Agenda partners to improve security of tenure for vulnerable groups including women vouth 	 Number of partner cities, regional and national authorities that have adopted the guidelines on decentralization and access to basic services for all
		indigenous people and minorities	Number of partner city, regional and national authorities that have adopted local crime prevention strategies



Structure of the strategic plan

At the end of the strategic planning process, the planning team produces a strategic plan, which comprises at least the following sections:

1. Strategic analysis

- Mandate of UN-Habitat
- Urban trends, challenges and opportunities
- Lessons learned from previous strategic plan
- SWOT analysis

2. Strategic choice

- Vision
- Mission
- Goal
- Theory of change
- Strategic result
- Priority areas
- Focus areas, their strategic result and scope
- Results framework: focus area results and indicators of achievements
- Strategies

3. Implementation of the Strategic plan

- Implementation through the WP&B
- Risk management
- Organizational structure
- Monitoring and reporting
- Evaluation
- Financial and human resources

4. Annexes

- Performance measurement plan
- Resource mobilization strategy
- Communication strategy

Member States, through the UN-Habitat's Committee of Permanent Representatives, are consulted at each stage of the formulation of the strategic plan.

Once the strategic plan is finalized, it is submitted to the Governing Council for its review and approval. The approved document becomes the guiding programme policy of UN-Habitat for the next six years.

2.2.3 Strategic framework

In the UN Secretariat, the strategic framework also known as biennial programme plan is the principal policy directive. It is the first step towards the preparation of the UN regular budget (RB) for the same period. It is a biennial document prepared based on mandates received from Member States through intergovernmental bodies (e.g. Governing Council, ECOSOC, General Assembly, etc.).

UN-Habitat is one of the three programmes (together with UNEP and UNODC) that are part of the UN-Secretariat. As such, UN-Habitat follows the planning and budget cycle of the UN-Secretariat and therefore has to prepare a biennial strategic framework. However, for UN-Habitat, the preparation of the strategic framework is not an *ex nihilo* (out of nothing) exercise, given that the strategic framework is derived from the six-year strategic plan, as noted in section 2.2.2.

The preparation of the biennial strategic framework can also be viewed as a way of reconciling or bridging UN-Habitat six-year strategic plan with the UN-Secretariat planning and budget cycle, on one hand. On the other hand, the biennial strategic framework constitutes the first step towards the implementation of UN-Habitat six-year strategic plan.



Figure 17: Preparation of the strategic framework 6-year Strategic Plan • UN Secretariat requirement and principal policy directive 3 consecutive • Bridge between UN-Habitat's six-year strategic plan and the Strategic UN Secretariat planning and budgeting cycle Frameworks • First step towards the implementation of the six-year strategic plan 3 consecutive Biennial work **Programmes** 6 Annual Work Plans **Projects to** deliver work

The preparation of the biennial strategic framework involves not only the participation of all offices, but also an assessment by relevant specialized intergovernmental bodies such as the UN-Habitat Committee of Permanent Representatives. Recommendations by the CPR for modifications to the proposed strategic framework should be incorporated when available.

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In cases where it has not been possible to incorporate changes, the recommendations of the CPR, to the extent available, are forwarded to the Committee for Programme and Coordination (CPC) at the time of its working session.

The structure of the Strategic Framework is as follows:

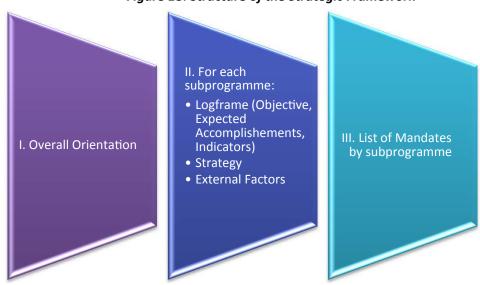


Figure 18: Structure of the Strategic Framework



The strategic framework includes the following sections:

- 1. Overall orientation
- 2. The seven subprogrammes, with the following elements for each: (i) logframe (which includes the objective, expected accomplishments and indicators; (ii) strategy; and (iii) external factors
- 3. List of mandates
- **1. Overall orientation:** The overall orientation section of the strategic framework is derived from the six-year strategic plan, and provides a succinct narrative highlighting UN-Habitat's overall strategy for the biennium. The overall orientation (i) reflects mandates that provide policy direction for the programme as a whole; (ii) mentions linkages, as appropriate, to the Internationally Agreed Development Goals (i.e. MDGs, SDGs, etc.) and the relevant major international conferences; (iii) integrates gender, youth, human rights and climate change perspectives, in line with General Assembly and Governing Council resolutions; and (iv) specifies the organizational unit responsible for the implementation of the subprogrammes.
- **2. Subprogramme:** A "subprogramme" refers to the organizational level under which a portion of the programme is carried out. It is equivalent to the focus area of the strategic plan.

The United Nations Human Settlements Programme is comprised of seven (7) subprogrammes as follows:

- Subprogramme 1: Urban Legislation, Land and Governance
- Subprogramme 2: Urban Planning and Design
- Subprogramme 3: Urban Economy and Municipal Finance
- Subprogramme 4: Urban Basic Services
- Subprogramme 5: Housing and Slum Upgrading
- Subprogramme 6: Risk Reduction, Rehabilitation and Urban Resilience
- Subprogramme 7: Urban Research and capacity development

These subprogrammes are jointly implemented by respective thematic branches and the four (4) regional offices (Regional Office for Asia and the Pacific, Regional

Office for Latin America and the Caribbean, Regional Office for Africa, and Regional Office for Arab States).

Each subprogramme section of the strategic framework is structured as follows:

(a) Objective of the Organization (see also section 2.2.2 page 36)

The objective of the organization is the equivalent of a focus area's strategic result as contained in the strategic plan. It is the highest level of result sought by a subprogramme and involves a process of change aimed at meeting certain needs of identified end-users. Objectives are specific, quantifiable, and time-bound statements of outcomes.

Objectives/strategic results are drawn from the six-year strategic plan.

When formulating or reviewing objectives, it helps to ask the following questions:

- Why does this subprogramme exist?
- What problems are being addressed by the subprogramme?
- Who are the beneficiaries of the subprogramme?
- What change do we want to see?

The objective must be well-defined, precise, focused and succinct, and should not be made up of more than one sentence. Stating several objectives within one sentence is an indication that further refinement of the objective is required. The objective is not necessarily limited to the two-year period of the biennium.

(b) Expected accomplishments of the Secretariat (see also section 2.2.2, page 41)

Expected accomplishments are drawn from the six-year strategic plan, although the preparation of the biennial strategic framework offers the opportunity to fine-tune some of the EAs in light of the lessons learned through performance assessments.

As stated in section 2.2.2, EAs are changes that occur in part because of a programme or project intervention; i.e., its approach to realizing the overall objective. Expected accomplishments are: (i) the direct



consequence or effect of the generation of outputs and services; (ii) indicative of a positive change for the endusers or beneficiaries of the programme or project's outputs; (iii) at a lower level than strategic results, and should lead to the fulfillment of the strategic result or objective (expected accomplishments occur before the strategic result); (iv) the basis on which performance will be measured; (v) identify the benefits or changes that are expected to accrue to users or beneficiaries; and (vi) relate to changes in knowledge, skills, behaviour, awareness, condition or status.

Each subprogramme includes a maximum of three (3) expected accomplishments.

(c) Indicators of achievement (see also section 2.2.2, page 47)

Indicators of achievement measure the extent to which expected accomplishments have been achieved as a result of the subprogramme's intervention. Just like the EAs, indicators of achievement are drawn from the six-year strategic plan. Good indicators are SMART – specific, measurable, attainable, relevant and time-bound. A maximum of three indicators is typically used for each expected accomplishment.

When constructing indicators, it is useful to determine the data that is useful for assessment of the effectiveness of the subprogramme. For example, do we want to collect information on the number of Member States, institutions or individuals that are able to monitor programmes of action; or are we interested in the number of measures taken by them to monitor programmes of action? When we deliver our outputs, do we want to focus on increasing the number of entities able to monitor, or on increasing the number of measures taken by entities to enable them to monitor? Data collection over time can be both costly and time consuming. It is thus important to carefully select which data would be most representative of the subprogramme's effectiveness. Some helpful data collection design questions to ask are:

- What data currently exists?
- Where could we go to gather existing or new data?
- What type of data collection methods would make the most sense?

 How much data would we gather, and how frequently?

Once the data to be collected is decided, then the **performance measures** (i.e., baselines and targets) can be determined. On the basis of the above example, if we are focusing on the number of entities able to monitor programmes of action, we would need to collect data on the number of entities. For our performance measures, we would then need to know how many entities there were in 2012-2013, what our estimate is for 2014-2015 and what our target would be for 2016-2017. In cases where an indicator may apply to a number of issues, the indicator would then have corresponding performance measures for each issue.

(d) Strategy

Each subprogramme strategy is derived from the corresponding strategy in the six-year Strategic Plan (see also section 2.2.2, page 37).

The strategy highlights the focus of efforts to be made within the two-year period to meet the needs of intended beneficiaries and to achieve the expected accomplishments. The strategy reflects the underlying logic for carrying out a series of activities necessary and sufficient to achieve the expected accomplishments. In particular, a subprogramme strategy clearly specifies how each expected accomplishment will be achieved.

Examples of strategies might include:

- providing assistance to post-conflict countries
- enhancing support for negotiations
- strengthening the international rule of law
- ensuring that development issues are adequately addressed in intergovernmental debate
- supporting implementation of programmes
- consensus building
- advocacy and capacity building
- assisting the development and implementation of national policies
- providing timely and accurate information, analyses and policy options
- harmonizing policies and procedures



Table 7: Example of logframe as presented in the biennial strategic framework (Subprogramme 1: Urban Land, Legislation and Governance)

Objective of the Organization: To foster equitable sustainable urban development through the formulation and adoption of enabling legislation, increased access to land, and strengthening of systems of decentralized governance for improved safety and service delivery

Expected accomplishments of the Secretariat	Indicators of achievement
(a) Increased capacity of local and national governments and other Habitat Agenda partners to implement urban legislation in the urban extension, densification, urban planning and finance areas	Number of consultative legal reform processes to improve urban extension, densification, urban planning and finance with the technical support of UN-Habitat
(b) Increased capacity of local and national governments and other Habitat Agenda partners to implement programmes that improve security of tenure for all, including for vulnerable groups, women, youth and indigenous people	Number of programmes to improve security of tenure for all, including for vulnerable groups, women, youth and indigenous people implemented by partner local and national governments and other Habitat Agenda partners
(c) Increased capacity of local and national governments and other Habitat Agenda partners to develop and adopt or adapt policies, plans and strategies that strengthen decentralised governance and inclusive urban management and safety	Number of partner local and national authorities and other Habitat Agenda Partners that have developed guidelines taking into account the Guidelines on Decentralization and Access to Basic Service for All
arban management and sarety	Number of partner local and national authorities that have adopted local crime prevention strategies

(e) External factors

External factors are events and/or conditions that are beyond the control of those responsible for an activity, but have an influence on the success or failure of the activities. They may be anticipated in the form of assumptions or they may be unanticipated.

3. Mandates: They refer to relevant resolutions providing the mandates for achieving the subprogramme's objectives. In preparing the strategic framework, unless it mandates continuing functions of UN-Habitat or establishes the programme of work for the organization, a legislative mandate adopted more than five years earlier should not be included.

If included, it should be accompanied by an explanation justifying its retention as a mandate. Any proposals for terminating, modifying or amending mandates, especially those that affect a cluster of activities or even a subprogramme or portion of a subprogramme, should, where applicable, be first approved by the relevant specialized intergovernmental bodies.

Their endorsement and/or recommendations will be submitted to the General Assembly through Committee

for Programmes and Coordination, including justification for amendments and/or termination. UN-Habitat mandates are obtained from there (3) main bodies:

- The General Assembly
- The Governing Council
- ECOSOC

The preparation of the strategic framework is also informed by: (i) the findings of evaluations, audits and assessments; and (ii) the priorities established in the Strategic Plan.

Steps and responsibilities for preparing the biennial strategic framework

Step 1: The preparation of the Strategic Framework starts with the issuance of a memo by the Office of the Executive Director (i) announcing the commencement of the preparation process; (ii) clarifying roles and responsibilities; (iii) Issuing internal guidelines; and (iv) forwarding instructions received from the UN controller's Office (Programme Planning and Budget Division).

Step 2: The Quality Assurance Unit (QAU) then leads



the whole process by engaging with Branches and Regional Offices, ensuring that guidelines are observed and contributions are submitted on time.

Step 3: The Quality Assurance Unit puts the draft biennial strategic framework together and re-engages with Branches and Regional Offices to ensure that the draft biennial strategic framework is as robust as possible, and in particular that logframe elements (i.e., objectives, expected accomplishments and indicators) are derived from the six-year strategic plan; justified adjustments are introduced where needed; and the strategies specify how each expected accomplishment will be achieved.

Step 4: The Quality Assurance Unit submits the draft biennial strategic framework to the Senior Management Board for review and endorsement.

Step 5: The QAU organizes consultations with the Committee of Permanent Representatives on the draft biennial strategic framework; the consultations are attended by the all the Branches under the coordination of the Office of the Executive Director/Programme Division.

Step 6: Following consultations with the CPR and incorporation of relevant inputs, the QAU submits the draft biennial strategic framework to the Programme Planning and Budget Division (PPBD), both by email and through the Integrated Management Documentation and Information System (IMDIS) as follows:

Table 8: Channels for submitting - the strategic framework to the PPBD		
Overall orientation	Email	
Subprogrammes		
Objective	IMDIS	
Expected accomplishments	IMDIS	
Indicators of achievement	IMDIS	
Performance measures	IMDIS	
Strategy	Email	
External factors	IMDIS	
Mandates	Email	

Step 7: In collaboration with Branches and Regional Offices, the QAU addresses queries from PPBD before the draft biennial strategic framework is sent to the Department of General Assembly and Conference Management for editing.

Step 8: The QAU reviews the edited version of the draft biennial strategic framework.

Step 9: The Executive Director presents and defends the draft biennial strategic framework before the formal and informal sessions of the Committee for Programme and Coordination (CPC).

BOX **12**

Role of the QAU in preparing the biennial strategic framework

The process for preparing the Strategic Framework is coordinated by the office in charge of planning, programming and monitoring and reporting (Quality Assurance Unit), whose role includes:

- Preparing internal guidelines for the development of the biennial strategic framework
- Drafting the memo announcing the commencement of the preparation process
- Holding bilateral meetings with Branches and Regional Offices to provide assistance and guidance
- Preparing the sections on overall orientation and mandates
- Presenting the draft strategic framework to the CPR Subcommittee on Policy and Programme of Work and coordinating the inclusion of inputs and contributions from Member States
- Interacting with the Programme Planning and Budget Division after formal submission of the Proposed Strategic Framework
- Backstopping the Executive Director during the presentation of the Proposed Strategic Framework before the CPC.



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Role of Branches in preparing the biennial strategic framework

Based on the guidelines and instructions received from the Programme Planning and Budget Division, the Branch coordinators in their roles as subprogramme coordinators:

- Prepare/update the logframes
- Consult with Regional Offices and other Units within the Organization wherever applicable
- Utilize lessons learned from previous biennia
- Utilize evaluation and audit reports
- Attend CPR meetings (working group and formal sessions)

Step 10: After submission of the Strategic Framework to UN HQ, it is reviewed by PPBD before consideration by the CPC. Once the Strategic Framework has been endorsed by the CPC it is forwarded to the Fifth Committee¹⁴, which ultimately considers and approves it on behalf of the General Assembly.

2.2.4 The Work Programme

The biennial work programme and budget represents the second phase of the UN Secretariat planning and budgeting cycle. It is an implementation document that operationalizes the biennial strategic framework (and therefore the six-year strategic plan) by translating them into concrete deliverables or outputs and resources (both post and non-post resources) with a view to achieving the expected accomplishments.

The instructions for its preparation are provided to all entities of the UN Secretariat by the UN Controller's office, in particular the Programme Planning and Budget Division. The instructions for its preparation are provided to all entities of the UN Secretariat by the UN Controller's office, in particular the Programme Planning and Budget Division.

¹⁴ The Fifth Committee is the Committee of the General Assembly with responsibilities for administration and budgetary matters. Based on the reports of the Fifth Committee, the General Assembly considers and approves the budget of the Organization in accordance with Chapter IV, Article 17 of the Charter of the United Nations.

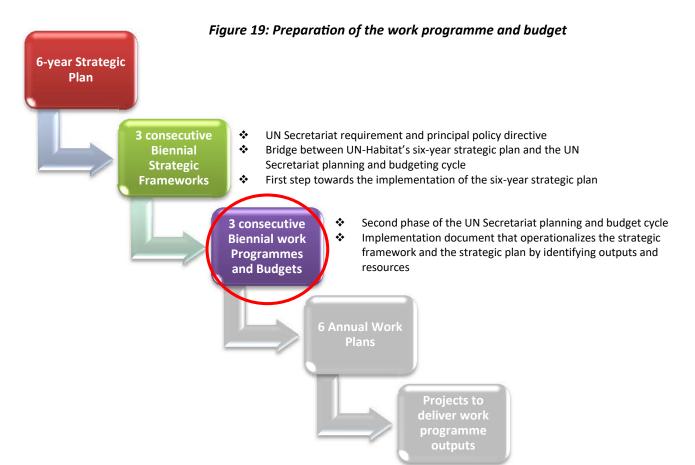
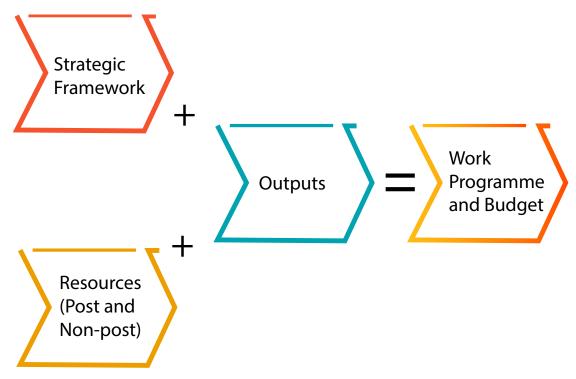


Figure 20: Components of the work programme and budget



In its simplest form, the work programme and budget is the strategic framework, plus the outputs, plus the resources.

In preparing the work programme and budget, one of the first tasks is to complete the logframes developed at the strategic framework stage, by ensuring that each indicator is accompanied by related performance measures or baseline and target data (see definitions of baselines and targets on page 50). This will enable a performance assessment at a later stage, by comparing the actual value of the indicator against a known past measure or comparator (i.e., baseline) and a planned goal (i.e., target).

In addition to identifying adequate resources, one of the most critical aspects of the preparation of the work programme and budget is to come up with the "right" outputs in terms of number, time frame and adequacy to achieve the expected accomplishments and respond to the needs of beneficiary groups and communities. The outputs (development or humanitarian interventions) must be sufficient to achieve planned results or EAs.

In other words, outputs should contribute to the attainment of expected accomplishments, so that the sum of planned outputs constitutes the optimal

combination of services and products for achieving these expected accomplishments.

For example, to achieve EA1 (included in the logframe on page 58) "increased capacity of local and national governments and other Habitat Agenda partners to implement urban legislation in the urban extension, densification, urban planning and finance areas", would a single workshop be sufficient to achieve the EA in a particular country? This would probably be extremely difficult.

Therefore, three questions that need to be asked to guide the identification of outputs in terms of adequacy or sufficiency:

- 1. What combination of outputs (e.g. advisory services, training, guidelines) would be enough to achieve the EA?
- 2. How many of these outputs should be delivered?
- 3. Where should they be delivered (countries/cities)?

In general, only final outputs should be listed. That is, the output of a particular office could be a report but not the research and analysis required for delivering that report, unless the office in question does not have final responsibility for finalizing or issuing the report.



Where an output is jointly produced by two or more subprogrammes within a programme, a choice must be made as to which subprogramme will reflect the output.

Outputs within each subprogramme in UN-Habitat are organized under the following categories:

1. Servicing of intergovernmental and expert bodies

- (a) Substantive servicing of meetings
- (b) Parliamentary documentation
- (c) Other services provided

2. Other substantive activities

- (a) Mandated recurrent publications
- (b) Discretionary recurrent publications
- (c) Mandated non-recurrent publications
- (d) Discretionary non-recurrent publications
- (e) Electronic, audio and video issuances
- (f) Exhibits, guided tours, lectures
- (g) Booklets, pamphlets, fact sheets, wall chart and information kits
- (h) Press releases, press conferences
- (i) Special events
- (j) Technical material
- (k) Organization of inter-agency meetings and contribution to joint outputs

3. Technical cooperation

- (a) Advisory services at the request of governments
- (b) Group training (seminars, workshops, symposia)
- (c) Field projects

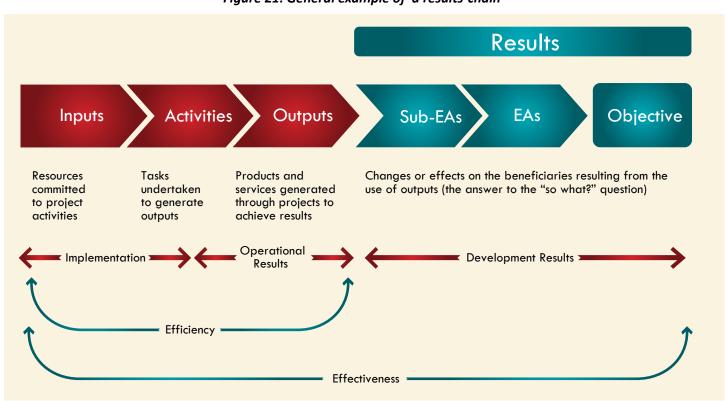
4. Administrative support services (for programme support only)

- (a) Overall management
- (b) Human resources management
- (c) Programme planning budget and account
- (d) Internal oversight

Results-chains are used to identify outputs under each of the categories of outputs above. The development of results-chains starts with the identification of the objective or higher result.

The EAs are then identified, followed by the sub-EAs. The most sufficient (quantity) and adequate (quality and appropriateness) outputs to achieve the sub-EAs and EAs are ultimately identified. Results-chains as planning tools are developed from right to left.

Figure 21: General example of a results-chain





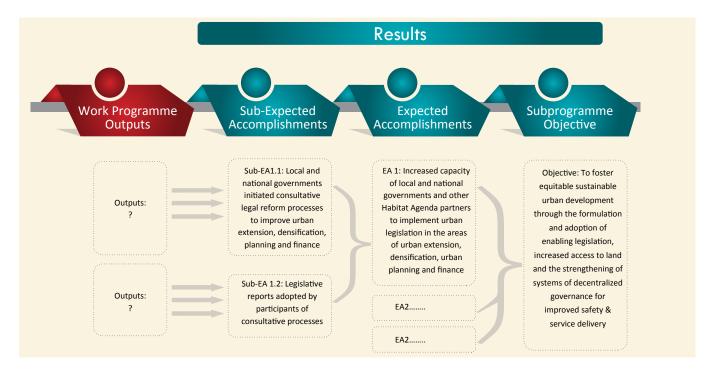
Rigorous consultation and brainstorming processes must take place within teams in charge of the preparation of the WP&B in order to identify the "right" outputs, services and products that UN-Habitat needs to generate to achieve the desired change. Indeed, the identification of outputs should not be viewed as a business as usual, linear exercise undertaken by one person in her/his office. It should not be viewed as merely copying and pasting outputs from the previous biennium. It should rather be conducted as a team exercise involving a critical questioning process about the rationale of current and past outputs; using available evaluations and assessments; and coming up with

relevant, adequate and "transformational" outputs, able to make a difference in beneficiary communities and achieve lasting results. Achieving results starts with planning for results.

In addition, all activities planned and implemented in UN-Habitat, whether at Branch level or Regional Office level, must contribute to the delivery of the WP&B.

There is only one WP&B for UN-Habitat per biennium. Operating outside of that WP&B could put the organization at risk (confusion, unclear mandates, unclear focus and direction).

Figure 22: Example of a results-chain using subprogramme1, Urban legislation, land and governance





The work programme and budget is principally structured as follows:

Overview

- 1. Policy-making organs
- 2. Executive Direction and Management
- 3. Programme of work (seven subprogrammes)
- 4. Programme Division
- 5. Programme support (Management and Operations Division)

Further, the Executive Direction and Management, the seven (7) subprogrammes (which together constitute the programme of work), the Programme Division and Programme Support are comprised of the following elements:

- Objective
- Expected accomplishments
- Indicators of achievement with related baselines and targets
- External factors
- Outputs
- Resource tables¹⁵
 - (i) Post (salaries and common staff costs)
 - (ii) Non-post (e.g. consultants, travel, hospitality, furniture and equipment, etc.)

The preparation of the WP&B is a very important step in the process of Delivering As One UN-Habitat. Indeed, Delivering as One UN-Habitat starts with:

- Planning together in planning weeks/retreats
- Agreeing on the outputs needed to achieve results
- Identifying possible hindering factors and coming up with mitigation measures
- Exploring potential partnerships
- Factoring in cross-cutting issues

In addition to RBM, a related approach used by the UN-Secretariat in formulating budgets is results-based budgeting (RBB). As a literal reading of the term suggests, RBB is about formulating programmes and budgets that are driven by a number of desired results,

which are articulated at the outset of the budgetary process. It involves calculating and proposing resource requirements on the basis of pre-determined results, rather than merely on the basis of scheduled outputs or activities.

RBB requires managers to identify objectives and results that involve certain changes or benefits to endusers, and subsequently measure the extent to which these changes or benefits have actually been brought about. Or to give the precise definition of RBB as it has been proposed by the Secretary-General: results-based budgeting is a programme budget process in which (a) programme formulation revolves around a set of pre-defined objectives and expected results, (b) resource requirements are derived from and linked to such expected results, and (c) actual performance in achieving results is measured by objective performance indicators¹⁶.

RBB therefore places more demanding standards on programme design and planning, and as such it is a component of RBM. RBM goes beyond RBB by (i) using Theory of Change to guide the implementation of programmes and projects; and (ii) having performance management (i.e., monitoring and evaluation) as a major pillar of the approach. In other words, RBM does no stop with a budget or plan that is results-oriented. RBM ensures that the implementation phase is guided by the need to achieve planned results, and that performance is systematically assessed for decision-making, accountability and lessons-learning purposes.

By following a rigorous results-based management approach, UN-Habitatensures that the RBB methodology proposed by the United Nations Secretariat is also taken care of.

Steps and responsibilities for preparing the biennial work programme and budget

Step 1: Like the strategic framework, the preparation of the work programme and budget starts with the issuance of a memo by the Office of the Executive Director (i) announcing the commencement of the preparation process; (ii) clarifying roles and

¹⁶ A/53/500 of 15 October 1998- Office of Programme Planning Budget and Account



¹⁵This Handbook does not cover the resource component. It focuses on the programmatic aspects of the work programme and budget.



responsibilities; (iii) issuing internal guidelines; and (iv) forwarding instructions (i.e. Support Guide) received from the Programme Planning and Budget Division.

Step 2: The Quality Assurance Unit leads the whole process by engaging with Branches and Regional Offices, ensuring that guidelines are followed and contributions are submitted on time. In engaging with various offices, the QAU uses RBM methodologies and tools (e.g., resultchains, theories of change, etc.) in view of supporting the identification of transformative outputs.

Step 3: The Office of the Executive Director organizes a senior management retreat or planning week, which reviews substantive priorities, strategies and partnerships, and advance the preparation of the work programme and budget.

Step 4: The Quality Assurance Unit puts the draft biennial work programme together, which will later on be complemented by resources (the incorporation of resources is coordinated by the Finance and Budget Unit of the Management and Operations Division). It reengages with Branches and Regional Offices to ensure that the draft biennial work programme and budget is of the best possible quality, and in particular that the relationship between agreed outputs and expected accomplishments is as robust as possible.

Step 5: The Management and Operations Division (MOD) submits the draft biennial work programme to the Senior Management Board for review and clearance.

Step 6: The Management and Operations Division organizes consultations with the Committee of Permanent Representatives on the draft biennial work programme; the consultations are attended by all the Branches under the coordination of the Office of the Executive Director.

Step 7: Following consultations with the CPR, the Management and Operations Division submits the draft biennial work programme and budget to the Advisory Committee on Administrative and Budgetary Questions (ACABQ), whose recommendations and report on extrabudgetary resources are submitted to the Governing Council to support its deliberations.

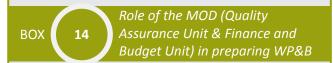
Step 8: The Management and Operations Division also submits the draft biennial work programme and budget to the Programme Planning and Budget Division, which

coordinates the review of regular budget resources by the Advisory Committee on Administrative and Budgetary Questions.

Step 9: The Executive Director presents and defends the draft biennial work programme and budget before the ACABQ.

Step 10: ACABQ reviews the draft biennial work programme and budget and provides its report to the Governing Council of UN-Habitat.

Step 11: The Governing Council of UN-Habitat approves the proposed biennial work programme and budget before final approval by the General Assembly.



- Leads the preparation process
- Involves the Programme Division and the Evaluation Unit whenever appropriate
- Organizes planning working sessions/ meetings/retreats
- Coordinates inputs on resources
- Submits the WP&B to intergovernmental bodies and to the PPBD
- Ensures that deadlines are fully respected
- Backstops Senior Management during intergovernmental processes

BOX (15) Role of branches in preparing WP&B

In their role as subprogramme coordinators, the branch coordinators:

- Ensure that the process of preparing the WP&B is inclusive and iterative, and that regional priorities and particularities are fully reflected in the subprogrammes
- Ensure that identified outputs are sufficient and adequate to achieve the EAs
- Are realistic and consider available resources



2.2.5 The annual work plan

The annual work plan (AWP) is an internal document used to track and monitor progress in implementing the biennial work programme and budget. It is not subjected to the approval of intergovernmental bodies. The AWP is a very important tool for UN-Habitat as it also supports the resource mobilization strategy.

The annual work plan provides detailed output delivery planning and sets out what will be accomplished during each year of the biennium, and by each of each of the branches and regional offices. It breaks down the biennial work programme and budget into two distinct annual plans, which helps to strengthen UN-Habitat's implementation arrangements, plan resources, support monitoring and reporting, and have better control of activities. The AWP is UN-habitat operating plan and constitutes the last layer of planning at corporate level.

From the UN-Habitat annual work plan, individual offices (e.g. branches, regional offices, etc.) can extract their own annual work plan, which can also be translated into staff work plans.

Figure 23: Preparation of the annual workplan 6-year Strategic Plan 3 consecutive UN Secretariat requirement, and principal policy directive **Biennial** * Bridge between UN-Habitat's six-year strategic plan and the UN **Strategic** Secretariat planning and budgeting cycle Frameworks First step towards the implementation of the six-year strategic plan Second phase of the UN Secretariat planning and budget cycle 3 consecutive Implementation document that operationalizes the strategic **Biennial work** framework and the strategic plan by identifying outputs and **Programmes** resources and Budgets Break down the biennial work programme and budget into two annual operating plans **6 Annual Work** * Provide details on output delivery **Plans** * Last layer of planning at corporate level Used for monitoring and reporting deliver work



The preparation of the AWP follows the approval of the work programme and budget. Outputs must be delivered within the biennium. The AWP contains:

- 1. The expected accomplishments and indicators of achievements (taken from the WP&B);
- 2. Sub-expected accomplishments (taken from results framework of the six-year strategic plan or from inputs to the preparation of WP&B);
- 3. Approved work programme outputs (taken from the WP&B);
- 4. Number of planned outputs for the whole biennium (taken from the WP&B);
- 5. Number of planned outputs for the year being considered (to be provided by responsible offices and officers);
- 6. Beneficiaries (to be provided by responsible offices and officers);
- 7. Location where the output will be delivered (to be provided by responsible offices and officers);
- 8. Responsible office and officer (taken from inputs to the preparation of WP&B, and to be reviewed and confirmed by responsible offices and officers);
- 9. Internal and external partners, if any (to be provided by responsible offices and officers);
- 10. Priority level (taken from the WP&B; each output is assigned a priority level ranging from 1 to 3 during the preparation of the WP&B);
- 11. Funding needed to deliver the output (to be provided by responsible offices and officers); and
- 12. Percentage of funding available (to be provided by responsible offices and officers).

Where possible, details on the projects or programmes through which various outputs are to be delivered should be provided.

The Quality Assurance Unit and the Programme Division coordinate the preparation of the AWP based on inputs from Branches and Regional Offices.

Steps and responsibilities in preparing the annual work plan

Step 1: QAU prepares a template (see template in annex 4) that includes the elements above; it fills out the template using data from the biennial work programme and budget.

Step 2: QAU sends the templates to all offices with instructions on how to fill it out and complete the required information.

Step 3: Offices return the duly filled out templates to the QAU by the deadline.

Step 4: QAU engages offices to obtain additional data, as applicable.

Step 5: QAU finalizes and issues the AWP, which is then used (i) to extract each office's own annual work plans; (ii) to extract staff work plans; and (iii) for monitoring and reporting.



2.3 Project level planning

2.3.1 RBM in Project Planning

This section of the guide responds to a staff need for better understanding of how projects are linked to the delivery of UN-Habitat's programme and subprogramme level strategic results. It links projects to work programme and strategic planning.

It is also designed to provide staff with the information they need in order to start to apply results-based Management principles to project planning, monitoring and reporting.

After reading this section of the guide, staff should be able to:

1. closely align project results to work programme outputs and strategic results

- 2. confidently apply the RBM approach throughout the project management cycle
- 3. have a common understanding of and commitment to RBM

What is the link between project objectives and strategic results?

Projects are the vehicles through which UN-Habitat delivers its work programme outputs and ultimately its strategic results, as contained in the six-year strategic plan and in the biennial strategic framework. Projects are the vehicles that create high-level agency results. Results from projects aggregate and contribute to the delivery of higher level results (work programme outputs, EAs and strategic results).

For instance, if projects are not implemented as planned to deliver work programme outputs, then UN-Habitat will be unable to deliver the global social and economic benefits outlined in the Strategic Plan.

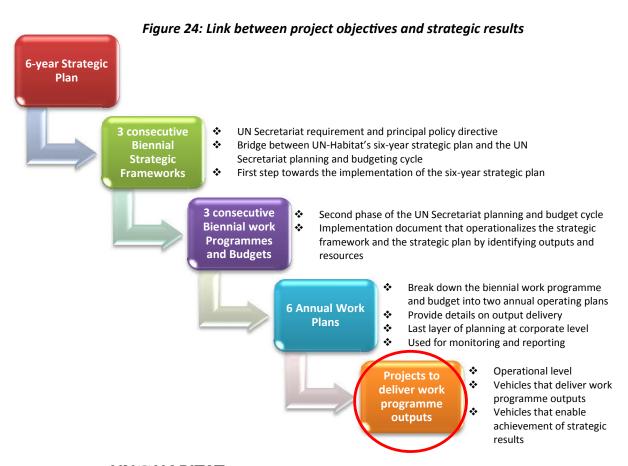
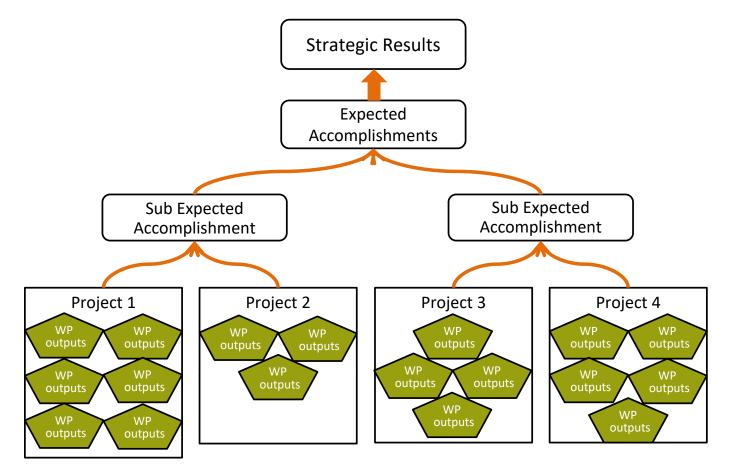




Figure 25: Delivering as One UN-Habitat: From Outputs to Expected Accomplishments



To ensure that the results at project level contribute to delivering the planned strategic results or higher results, project reviews are based on the following criteria:

- The coherence between the approved programme of work and the contents of projects
- Coherence and alignment with subprogramme level expected accomplishments,
- Collaboration and joint programming across focus areas/subprogrammes
- Relevance of projects (to beneficiaries and identified problem)
- Effectiveness (the likelihood that the proposed theory of change will deliver results, given the assumptions and identified risks)
- Feasibility and appropriateness of the intervention (likelihood of success given time & available resources)
- Technical quality of the project, feasibility and

- appropriateness of measures for managing any foreseen project risks
- Clarity of implementation arrangements in showing the distinct roles and responsibilities of, and budget allocation to partners, as well as to branches and regional offices
- Internal cooperation agreements that show what each Branch and Regional Office is responsible for, including milestones and progress reporting/ monitoring roles
- Clarity on the engagement to be undertaken with stakeholders
- Utility of the monitoring plan for tracking progress in implementation against delivery by Branches and Regional Offices
- Cost effectiveness of proposed budgets, which may be assessed on the basis of comparison with similar projects



- Utility of the project design for addressing the needs of countries, i.e., where applicable, checking the relevance of projects to country needs with the regional offices
- Potential negative environmental and social impacts of projects
- Gender, youth, human rights and pro-poor responsiveness
- Sustainability potential and approach
- Replication potential and implementation arrangements for promoting replicability
- Sustainability (likelihood that benefits will be maintained after the project)
- Horizontal integration across sub-programmes

UN-HABITAT has adopted three main RBM working tools at project level (based on best practices of lead development organizations) to make managing for results throughout the entire life-cycle of an investment or project easier for UN-HABITAT staff, partners and executing agencies: (i) the logic model (LM), (ii) the Logical Framework (logframe), which includes the Performance Measurement Framework (PMF), and (iii) the Risk Register. These tools are meant to be flexible working documents throughout the lifecycle of the investment, and can be adjusted or modified under certain circumstances.

The LM and PMF are usually at least partially completed during the planning and design stages of an investment and refined during the development of the implementation plan (this will vary depending on the type of programming in question). The risk register is completed during project design and updated on a regular basis during the project's implementation.

(a) Theory of Change and the Logic Model (LM): What is a Logic Model/Results Chain and Theory of Change?

A Theory of Change is a diagram that explains how a programme impacts on its beneficiaries. It outlines all the things that a programme does for of its beneficiaries, the ultimate impact that it aims to have on them, and

all the separate outcomes that lead to or contribute to that impact. Sometimes called a "results chain", or LM it is a depiction of the causal or logical relationships between inputs, activities, outputs and outcomes of a given policy, programme or investment.

At the core of "results thinking" is the concept of the results chain, a schematic illustration of the intended causal relationships among various elements (the inputs, activities, outputs and outcomes of a given policy, programme, or initiative) over time, including underlying assumptions. The results chain clearly shows the plausible, causal relationships among its elements, while also clarifying the various cyclical processes and feedback loops planners need to be aware of. The basic rationale is to plan from right to left by initially focusing on impacts and intended outcomes and then identifying the outputs, activities, and inputs required to achieve them. Tracking performance then goes from left to right, feeding information back to inputs and activities to make necessary adjustments and improvements, thus leading to better results.

A basic principle in results planning is to start with the intended impact and outcomes and then identify the outputs, activities and inputs required to achieve them.

The method implies a thorough analysis of the problem that needs to be solved, what changes are desired and what activities and inputs are necessary to achieve them.

Key questions are:

- What is the present situation or problem (called the undesired situation A)?
- What do we want to achieve in, for instance, 3 or 5 years (called the desired result or situation B)?
- How do we get from where we are (A) to where we want to be in 3 or 5 years (B)?
- What are the risks and assumptions in getting from A to B?
- How will we know we are succeeding in creating the change we want?



Table 9: Example of a Horizontal Project Results Chain —

Example	e of a Results (Lhain for a Uiv-	Habitat Project	
Inputs	Activities	Outputs	Outcomes	Impacts
People (staff,				
consultant's				
trainers, etc.)				
Money, Time,				
Material				

The LM is divided into six levels; inputs, activities, outputs, sub-expected accomplishments, expected accomplishments and the project objective, each of which represents a distinct step in the causal logic of a policy, programme or investment.

The bottom three levels (inputs, activities and outputs) address the *how* of an investment, while the top three levels (outcomes) constitute the actual *changes* that take place: the *development results*.

Figure 26: Example of a Vertical Project Results Chain

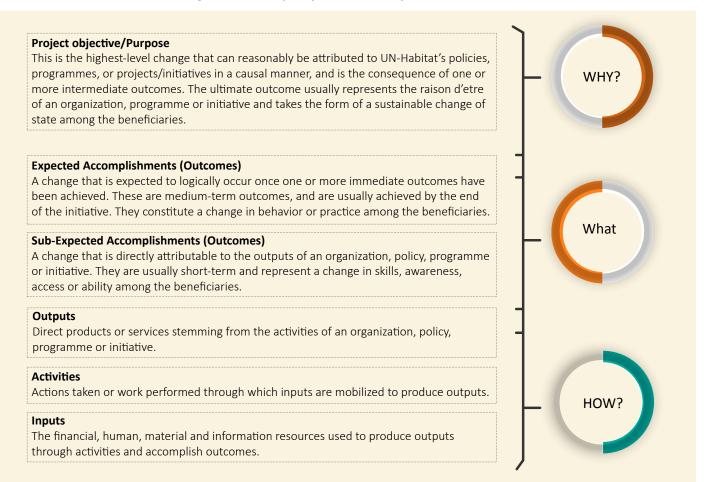
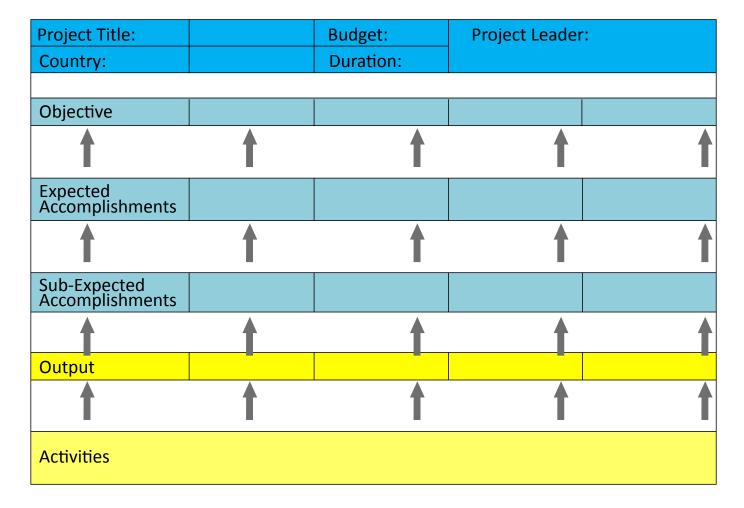




Figure 27: Logic Model as contained in the Concept note



UN-Habitat's LM template does not include inputs and starts instead at the activity level. To complete a logic model template you need to write clear and concise result statements.

Drafting or Assessing Result Statements during Planning

What is good result (EA) statement?

A result statement outlines what a policy, programme or investment is expected to achieve or contribute to. It describes the change stemming from UN-HABITAT's contribution to a development activity in cooperation with others. A statement of results should illustrate the type of change that may be expected to occur because of a specific intervention. It should be: (1) as specific as

possible, (2) realistic in relation to the time and resources available, and (3) measurable in some (qualitative or quantitative) way.



EA = Result Statements

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16

Questions to ask yourself when drafting or assessing a result statement:

- Is the statement simply worded and does it contain only one idea? The Logic Model is a snapshot of your investment; the result statements should be clearly stated and easy to understand. Would the public be able to understand this result statement? Does the statement contain more than one idea? If so, can it be split into separate statements?
- Was the result statement drafted in an inclusive, participatory fashion? RBM is a participatory process. The process and methodology for the selection of outcomes and drafting of result statements should be as participatory as possible, involving a wide representation of key stakeholders. Ensuring that all voices are heard and that expected outcomes are shared with all involved is essential. Were key stakeholders, including UN-Habitat analysts and specialists, partners, and implementers involved? Make sure that the design has mechanisms in place to ensure that leaders, decision-makers, women and men, minorities and direct beneficiaries are involved. EAs are realized through use of outputs by others not by UN-Habitat. By NOT defining expected accomplishments with those that are intended to generate them, we greatly reduce the likelihood of a policy, programme or project's success.

A. Stakeholder Involvement

- Has a stakeholder analysis been done?
- Has adequate consultation been undertaken?
- Is there participation of both male and female stakeholders?
- Are there mechanisms for participation in the design and decision making throughout the life cycle of the investment?

B. Gender/Human Rights/Youth Analysis

- Are the results truly sensitive to cross-cutting issues?
- Do they address the concerns, priorities and needs of women and men, girls and boys?

C. Environmental Analysis

- Have environmental implications been taken into consideration?
- Will results be sustainable?
- Does the result statement include an adjective and does it describe:
 - (i) What? Does the result statement describe the type of change expected using an adjective that indicates action and direction (increased, improved, strengthened, reduced, enhanced)?
 - (ii) Who? Does the result statement specify the target population or beneficiary of the intervention? Does it specify the unit of change (individual, organization, group)?
 - (iii) Where? Does it specify the location or site where the result will occur?
 - (iv) Can the result be **measured?** Can the result be measured by either quantitative or qualitative performance indicators? Can performance indicators that will measure the result be easily found, collected and analyzed?
 - (v) Is the result **realistic** and **achievable?** Is the result within the scope of the project's control or sphere of influence? Is there an adequate balance between the time and resources allocated and the expected reach and depth of change expected? Are the results at the immediate and intermediate level achievable within the funding levels and time period for the project? Is the result (immediate and intermediate outcome level) achievable during the life cycle of the investment? In other words, can the expected changes (immediate and intermediate outcome level) be realistically achieved by the end of the intervention?



(vi) Is the result **relevant?** Does the result reflect country ownership and needs, and will it support higher-level development change in the strategies or programmes it supports? Is the result aligned to the country partners' national Development Strategy? Does the result reflect needs and priorities among the beneficiaries that were identified in a participatory fashion? Does the result take into account the culture of the local population? Is the result aligned to UN-Habitat's programme and corporate priorities?

Examples of Weak and Strong Results Statements

Result	Issue	Is it a strong result statement?
Increased participation	Does not identify for whom or where the expected change will occur.	Not strong
Increased public participation of men and women in Nairobi county's governance (in Kenya)		Strong
More women can have access to basic services	 Doesn't use an adjective that clearly indicates action and direction of change. (e.g. increased, improved) Does not identify where the expected change will occur. 	Not strong
Improved access to basic services for women in Nepal		Strong
Rehabilitation in Country X	 Does not specify direction of expected change, nor who, specifically, it will affect. Not achievable 	Not strong
Increased resilience to climate change in Country X		Strong



Developing a logic model (LM) at project level

Here are the steps that need to be taken to create a logic model; the order in which they are undertaken will depend on the status, scope and size of the investment/project:

Step 1: Identify ultimate beneficiaries, intermediaries, and stakeholders.

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17

Useful Definitions

Beneficiary: The set of individuals and/or organizations that experience the change of state at the ultimate outcome level of a LM, although they could also be targeted in the immediate and intermediate outcome levels. Also referred to as "reach" or "target population"

Intermediary: An individual, group, institution or government that is not the ultimate beneficiary of an investment but is the target of select activities that will lead, via the associated immediate and intermediate outcomes, to a change in state (ultimate outcome) for the ultimate beneficiaries

Stakeholder: An individual, group, institution, or government with an interest or concern, either economic, societal, or environmental, in a particular measure, proposal, or event

Partner: The individuals and/or organizations that collaborate to achieve mutually agreed upon expected results

Implementing Partner (IP): Any organization or agency, whether governmental, non-governmental, inter-governmental, specialized, multilateral or private sector, which implements an investment (project or programme) for which UN-Habitat provides funding

Step 2: Ensure that the right people (branch, environmental, governance and gender specialists, executing agency, local stakeholders, beneficiaries etc.) are at the table; remember that this is a participatory

exercise. This can be done via brainstorming, focus groups, meetings, consultative emails, etc. (Please note that the "right people" may vary based on the type of programming). For directive programming, ensure that country partner organizations, beneficiaries and stakeholders (including women, men and children) are at the table during the design/development of the LM. For responsive programming, ensure that the right UN-Habitat team is at the table during the review and assessment of the LM. The review team should include the development officer or project team lead, branch environmental, governance and gender specialists, and other sector specialists and performance management advisors. As part of your due diligence, you should also validate the LM through a participatory approach.

Step 3: Identify the project's objective. Start by identifying the problem the investment intends to address. The ultimate objective of an investment is its raison d'etre; the highest level of change we want to see to solve that problem. Make sure to analyze the context (cultural, socio-political, economic, and environmental) surrounding the problem.

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18

Example of a project objective

Problem: Poor municipal planning in central counties in El Salvador due to lack of planning capacity.

The project's objective or strategic result is the highest level of change that can be achieved, a change of state for the target population.

Project objective: Improved municipal planning in central El Salvador.

Step 4: Identify main activities for both UN-Habitat and partners. Brainstorm the main or key activities of the investment, making sure to address contributing contextual factors. If possible, group activities into broad categories or work-packages to avoid duplication.

Step 5: Identify outputs for each activity package.

Step 6: Make sure activity statements begin with a verb in the imperative form and that outputs are written as



completed actions. Outputs are usually things that are bought, produced or generated with project money and that can be counted.

Step 7: Identify logical EA results for immediate and intermediate levels.

Step 8: A logic model is like a pyramid; it gets smaller the closer you move toward the highest level. Three or four changes at the immediate level (changes in access, ability, awareness) may lead to only two changes at the intermediate level (practice, behavior). Similarly, two changes at the intermediate level will lead to only one change at the ultimate level (change in state). The logic model template is flexible and will allow you to change the number of boxes at each level to reflect the logic of your investment. Make sure the number of EA decreases as you move upwards towards the Project's objective. Try also to have only one or two EAs per box.

BOX **19**

Example of activities and outputs

To achieve the project's objective "improved municipal planning in central El Salvador", stakeholders in country X (local authorities, governors, mayors, local community organizations etc.), and UN-Habitat staff have decided to concentrate on three groups of activities; training planning staff, revising old plans and study tours to well-planned cities.

Activities:

- Develop and deliver training to planning staff in central El Salvador.
- Study tours to well organized and planned cities.
- Revision of existing city plans.

Outputs:

- Wells built in region Y.
- Training on well maintenance developed and delivered to people living in region Y.
- Regional health centres in region Y rehabilitated and staffed.

BOX Example of sub-expected accomplishments and expected accomplishments

Immediate level results (sub-EAs) flow logically from the activities and outputs; they represent the change brought about by the existence of goods and/or services created through the activities. Thus, in access to basic services for instance, the provision of wells equals increased access to clean water. Intermediate level results (sub-EAs) represent a change in behavior. They are the next logical step from the immediate level and lead logically to the ultimate outcome.

• Increased access to clean drinking water for people living in region Y.

Sub-EAs (depict a change in access, ability or skills):

- Increased ability to maintain wells among people living in region Y.
- Increased access to basic services for people living in region Y.

EAs (depict a change in behavior or practice):

- Increased use of clean drinking water by people living in region Y.
- Increased use of basic services by people living in region Y.

Step 9: Identify linkages. Check back and forth through the levels (from activities to project objective and from project objective to activities) to make sure everything flows in a logical manner. Make sure there is nothing in your EAs that you do not have an activity to support. Similarly, make sure that all your activities contribute to the EAs listed.

Step 10: Validate with stakeholders/partners. Share the draft logic model with colleagues, branch specialists, stakeholders, and partners, etc., to ensure that the EAs meet their needs and that the investment will actually work the way you have envisioned it.

Step 11: Where required, write the narrative text to illustrate linkages and explain the causality of the logic model. The narrative should speak to the arrows in the logic model: the causal relationship between the levels and HOW we see the proposed activities leading to the expected changes. The most compelling narratives are those that are succinct and use brief, concrete, evidence-based examples to support these explanations.



Table 10: Concrete example of a Logic Model					
Project Objective	Improved health among IDPs living in region Y of country X				
Expected Accomplishment	Increased use of clean drinking water by IDPs living in region Y.		Increased use of health services by IDPs living in region Y.		
Sub-Expected Accomplishment (Immediate Outcomes)	Increased access to clean drinking water for IDPs living in region Y.	Increased ability to maintain wells among IDPs living in region Y.	Increased access to basic services for IDPs living in region Y.		
Outputs	X number of wells built and completed in region Y.	X number of men and women IDPs living in region Y trained on well maintenance.	X number of regional health centres in region Y rehabilitated and staffed.		
Activities	Building Wells in region Y.	Developing and delivering training on well maintenance for people living in region Y.	Rehabilitating and staffing regional health centres in region Y.		

(b) Performance measurement framework What is Performance Measurement for a project?

Project performance aggregates to contribute to subprogramme results or EAs, and subprogramme EAs in turn, contribute to strategic results. It is important to establish a structured plan for the collection and analysis of performance information. At UN-Habitat, the performance measurement framework (PMF), commonly called the logframe, is the RBM tool used for this purpose at project level.

Why Performance Measurement?

Performance measurement is undertaken on a continuous basis during the implementation of investments so as to empower managers and stakeholder with "real-time" information (use of resources, extent of reach, and progress towards the achievement of outputs and outcomes). This helps identify strengths, weaknesses and problems as they occur, and enables project managers to take timely corrective action during the investment's life cycle. This in turn increases the chances of achieving the expected results.

Monitoring provides accurate and up-to-date information on progress:

- To provide regular feedback and early indications of progress, or lack thereof;
- To track the actual performance or situation against what was planned/expected.

Monitoring is for the purpose of learning and decisionmaking:

- To detect early signs of potential problems and success areas;
- To take corrective action;
- To improve the design and performance of ongoing programmes;
- To generate knowledge about what works and what does not.

Monitoring serves to improve accountability:

- To ensure that a programme or process continues to be relevant, and is achieving results as intended;
- To make an overall judgement about the effectiveness of interventions.

What is a PMF or Project Logframe?

A performance measurement framework is a plan to systematically collect relevant data over the lifetime of an investment to assess and demonstrate progress made in achieving expected results. It documents the major elements of the monitoring system and ensures that performance information is collected on a regular basis. It also contains information on baselines, targets, and responsibility for data collection.

As with the LM, the PMF should be developed and/or assessed in a participatory fashion, with the inclusion of local partners, beneficiaries, stakeholders and relevant UN-Habitat staff. UN-Habitat has a standard PMF Template.



			— Table 11:	Performance	Measurement	Framework ⁻	Template —
Title:		No.:			Team leader:		
Country/region institution:		Budget:			Duration:		
Expected result	Indicators of Results	Baseline data for indicator	Targets	Data sources to verify indicator	Data collection methods	Frequency	Responsibility
Project Objective (long term)							
Project EAs (Intermediate Outcomes)							
Project Sub-EAS (Immediate Outcomes)							
Outputs							

The PMF is divided into eight columns: expected results, indicators, baseline data, targets, data collection methods, frequency and responsibility. To complete a PMF you will need to fill in each of the columns accurately.

Definitions:

Expected results column:

The expected results column is divided into four rows, one for each of the outputs, Sub-EAs (immediate outcomes), EAs or intermediate outcomes and project objective/goal. To complete this column, simply cut and paste the result statements from your LM into the appropriate row.

Performance indicators:

Performance indicators are what you will use to measure actual results. A performance indicator is a quantitative or qualitative unit of measurement that specifies what is to be measured along a scale or dimension, but is neutral; it does not indicate a direction or change nor does it embed a target. It is important that stakeholders agree a priori on the indicators that will be used to measure the performance of the investment.

Quantitative performance indicators are discrete measures such as number, frequency, percentile, and ratio, (e.g., number of human rights violations, ratio of women-to-men in decision-making positions in government).

Qualitative performance indicators are measures of an individual or group's judgment and/or perception of the presence or absence of specific conditions, the quality of something, or an opinion about something (e.g., client opinion of the timeliness of service).

Qualitative indicators can be expressed concretely when used to report on achievement of results. They should convey specific information that shows progress towards results and is useful for project management and planning.



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21

Example of a qualitative performance indicator

Our investment has, as one of its sub-EAs (immediate outcomes), "Increased ability to maintain wells among people living in region Y." Through consultation, it was decided that this would be measured by tracking "confidence of women and men who took training in their ability to maintain wells." The pre-training survey of women and men participating in the training showed that 3% felt that they were capable of maintaining wells. A survey conducted directly after training showed that 80% of participants felt that they were capable of maintaining the wells and a follow-up survey at the midpoint of the investment showed that 75% of women and men who received training still felt that they were capable of maintaining the wells in their communities.

For more on criteria for strong performance indicators see section 2.2.2, page 47.

Steps to complete a PMF or logframe

The development of the PMF starts at the planning and design phase. Remember, some elements of the PMF may be established after or during project implementation (ex: collection of baseline data and setting of some targets).

Step 1: Ensure that the information for your PMF is developed in a participatory fashion, including key local stakeholders, partners, beneficiaries and the appropriate UN-Habitat specialists.

Step 2: Cut and paste the objective, expected accomplishments, sub-expected accomplishments and outputs from your Concept LM into the appropriate boxes in the PMF template.

Step 3: Establish performance indicators for your expected outcomes and outputs and enter the performance indicators for the final, intermediate and immediate outcomes and outputs. Validate and **check the quality** of your performance indicators. Do they have: *validity, reliability, sensitivity, utility, and affordability?*

Step 4: Establish the "Data source for verifying

indicator" and "Data collection method" for your chosen performance indicators. Look to include **multiple lines of evidence** wherever possible to increase the reliability of your performance data.

Step 5: Fill in the "Frequency" and "Responsibility" columns for each performance indicator. Decide whether information on each performance indicator needs to be collected on an ongoing basis as part of performance monitoring, or periodically (quarterly, biannually or annually?

Step 6: Fill in baseline data where it exists. If reliable historical data on your performance indicators exists (in the form of government data, information from a previous phase of the investment or information gathered during a needs analysis), then it should be used; otherwise you will have to collect **a set of baseline data at the first opportunity** (within the first 6-12 months after commencement of project).

If you will be gathering the data later, indicate this in your PMF with a statement like: "Baseline data to be collected at investment inception" or "Data to be provided by the Implementing organization after communities identified." If possible set the date by when this will be completed (this should be done within the first year).

Step 7: Establish realistic targets for each indicator in relation to the baseline data you have identified for year 1, 2, 3 etc.). This sets the expectations for performance over a fixed period of time. Key targets based on gaps and priorities identified during initial analysis are necessary to establish budgets and allocate resources, and play an important role in project planning and design. Others may be established later, once a baseline study has been conducted.

What are project assumptions?

Assumptions refer to the positive conditions that are necessary to ensure that:

- planned activities will produce the expected results; and
- the logical, cause-effect relationship between different results will occur as expected.

Implicit and explicit assumptions underlying projects need to be identified and assessed in terms of their validity. Assumptions that turn out to be incorrect need



to be addressed; although some can turn out to be project 'killer' assumptions. Assumptions that may turn out to be unfounded include:

- that governments will enforce agreed upon policies;
- that the private sector will participate;
- that technical alternatives function as thought;
- that development environment trade-offs can be reconciled;
- that the price of fossil fuels will remain high;
- that human expansion into forests or reserves can be controlled; and many more

External assumptions are closely related to impact drivers, except that they are judged to be largely beyond the power of the project to influence or address. The critical assumptions that have already been identified in project documentation may well be a useful starting point for identifying the assumptions likely to influence the outcomes-impacts pathways. Achieving results depends on whether or not the assumptions you make remain or prove to be true. Incorrect assumptions at any stage of the results chain can become an obstacle to achieving the expected results.

BOX **22**

Examples of external assumptions

- The project assumes that the local government will keep its promise of allocating a budget to revise plans. We assume that trained municipal staff will stay within their respective municipality for at least two years after the end of the project.
- We assume that the project will have a second phase after the end of the first phase of the project.

(c) Risk register

What is a project risk?

- 1. Certainty
- 2. Uncertainty
- 3. The unknown
- 4. A surprise
- 5. Danger
- 6. Something that can go wrong

- 7. Failure to get things right
- 8. A missed opportunity

Definitions:

Risk

Risk is the chance of something happening that will have a negative impact on the project's objectives. Risk appetite is the amount of risk —broadly speaking—an entity is willing to accept in pursuit of value. Use quantitative or qualitative terms (e.g., earnings risk vs. reputation risk), and consider risk tolerance (range of acceptable variation).

Risk analysis

Risk analysis identifies how likely it is that the conditions necessary to achieve the expected results will not be present. Risk analysis allows you to consider strategies to manage the risks you identify. Some external factors may be beyond your control, but other factors will be manageable with slight adjustments in the project or approach.

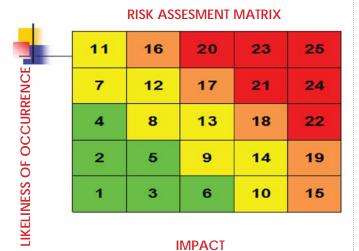
It is recommended that stakeholders take part in the risk analysis as they offer different perspectives and may have key information about the context. The risks associated with achieving outputs are generally low because project managers can make changes as needed to ensure that results are achieved.

Risk Register

A risk register lists the most important risks, the results of their analysis and a summary of risk response strategies. Information on the status of the risk is included over a regular reporting schedule. The risk register should be continuously updated and reviewed throughout the course of a project. Risk is measured in terms of consequences (or impact) and likelihood (or probability).



Figure 28: Risk assessment matrix



Integrated Risk Management at UN-Habitat

Integrated Risk Management is a continuous, proactive and systematic process to understand, manage and communicate risk across the organization. Other government departments, donors and private sector companies use similar frameworks.

Elements of integrated risk management:

- 1. Development of a project risk profile
- 2. Establishment of an integrated risk management framework
- 3. Practicing integrating risk management at all levels
- 4. Ensuring continuous risk management learning

Integrated risk management supports a consistent approach to risk management across the Agency both vertically and horizontally. UN-Habitat is recognized as working in high-risk environments. By providing a common and consistent platform, we can reduce uncertainty for staff and managers and allow them to better understand and manage their risks. As a result, they will be in a position to make informed decisions and take responsible risks where appropriate.

Key objectives of the risk management in projects:

Integrated risk management helps UN-Habitat strengthen its decision making process in managing risks that are within its control, and positions the agency to better respond to risks that are beyond its control. Specific objectives are:

- 1. Develop a systematic approach to risk management
- 2. Contribute to a risk-aware culture
- 3. Propose simpler, more effective practices
- 4. Provide an on-going scan of key risks
- 5. Communicate the benefits of risk management to all stakeholders
- 6. Ensure that the framework for managing risk continues to remain appropriate

Figure 29: Categories of risk in UN-Habitat

Categories of risk

- Strategic
- Financial
- Operational
- People
- Reputation
- Regulatory
- Information

Figure 30: Basic Risk Model (adapted from World Bank)



BOX (23) Useful Risk Terminology

Risk refers to the effect of uncertainty on results.

Risk Impact is the effect of the risk on the achievement of results.

Risk Likelihood is the perceived probability of occurrence of an event or circumstance.

Risk level is impact multiplied by likelihood.

Risk Response is the plan to manage risk (by avoiding, reducing, sharing, transferring or accepting it).

Risk Owner is the person who owns the process of coordinating, responding to and gathering information about the specific risk as opposed to the person who enacts the controls. Stated otherwise, it is the person or entity with the accountability and authority to resolve a risk incident.

Operational Risk is the potential impact on UN-Habitat's ability to operate effectively or efficiently.

Financial Risk is the potential impact on the ability to properly protect public funds.

Development Risk is the potential impact on the ability to achieve expected development results.

Reputation Risk is the potential impact arising from a reduction in UN-Habitat's reputation, and in stakeholder confidence in the Agency's ability to fulfill its mandate.

UN-Habitat uses a standardized Risk Register Template (see table 13)

Steps to complete a risk register:

Step 1: Under "Risk," write down the key risks to the project. There should be at least two risks each for the categories operational, financial and development risks, and at least one risk in the category of reputational risk.

Step 2: For each risk selected, establish the current risk level, i.e. the intensity of the risk. A risk map or some other tool may be useful for determining the level. Identify the risk on the four-point scale below, and apply the correct colour.

Step 3: Over a regular monitoring schedule, re-rate the risk and apply the colour and so on. Monitoring periods will vary according to the project, but a typical period is three months.

Step 4: Indicate if the risk is the same as one found in the programme risk assessment (if one exists).

Step 5: A risk is an uncertainty about a result. Indicate the level of the results as found on your logic model.

Step 6: Give a brief summary of the risk response strategies that will be used to manage the risk or to prevent a risk event.

Step 7: Indicate the risk owner. If possible, there should only be one person per box. The owner will vary



according to who is the person that actually has to deal with a given risk event.

Risk Monitoring: In the real world of development, the risk profile will change constantly during the life of the project. As risks arise or disappear, change the corresponding risk definitions and risk level. Also track the use and effectiveness of the risk response strategies, and change the "Risk Response" column as necessary.

NB: Please do not hesitate to rate risks as "Red" if that is their real level

Table 12: Four-point rating scale —

			•	
Criteria:	Very Low (1)	Low (2)	High (3)	Very High (4)
Potential impact on UN-HABITAT ability to meet objectives	Routine procedures sufficient to deal with consequences	Could threaten goals and objectives, and thus may require monitoring	Would threaten goals and objectives, and thus may require review	Would prevent achievement of goals and objectives
Likelihood of occurrence	Very unlikely	unlikely	likely	Very likely

Table 13: Risk Register or Matrix (risk management measures include prevention, reduction, acceptance, contingency, outsourcing risk and risk ownership)

Anticipated <i>Risks</i>	Description of Consequence	Probability	Consequence	Risk Factor	Mitigation	Responsible	Date
Partner Operational Risk: (e.g. Sound technical and managerial capacity of institutions and other project partners Likelihood of Incompetence, poor monitoring and evaluation systems, process efficiency, likelihood of institutional/ execution capacity, partnerships failing to deliver, leadership and management, stakeholder relations, competition, accountability, implementation arrangements, values, code of conduct, new unexpected regulations, policies, e.g., critical policies or legislation fails to pass or progress in the legislative process							
Partner Financial Risks: Likelihood of low financial commitment from key partners, frauds, poor controls							
Political Stability: (Likelihood of corruption, government commitment, political will, political instability, change in government, armed conflict, instability)							
Economic Social/Cultural: (social, cultural and/or economic issues that may affect project performance and results)							
Environmental Conditions Factors(Likelihood of natural disasters: storms, flooding, earthquakes, pollution incidents, safety/security, etc.							
UN-Habitat's Reputation Risk: Likelihood that UN-Habitat's image and reputation in the eyes of stakeholders could be damaged by the failure or involvement in this project.							

Probability X consequence= Risk factor







Results-Based Monitoring and Reporting



3.1 General concept

onitoring and reporting on programme/ project implementation and performance are key elements of results-based management, and components of the programme/project management cycle. Results-based management is concerned with both the achievement of results and the evidence-based measurement of these achievements. This section of the Handbook seeks to promote a common understanding of the key concepts, tools, steps and responsibilities for results based monitoring and reporting on the six-year strategic plan, the biennial work programme and budget, as well as projects in UN-Habitat. Its emphasis is on how to implement results-based monitoring and reporting at corporate or programme level.

Results-based monitoring and reporting are mandated functions of the United Nations Secretariat and the Governing Council of UN-Habitat. UN-Habitat monitors and reports progress on the implementation of the six-year strategic plan and on the biennial programme of work and budget, in response to various mandates and resolutions, including:

- 1. The Secretary-General's bulletin of 19 April 2000 entitled "Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation" (ST/SGB/2000/8) and updated in 2016 as ST/SGB/2016/6.
- 2. UN-Habitat Governing Council resolutions 22/7 April 2009, 23/11 April 2011, 24/15 of April, 2013 and 25/3 of April 2015 that request the Executive Director to report regularly to Member States through the Committee of Permanent Representatives and to the Governing Council, progress on the implementation of the strategic plan and the work programme and budget.

3.1.1 What is results-based monitoring?

Monitoring of programme/project implementation is an integral part of results-based planning and budgeting

practiced in the United Nations. Monitoring may be defined as a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives (planned results), and progress in the use of allocated funds (DAC/OECD).

Results based monitoring involves two main levels (figure 31):

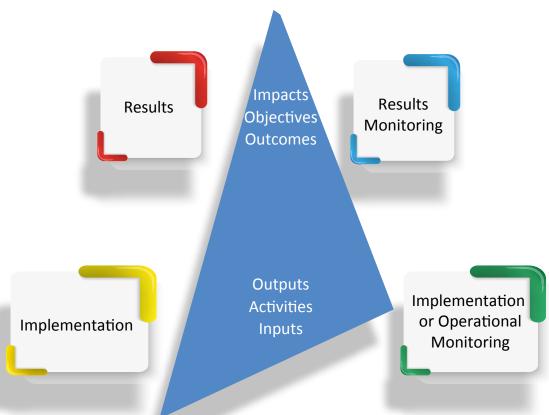
- 1. Tracking implementation or operational monitoring
- 2. Tracking results or results monitoring

In order to track both implementation and results, we must measure performance and record results. Tracking progress in implementation of a programme or project entails tracking compliance with the implementation plan. It focuses on inputs, activities and delivery of outputs. Results monitoring on the other hand focuses on progress towards achievement of the planned results.

Results-based monitoring uses indicators to track actual results, against planned results, and provide periodic information on progress towards achievement of expected results. It provides information on where an intervention is at any given time relative to targets and expected results.



Figure 31: Levels of monitoring



In line with results-based planning, which applies SMART criteria in the definition of the strategic results/objectives and performance indicators, the criteria for the monitoring systems adopted by UN-Habitat must also be SMART. The programme performance plan for the six-year plan 2014-2019 reflects the application of these basic principles for results-based monitoring (annex 7- an example for one Expected Accomplishment)

- 1. **S**pecific: The monitoring system captures the essence of the desired outcome (results) by clearly relating results to the achievement of specific objectives.
- 2. **M**easurable: The monitoring systems can measure whether the expected change occurred.
- 3. Attainable: The monitoring system identifies what changes occurred as a result of an intervention. Attribution requires that changes in the development issue can be linked to the intervention.
- Relevant and Results-oriented: The monitoring system establishes levels of performance that are likely to be achieved in a practical manner.

- Will programme participants, partners, funders, beneficiaries view the outcome as meaningful or beneficial? Will they value the desired outcome as a reflection of their expectations?
- 5. **T**ime-Bound: Results are never open-ended. The monitoring system allows progress to be tracked at the desired frequency for the specified period and reflects expectations of stakeholders.



Table 14: Key Aspects of	of Programme	Monitoring -
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Key Aspects of Programme Monitoring		
Element	Description	
Frequency	Periodic, regular	
Main action	Keeping track	
Basic purpose	To improve progress in implementation and appropriately adjust work plan	
Time frame	Short term	
Focus in programme	Inputs, process, outputs, expected accomplishments/outcomes	
References for comparison	Work plans, performance targets and reference indicators (this may include early warning indicators for problem areas)	
Information sources	Routine or sentinel systems, field observation, progress reports, rapid appraisal	
Undertaken by	Programme managers, community workers, primary stakeholders, supervisors, donors	
Reporting to	Management, governing bodies, beneficiaries, , primary stakeholders, donors	

The purpose of monitoring is to provide early information on progress or lack of progress towards achieving the intended objectives, outcomes and outputs. By tracking progress, monitoring helps identify implementation issues that warrant decisions at different levels of management. In this way, it provides regular feedback and progress on performance to management and stakeholders that facilitate decision-making and learning for programme improvement. Information from monitoring serves as a critical input for evaluation.

3.1.2 What is results-based reporting?

Results-based reporting refers to the process of analyzing and interpreting programme/project performance data collected during monitoring, and communicating progress on programme implementation and achievement of results to key stakeholders such as partners, donors, governing bodies, beneficiaries and management, using various relevant reporting formats.

Application of the results-based management approach in reporting on the strategic plan and biennial work programme and budget involves: (i) describing the overall progress towards achievement of expected accomplishments and strategic level results for a specific period, using the indicators of achievement; (ii) identifying the actual result/changes achieved during the reporting period; (iii) analyzing and explaining the difference between what was expected and what was actually achieved by making comparisons between what was achieved against the baselines and set targets for the reporting period; and (iv) identifying any changes to be made during the next period in order to increase the likelihood of achieving the expected results.

Data collection, analysis and interpretation are essential for monitoring programme/project implementation, and tracking and reporting results. Based on the expectations set by the indicators of achievement, data collection plans and methodology are put in place during the planning stage. Data analysis and interpretation entails systematically providing answers to the following questions:

- 1. What is the overall picture/change the data is showing?
- 2. What are the trends and conclusions that can be drawn? Report results in comparison to earlier achievements and to your baseline and targets.
- 3. Can the conclusion drawn be verified? Use the most important and relevant data and findings from evaluations to support performance reporting.



Monitoring reports provide the means for regular feedback and early indications of progress (or lack thereof) in achievement of intended results, which facilitates decision-making and learning for programme/ project improvement. Information from monitoring also serves as a critical input to evaluation.

The Purpose of monitoring and reporting in UN-Habitat is to:

 Promote accountability for the achievement of objectives to governing bodies, donors, partners, beneficiaries and other stakeholders through the annual reports on the implementation of the strategic plan, programme performance reports on the biennial work programme and budget, as well as progress reports on project implementation;

- Provide information for decision making to management, governing bodies, donors and other stakeholders to improve the performance of the organization;
- 3. Prepare the Secretary General's programme performance reports to the General Assembly (midbiennium and end of each biennium);
- 4. Provide evidence-based programme performance information that is credible, reliable and useful, and is critical for evaluation;
- 5. Provide information (particularly results monitoring) for advocacy to change policies or programmes;
- 6. Form the basis for knowledge sharing, reflection, and learning from successes and best practices, as well failures, to make future programming and implementation more effective.

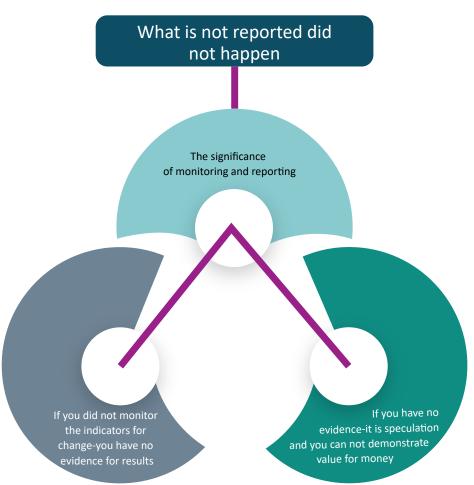


Figure 32: The Significance of Monitoring and Reporting





Monitoring and reporting for results at strategic and programme levels

he strategic results that UN-Habitat seeks to achieve are articulated in the three key planning documents which are aligned: the six-year strategic plan, the biennial strategic framework and the biennial work programme and budget. As explained in the previous chapter, the six-year strategic plan is implemented through three consecutive biennial work programmes and budgets. For example, the 2014-2019 strategic plan will be implemented during the 2014-2015, 2016-2017 and 2018-2019 biennial work programmes and budgets. Preparation for results-based monitoring and reporting on the programme results takes place during the planning process, when the results and the corresponding performance indicators that measure them are formulated, as explained in Part 2 of this Guide.

3.2.1 Monitoring and reporting framework for the strategic plan and the biennial work programme and budget

Results based monitoring and reporting requires a structured system or framework for the collection and

analysis of performance information. A performance measurement framework is a plan to systematically collect relevant data over the time frame of the planned programme, to track and demonstrate progress made towards achieving expected results. It documents the major elements of the monitoring system, (see also page 78) and ensures that performance information is collected on a regular basis. It also contains information on baseline, targets, and the responsibility for data collection.

In UN-Habitat, the framework for measuring performance in the strategic plan and biennial work programme and budget comprises the results framework and the performance measurement plan, as well as the strategic framework. These frameworks therefore provide the basis for results-based monitoring and reporting and overall programme performance management for the organization. These main frameworks are accompanied by various tools that support the collection and analysis of the programme performance data as explained in subsequent sections under monitoring and reporting on the strategic plan and biennial work programme and budget. Table 15 shows the major tools that are used in monitoring and reporting on the strategic plan and biennial work programme and budget, and some aspects also apply to project level.

Table 15: Tools for programme performance monitoring, data collection and analysis -

Strategic planning documents	Tools for programme monitoring, performance data collection and analysis
Six-year Strategic PlanResults framework for the six-year strategic plan	Performance measurement plan for the strategic planIndicator data-sheets
Strategic framework for the biennial work programme Picerial Work Programme and Product Picerial Work Programme P	Reporting templates
Biennial Work Programme and BudgetAnnual Work Plans	 Logical Framework of the work programme and budget in IMDIS PAAS for project implementation monitoring



3.2.2 Monitoring and Reporting on the Implementation of the Six-year Strategic Plan

Monitoring the implementation of the strategic plan

In order to assess progress made in implementation of its six year strategic plan, UN-Habitat undertakes results-based monitoring of its programme performance. The results framework for the strategic plan defines "what to monitor", and the performance measurement plan describes "how to monitor" the implementation and performance of the strategic plan. The two documents together with other accompanying tools constitute the main monitoring framework and system for tracking progress on the implementation of the strategic plan. Monitoring the implementation of the strategic plan entails tracking these different levels:

- (a) Overall strategic results: Monitoring at this level entails assessment of higher level indicators (such as the percentage of urban population with access to adequate housing), through surveys and strategic impact evaluations. Performance information should be collected at least once during the six-year period of the strategic plan. As the performance information required for this level of results is largely dependent on surveys, censuses and studies carried out at national, regional and global levels by different institutions, the responsibility for ensuring identification and access to the required sources should be at corporate level. This should include the independent evaluation unit, directors and branch coordinators.
- (b) Focus area strategic results are monitored based on performance data on indicators collected at least once per biennium. It also includes the documentation of results statements tracked annually during the collection of programme performance information. This information is then used as the basis for external reviews and evaluations to assess UN-Habitat's performance at the strategic results level. Branch coordinators and regional directors are responsible for monitoring the focus area strategic results noting the contribution of

UN-Habitat and that of partners.

- (c) Expected accomplishments: Monitoring entails annual collection of data on indicators of achievement at expected accomplishment level. Most indicators are quantitative, with specified variables to be measured and data collected as per the defined frequency in the Programme Performance Plan. Subprogramme coordinators have the overall responsibility for monitoring progress towards expected accomplishments, with the support of Unit Heads and RBM Champions (e.g., number of partner cities that prepared local economic development plans, and number of partner cities that set priorities based on local economic assessment), by collecting indicator data using data sheets once a year. This information is also recorded in IMDIS, which has provision for six-monthly updates of interim or estimate values. Analysis of the data collected is done annually for the preparation of the annual report and also every two years at the end of every biennium. Qualitative information relevant to the expected accomplishment is also captured as results statements in the annual progress report and as accomplishment accounts statements in IMDIS. Findings from evaluations carried out during the reporting period, on the performance of the respective focus areas, also provide valuable information to corroborate monitoring information that is largely selfassessment.
- **(d) Outputs:** Monitoring implementation of outputs that contribute to the achievement of the strategic plan results is also part of the monitoring of the implementation of the work programme and budget, because they are aligned. This is a continuous process undertaken by project managers at all levels in the organization as explained under project level monitoring and monitoring of the work programme and budget using PAAS and IMDIS.

Reporting on the implementation of the strategic plan

Reporting on the implementation of the six-year strategic plan is a requirement which is internal to UN-Habitat. The annual progress report is mandated by the Governing Council (GC) of UN-Habitat through its resolutions, for example, the **Strategic plan for 2014**-



2019 and the work programme and budget of the United Nations Human Settlements Programme for the biennium 2016-2017 "calls upon the Executive Director to report annually to Member States and, in consultation with the Committee of Permanent Representatives, to the Governing Council at its twenty-sixth session on progress made in resource mobilization, outcome-level performance, the implementation of the strategic plan and the work programme and budget, including evaluation in line with the results-based Management framework" (Resolution GC/25/3 of April 2015).

As the strategic plan is implemented through three successive biennial work programmes and budgets, the annual report includes progress made on the implementation of the work programme, while also capturing the cumulated progress in the implementation of the strategic plan through the programme

performance indicators.

Since each of the subprogrammes/focus areas is implemented jointly by regional offices and thematic branches in a matrix fashion, the performance information for the report is provided by the branches, regional and country offices following guidelines provided by the Quality Assurance Unit.

Reporting on the implementation of the strategic plan follows results-based principles and should cover the major achievements in relation to the strategic results: progress on indicators of achievement measured against targets; results achieved at expected accomplishment level; resource utilization rates compared with budgets/allocations, and explanation for any variance. Reporting on UN-Habitat's results should be guided by the following *principles of good results-based reporting:*

Table 16: Principles of good results-based reporting

Principle 1: Focus on outcomes/results: explain critical aspects of performance and set them in context

- Clearly present achievements: The results statements should be short and supported by factual evidence to determine progress towards achieving UN-Habitat strategic results.
- Briefly describe delivery mechanisms (such as technical assistance, training, advocacy platforms, normative tools such as guidelines, etc.), indicating how they contributed to change and UN-Habitat's role in that change.
- Where possible, use numerical comparisons and trends.
- Discuss key challenges, risks and opportunities, and their effect on performance during the reporting period

Principle 2: Present credible, reliable and balanced information

- Provide factual and independently verifiable performance information, as found in monitoring data and evaluations.
- Use comparisons and trends.

Principle 3: Associate performance with plans, priorities, and expected results, explain changes, and discuss lessons learned

- Link performance with plans (strategic framework, work programme and project documents)
- Demonstrate links to UN-Habitat's six-year strategic plan focus areas, work programme, expected accomplishments, etc.
- Briefly discuss lessons learned and corrective actions to be taken, if any.
- Briefly discuss the likelihood of sustainability of positive results

Principle 4: Link resources to results

- Explain what has been accomplished with the resources allocated in relation to what was planned.
- Demonstrate whether the performance represents efficient and effective use of funds.
- Significant internal reallocations to meet emerging priorities, or to better sustain progress toward the achievement of the strategic outcomes should be discussed.
- Explain any variances





Process of preparing the annual report: roles and responsibilities

Preparation of the annual progress report on the implementation of the six-year strategic plan starts in October and ends when it is presented to the regular session of the CPR in the first quarter of the year, usually in March. A summary of the document is presented to the Governing Council for the alternate year. The process which takes about four months involves several steps and responsibilities as explained and illustrated below.

The reports are consolidated by the Quality Assurance Unit using performance data and information from country, regional and focus area global activities, which are tracked by programme managers and other field staff using performance management data sheets and reporting templates. Each focus area/branch reports progress using reporting templates. Achievements at global, regional and country level are reported in separate paragraphs. Regional and country offices use reporting templates to report on focus areas or expected accomplishments as appropriate.

Global reporting includes the results achieved at expected accomplishment and sub-expected accomplishment levels. Important outputs and processes that led to significant achievements of results may be reported. Also to be reported is a results statement which is a synthesis of the information on trends and conditions for indicators of achievement and targets from the data sheets (quantitative data), to strengthen the analysis of the progress made. At country level, reporting should cover outstanding achievements in any of the focus areas as appropriate.

All the information provided should be validated using the evaluation reports and six-monthly self-assessments by each branch discussed by the senior management. The strategic plan focal points should ensure that all the information provided by regional and country offices is cleared by the Regional Director before submission to the Quality Assurance Unit.

The Management and Operations Division provides information on budget utilization for each focus area. To demonstrate efficiency in the use of resources towards achievement of the planned results, the financial

information should include statements on variances between estimate, allotment and expenditure. Branch Coordinators are responsible for providing the interpretation on resource utilization, and explanations for any variances as appropriate.

The data and information from the focal points is consolidated by the Quality Assurance Unit into a draft report, which is circulated to the senior management team for validation and comments. Once the comments have been incorporated, the revised report is discussed in a senior management performance review meeting to assess the performance of the agency, address emerging issues and provide management response and next steps.

The final draft with the management response is then presented by the Office of the Executive Director to the CPR sub-committee for programmes, for review and feedback. The final report is then prepared by the Quality Assurance Unit incorporating feedback from the CPR sub-committee and submitted for discussion by the regular session of the CPR.

The annual report is also used to meet the reporting requirements of UN-Habitat development partners (multi-year funding donors) as per the cooperation agreements. Providing reports on the results achieved to Member States and other stakeholders is a way of accounting for the resources entrusted to the organization in terms of results attained.



Table 17: Step by step process in preparing the Annual Progress Report -

Ste		

Reporting guidelines and templates are developed/revised (August-September).

The Quality Assurance Unit prepares and regularly reviews and updates the reporting templates which are used for collecting the programme performance information for each focus area/subprogramme at branch, regional and country levels. The reporting templates follow the results framework and the performance measurement plan of the six-year strategic plan and the biennial work programme and budget. The changes introduced take into consideration the feedback from Member States, RBM champions (who are also the reporting focal points) and programme managers, as well as lessons learned from the previous annual report preparation process. This may include clarification of terms to make the guidelines simple and results focused.

Step 2:

Guidelines and reporting templates are issued to senior managers and reporting focal points To kick-start the process, the Quality Assurance Unit issues a memo which is sent with reporting templates to senior managers and RBM champions on the guidelines, process, requirements and timelines for preparation of the report.

Step 3:

Briefings by Quality
Assurance Unit

This is an important exercise that provides guidance for the preparation of the annual report. The Quality Assurance Unit team holds meetings with various teams responsible for coordinating and consolidating inputs to the report at different levels.

The first briefing is done with the RBM champions for each branch, regional and country

The first briefing is done with the RBM champions for each branch, regional and country office. Other briefings are done with managers and their teams at branch level and regional office level.

The briefings address the following:

- The purpose of preparing the annual progress report and reminders on the key elements of results-based programme performance reporting;
- Explanations and clarifications on the use of the templates in collecting relevant information;
- Structure and key elements of the report including any changes introduced; and
- Timelines, key deliverables and responsibilities.

Step 4:

Preparation and submission of inputs to the report (global, regional and country)

Based on the timelines stipulated in the memo, branches and regional offices prepare and submit their respective contributions to the Quality Assurance Unit using the reporting templates. The preparation of the draft inputs takes 3 to 4 weeks. This allows regional focal points to work with country teams and regional office teams in preparing regional as well as country level reports. They consult and get consensus on which results were achieved and should be reflected during the reporting period.

Step 5:

Preparation of the zero draft for each subprogramme/ focus area and offices The Quality Assurance Unit is responsible for the preparation of the consolidated draft for each subprogramme. The process involves reviewing, analysing and collating of inputs from regional, country and branch level inputs for each of the expected accomplishments. The results statements are presented separately for global, regional and country levels.

Step 6:

Circulation of subprogramme draft to branch coordinators and reporting focal points.

The purpose of this step in the preparation of the annual report is to enable the branch teams and regional office teams to have bilateral consultations, and to enable validation, clarification and revisions of the reported results for each subprogramme by the various teams. Consolidated indicator values for each expected accomplishment are also verified and validated at this stage. Branch coordinators submit the revised subprogramme draft reports to the Quality Assurance Unit. A similar process of review and validation is used for the draft reports from the Executive Direction and Management, the Programme Division and the Division of Operations and Management.

The above process sounds straightforward but in fact this is an intensely iterative process



	that takes time, effort and patience. The Quality Assurance Unit tries to ensure that all the necessary information on reported results and indicator values is provided, tallies and is supported by available evidence. If indicator values are below the target or exceed it, a justification has to be provided.
Step 7: Preparation of the consolidated draft report covering subprogrammes and offices	The Quality Assurance Unit prepares a consolidated draft report which contains all the inputs from the subprogrammes as well as the Executive Direction and Management, the Programme Division and the Division of Operations and Management. The consolidated draft, which contains all the elements of the final report, is circulated to all managers for review and final validation of the reported results at expected accomplishment level, indicator values and performance rating for the year. Feedback from the managers on the consolidated draft is expected back to the Quality Assurance Unit.
Step 8: Preparation of a revised consolidated report	The Quality Assurance Unit prepares a refined draft based on inputs from all branches, regional offices, divisions and other offices. The clean draft is then submitted for programme performance review by the senior managers.
Step 9: Programme performance review by senior management	A senior management programme performance review meeting, which is chaired by the Deputy Executive Director, meets to review the programme performance of the organization as reflected in the draft annual report. The purpose of the management review is to learn what the organization is doing well and what it is not doing well; to make adaptive decisions; for accountability (where we are lagging behind, etc.); to exercise transparency on programme performance; and for verification and validation of the document at corporate level. The meeting also provides an opportunity for senior management to strategize before the CPR on possible responses to difficult issues that may arise. Feedback and recommendations from this meeting inform the refinement of the document before it is presented to the CPR Subcommittee on the programme of work and budget.
Step 10: Clearance of the clean draft for submission and discussion by the CPR subcommittee.	The draft is submitted to the Executive Director's Office for clearance before submission to the CPR subcommittee for review, one week before the meeting. This stage provides an opportunity for the CPR subcommittee members to critically engage with the UN-Habitat Secretariat on its programme performance. During the meeting, UN-Habitat presents the report through a PowerPoint presentation and CPR members ask questions and seek clarification. They make observations on the different aspects of the report and provide inputs and recommendations for improvement. All subprogrammes and offices must be represented by senior managers, preferably subprogramme coordinators who have an overview of the programme and are able to respond effectively on the focus area/ subprogramme report. Feedback and recommendations from this meeting are incorporated into the next version of the report.
Step 11: Preparation of the final draft for clearance by the Executive Director.	The revised draft of the annual report is sent to key donors, currently Sweden and Norway by the 15th of February. Normally there is a back and forth exchange as the donors also seek clarification, and responses are provided in writing. Any recommendations for improvement are incorporated into the draft, which is amended accordingly depending on whether the recommendations arrive before it is submitted to Member States for review by the formal CPR during its regular session, usually in March/April. If it is not possible to incorporate the comments, these are taken on board and inform the next annual report.
Step 12: Presentation to the Governing Council.	During the year when the Governing Council of UN-Habitat has a session, a summary of the reports for the two years is prepared and presented to the GC as part of the documents on the strategic framework, as requested by the resolution on the strategic plan and work programme and budget. This informs the GC of programme performance since its last session.



3.2.3 Monitoring and reporting on the implementation of the Biennial Work Programme and Budget

Monitoring and reporting on the implementation of the work programme and budget is a UN-Secretariat mandatory self-assessment. As a member of the UN Secretariat, UN-Habitat uses the online Integrated Monitoring and Documentation Information System (IMDIS) (http://imdis.un.org/) for monitoring and reporting on its biennial work programme and the strategic plan. IMDIS is the Secretariat-wide system for programme performance monitoring and reporting, including the preparation of the Secretary-General's Programme Performance Report.

The biennial work programme and budget approved by the General Assembly, is uploaded in IMDIS and set for monitoring its implementation. IMDIS is designed to facilitate continuous and comprehensive programme implementation monitoring by staff at different levels within the same organizational unit in accordance with their assigned roles and responsibilities.

Programme managers use IMDIS to track and record programme performance monitoring and reporting information on outputs, indicators and accomplishments within their particular area of responsibility. The Department of Management is able to verify progress and generate all necessary IMDIS information for organization-wide monitoring and reporting.

The system promotes accountability, transparency and information sharing. Step-by-step instructions on how to use IMDIS for monitoring and reporting on programme performance by UN-Habitat managers and reporting focal points is presented in section 3.2.4.

Evidence for programme performance delivery is collected at all levels: outputs and indicators of achievement as well as results, change and impact.

In addition to the minimum evidence entered in IMDIS, UN-Habitat has responded to external audit recommendations to strengthen its evidence-based programme performance monitoring and reporting.

A separate database (Programme Performance Evidence Database) has been established where all documents that support evidence for delivery of the biennial work programmes are uploaded and stored either as documents or web links to sites where the relevant documents are located. These include hyperlinks to the intranet, PAAS, extranet and shared drives such as the K drive in Lotus Notes.

Monitoring and data collection in IMDIS

Monitoring of the work programme in IMDIS takes place along the results chain as shown in figure 33 below. The process involves tracking progress on implementation and recording achievement of results by collecting performance information on:

- a) Delivery of outputs according to categories
- b) Expected accomplishments (outcomes) through
 - Indicators of achievement
 - Accomplishment accounts (highlights of results achieved)



Figure 33: Linkages in the results chain within the IMDIS

Programme of work for the biennium 2016-2017 Urban Planning and Design

Objective(s) of the Organization To improve policies, plans and designs for more compact, socially inclusive, better integrated and connected cities that foster sustainable urban development and are resilient to climate change **Expected accomplishment(s) of the Secretariat** (a) Improved national urban policies or spatial frameworks for compact, integrated and connected, socially inclusive cities adopted by partner metropolitan, regional and national authorities (b) Improved policies, plans and designs for compact, integrated and connected, socially inclusive cities and neighbourhoods adopted by partner cities **Indicator(s) of achievement** (i) Increased number of partner cities that have adopted and implemented policies, plans or designs for compact, integrated and connected, socially inclusive cities and neighbourhoods **Final outputs** (c) Improved policies, plans and strategies that contribute to the mitigation of and adaptation to climate change adopted by partner city, regional and national authorities **Indicator(s) of achievement** (i) Increased number of partner city, regional and national authorities that have adopted policies, plans or strategies that contribute to climate change mitigation and adaptation + Final outputs

The Department of Management issues advisory notes and guidelines to all agencies under the UN Secretariat, that guide the process of monitoring and reporting on the implementation of the work programmes and budgets throughout the biennium.

The required actions to be undertaken in IMDIS within the six-monthly updates and reporting timeframes are communicated. UN-Habitat follows this monitoring and reporting cycle, which is summarized in table 18.



- Table 18: UN-Secretariat required Work Programme monitoring and reporting cycle actions $\,$ -

Timing and Major Actions in IMDIS

Month 6 (June) of the biennium

- Review and adjust all performance measures (baseline and target figures).
- Define and agree on indicator methodology to be used for monitoring and periodic reporting. All fields except "Clarification of terms" are mandatory.
- Enter the name of the officer(s) responsible for delivering a particular output and for monitoring.
- Review and ensure that all outputs approved in the work programme budget have been entered into IMDIS.
- Begin data collection.
- Start updating the implementation of the work programme. For each output indicate whether: "not started", "in progress", or "implemented". Provide further details as appropriate.

Months 12 &13 (December-January) of the biennium

- Review all outputs that have not been started or are in progress and report on their implementation status. For each output indicate whether it is: "not started", "in progress", or "implemented".
- Add discretionary or legislated outputs in IMDIS only when they have been fully implemented, for review by the Department of Management (DM).
- Notify the Quality Assurance Unit (QAU) of all outputs (programmed, additional, reformulated, postponed and/or terminated) once input is complete. The QAU will verify the output before submitting to Department of Management.
- Verify outputs that have been carried forward by matching them with the postponed outputs from the previous biennium.
- As a general rule, additional discretionary or legislated outputs should only be added in IMDIS when they have been fully implemented. There should be no postponements or terminations of additional outputs.
- Update interim performance measurements.
 - (i) Input information from data collected on each indicator of achievement.
 - (ii) For each indicator, report interim progress under "Description of results".
 - (iii) Provide highlights of expected accomplishment (EA) statement (reporting the results achieved) at subprogramme/ thematic level, by summarizing progress made toward the expected accomplishment, including the impact that the programme had on its beneficiaries at the national, regional or international levels drawing on programme performance information and findings of any recent self-evaluations, conducted during the reporting period. Any areas of programme design requiring improvement should also be reported, drawing on programme performance information and findings of any self-evaluations conducted during the reporting period (Limit statement to 150 words).
- For each expected accomplishment state areas that need improvement, as well as lessons learned and next steps, considering summaries of intergovernmental, external and internal reviews (Limit to 75 words).
- Input work months.

Months 18-21 (June-September) of the biennium

- Update all newly implemented, reformulated, and terminated outputs.
- Analyze and synthesize data on each indicator of achievement and update progress reports on each indicator.
 - (i) Update "Accomplishment Accounts" with the most recent progress achieved in attaining the desired results.
 - (ii) Update the work months.
- Prepare the "Statement of Accomplishments/Results Achieved", "Highlights of Programme Results" and summary of "Challenges, Obstacles and Unmet Goals."
- Attach any internal and/or external evaluation or assessment that may have been undertaken and mark them appropriately if they are for sharing with Member States.

Participatory Review

- Organize a participatory review among all concerned staff, to review the final draft of the "Accomplishment Accounts",
 "Statement of Accomplishments/results achieved", "Highlights of programme results" and "Challenges, Obstacles and
 Unmet Goals".
- Take stock of any lessons learned that should be considered when formulating the next strategic framework.





Months 22-24 of the biennium (October-December)

- Provide a final measure for the indicator reflecting the overall performance for the biennium per indicator.
- For each indicator, report final progress under "Description of results".
- For each expected accomplishment, provide a final assessment of performance, including a concise statement of results.
- Analysis should be made principally in reference to the performance indicators of achievement and the corresponding performance measures (baselines and targets) (Limit the statement to 150 words).
- For each expected accomplishment, provide a final assessment on lessons learned and areas needing improvement.
- Summarize intergovernmental, external and internal reviews (Limit the statement to 75 words).
- Attach any internal and/or external evaluation or assessment that may have been undertaken and mark them appropriately if they are for sharing with Member States.
- At this stage, mark incomplete outputs as postponed or terminated.
- No outputs should remain in the "not started" or "in progress" status.
- All outputs marked "postponed" or "terminated" must include a statement as to why.
- All outputs added by legislation should have the legislative decision number and date.
- For all publications, an ISBN or HS number or website link must be provided. Alternatively, a valid web link to an electronic version of the documents can be provided.
- All training activities must provide a gender breakdown of participants.
- All activities must have work months recorded.

After 24 months of implementation (January)

 The Quality Assurance Unit will verify the outputs, work months, accomplishment statements, results achieved, highlights of programme results, challenges and evaluations undertaken, and submit these to Department of Management for verification.

Table 19: Responsible persons for different actions in the monitoring and reporting process -

Responsibilities:

The Quality Assurance Unit is responsible for the overall coordination, quality control and reporting.

The IMDIS focal points at branch, unit and at regional office level are responsible for systematic entry of the information into the system.

The branch manager and unit heads are responsible for ensuring quality control for their respective sections and reporting on expected accomplishments and results highlights for their respective subprogrammes.

Authorised programme staff monitor and enter updates in IMDIS on the outputs, indicators of achievement, expected accomplishment and results attained through the implementation of their respective programme of work during a given biennium.

Each user can only update their areas of responsibility, depending on the approved right of access, but can view the whole programme of work for their organization as well as other programmes. Information on progress towards achievements of expected accomplishments is captured at the aggregate level.

Step-by-step instructions on how to use IMDIS for monitoring and reporting on programme performance by UN-Habitat managers and reporting focal points is discussed in detail in Section 3.2.4.



Monitoring progress towards achievement of expected accomplishments

(a) Verifying and updating indicator methodology

Data on indicators of achievement are used to monitor progress towards achievements of expected accomplishments. The process of tracking progress towards achieving expected accomplishments in IMDIS starts with setting up, verifying and updating the indicator methodology which defines how the indicator data will be collected, recorded and analysed. Branch coordinators and Unit heads are responsible for defining, verifying and updating indicator methodology for the expected accomplishments they are accoutable for.

In analyzing the use of indicators as tools for reporting on accomplishments during a biennium, every effort should be made to rely on sound data collection methods. For that, programme managers need to define the variables that make up the indicator, identify data sources, determine data collection and verification methods, determine how often the measurements will be done, create a presentation format and identify external factors that could distort measurements.

This should be done early in the biennium so that the collection and reporting of results becomes less cumbersome. For UN-Habitat, the programme performance plan for the six-year strategic plan (2014-2019) contains all the basic information on how the strategic plan and the work programmes and budgets for the period will be monitored. Minor revisions will need to be made at the start of each biennium as appropriate to reflect changes made during the planning process for that biennium.

(b) Tracking progress on expected achievements in IMDIS

1. Updating performance measures (indicators)

Indicators of achievement are primary sources of data for analysis of programme performance, and as such need to be relevant and reliable. The baseline and target values for each indicator in IMDIS should be aligned with the approved budget fascicle. A baseline measure is the actual value of an indicator on the first day of the biennium, or on a date as close to 1 January as is practical.

When the actual value is new and cannot easily be determined, a reasonable estimate may be substituted. The target is an estimated value of the indicator on the last day of the biennium, given the original programme of work and budget approved by the General Assembly.

Baselines and targets are needed to gauge actual programme outcomes/impact, as well as variations from anticipated results. Measurements should be taken as regularly as is feasible during the biennium in order to evaluate progress over time and to connect changes with specific accomplishments and/or shortcomings in programme design and delivery. All documentation, as supporting evidence on the reported progress on indicators and results achieved (table 20 below), must be collected and uploaded to the Programme Performance Evidence Database as soft copies or through web links/ hyperlinks to relevant sites.



Table 20: Template for collecting evidence for programme performance monitoring and reporting progress on indicators and results achieved (Example for subprogramme 3.)

Subprogramme 3: 2014-2015 biennium	4-2015 biennium	Required information for tracking progress on indicators in IMDIS	for tracking progress	Documentation evidence on progress on indicators and results achieved-uploaded into programme performance evidence database
Expected Accomplishment	Indicators of achievement	Baseline: 2013 (Number and List of names)	Actual 2015 (Number and List of names)	
EA1: Improved capacity of partner cities to adopt strategies supportive of inclusive economic growth	Number of partner cities that prepared local economic development plans	0	7: (Bogota in Colombia, Silay City and Cagayan de Oro in the Philippines, Akure in Nigeria, Kisumu in Kenya, El Alamein in Egypt and Nampula in Mozambique)	Technical Scoping reports; stakeholders' thematic consultation reports on scoping; urban economic profiles; draft progress reports (quarterly and six monthly); and mission reports and sample LED plans
	Number of partner cities that have prepared set priorities based on local economic assessment	0	7	Technical Scoping reports; city economic profiles; draft progress reports (quarterly, six monthly, annual); and mission reports
EA2: Improved capacity of targeted cities to adopt urban policies and programmes supportive of increased employment opportunities and livelihoods, with a focus on urban youth and women	Number of partner cities that have adopted programmes supportive of increased employment opportunities and livelihoods, with a focus on urban youth and women	7: Kampala, Dar-es-Salaam, Nairobi, Kigali, Sao Paolo, Harare, and Katmandu	22: Goma (DRC), Mogadishu (Somalia), Lokoja (Nigeria), Mandera (Kenya), Sao, Paulo (Brazil), Harare (Zimbabwe), Sanaa (Yemen), Kampala (Uganda), Mandeville (Jamaica), Cairo (Egypt), Raipur (India), and Dar es Salaam (Tanzania), Akure, (Nigeria)	Programme documents and MOUs with partners, project/programme evaluation reports, bi-annual and annual progress reports from partners and beneficiaries as appropriate; evidence of relevant policies adopted by partner cities/governments
EA3: Improved capacity of partner cities to adopt policies, plans and strategies for improved urban and municipal finance	Number of partner cities that have adopted programmes and strategies for improved urban and municipal finance	8: Chibuto, Manica and Nacala (Mozambique: participatory budgeting) Hargeisa and Borama , (Somalia) Somoto, Ocotal, and Esteli (Nicaragua: ERSO infrastructure financing)	19: Somalia -14 (Berbera, Borama and Sheikh in Somaliland, and Bander Beyla, Eyl and Jariiban in Puntland?: Afghanistan - Herat, Mazar-e-Sharif, Jalalabad, and Kandahar Mozambique- Nacala Porto and the district of Nacala Velha: Kenya – Kiambu Philliphines-Cagayan de Oro, Iloilo, and Silay	Progress reports, advisory/mission reports (UN-Habitat template); diagnostic reports; executive authority resolutions as evidence of adoption; partner city revenue enhancement plans and reports



"Interim values" and "description of results" serve as an indication of whether the expected targets approved by the Member States for the subprogramme indicators have been or will be achieved by the end of the biennium. This data should be recorded by programme managers before writing statements of results on a subprogramme level, for interim reporting as of end of first year of biennium and final reporting as of end of the entire biennium.

2. Recording results statements

Also assessed are the results statements. The results statement includes information on trends and conditions of indicators of achievements on whether (or not) the expected accomplishments have been achieved or are being achieved. Other relevant information captured in the results statement includes challenges or issues being addressed; activities undertaken; results or accomplishments; verifiable data; and other information including comparison of the actual value of indicators with the original targets, variations from the target and reasons why, and lessons learned, including recommendations on how to solve problems/issues identified.

Monitoring and recording delivery of outputs in IMDIS

To assess whether or not delivery of outputs is on track and in line with the programme budget, the number of outputs delivered and the percentage of outputs completed in relation to the total number of outputs planned is monitored in IMDIS. The purpose is to assess whether output delivery is in line with the programme budget in terms of quantity and timeliness. Within the results chain, outputs are the products and services such as reports, publications, servicing of major meetings, training workshops, advisory services and field projects, which result from the completion of several activities that a programme is expected to produce in order to achieve its expected accomplishments.

Detailed information required for tracking output delivery must be entered in the IMDIS and in the programme performance evidence database, including supporting documents (table 21) as evidence of accountability and to demonstrate their contribution towards the achievement of the expected accomplishments.

Table 21: Information for tracking and verifying output delivery in IMDIS

	and programme pe	rformance evidence database
Output category	Required information for tracking output delivery in IMDIS	Evidence information and documentation on output delivery —in Programme Performance Evidence Database
Substantive servicing of meetings	Title of the meeting; Meeting date(s): Venue: Responsible officer: and Intermediate results	Meeting preparation documents; HS numbers, ISBN of outcome reports; web links for pre-session and post-session documents.
Parliamentary documentation	Title of the document; Document identifier: Date; Status of implementation	Background reports, HS Numbers/GA document symbol
Expert group meetings, rapporteurs, depository services	Title of the meeting; Meeting date(s): Venue; Responsible officer; Intermediate results and Status of implementation	Preparatory documents for the meeting, meeting agenda; list and number of participants; outcome documents, e.g., meeting report, tools developed/revised, declarations or decisions taken, etc.
Recurrent and non-recurrent publications	Title of the publication; status of implementation; Publication Identifier; Issue Date; Responsible Officer and Intermediate results	Completion date, specific identifier for each publication, e.g., ISBN number, HS number, weblink to external website



Advisory Service	Title/nature of advisory services; Status of implementation; Identifier description of advisory services offered; No. of missions undertaken and Location; Start Date; End Date; Responsible officer and Intermediate results	Preparatory documents (written requests or invitation letters, emails, memos, teleconference or skype meeting notes and reports of the meetings to show what was discussed; documents showing decisions taken, advise provided; mission reports, MOUs signed; draft strategies; policies, guidelines, etc.
Special Events	Title of the event; Identifier of the event; Start and End date of the event; Venue for the event; Responsible officer and Intermediate results	Background documents, list and number of participants, agenda, weblink of media coverage and press releases, report of the event and any outcome documents such as declarations, decisions or action plan agreed, reports of proceedings.
Training courses, seminars and workshops	Title; Status of implementation; Identifier description; Location; Date (start/end); Country; Location; Participants; and Female participants	Preparatory documents (programme and agenda, participant list, invitation letter); background documents (concept note), training materials; workshop evaluation report; weblink for any media coverage of the workshop.
Field Projects	Title of cluster of field projects; Status of implementation; Title of each project; Number of projects; Organizational Unit responsible and Intermediate results	Project document, signed cooperation agreements for funding and implementation partners; progress report on the project, documentation on revisions; field visit reports; newsletters, press releases on the launch or progress on the projects, etc.

Recording output delivery in IMDIS

The instructions for updating the output details for each category in IMDIS can be found in this Handbook under section 3.2.4. Information on the following elements should be provided for each implemented output:

- (a) Replace the output definition (aggregate output title which was formulated at the work programme and budget planning stage) with an actual specific description of the deliverable (see the hypothetical example provided below).
- (b) Start/End date: enter the actual month/year when the output implementation started and ended.
- (c) Output status: review and update output delivery status (applicable status for the 1st quarter of the biennium is "not started, in progress, implemented, reformulated").
- For the output in progress provide a short description of the work undertaken. This can be entered in the field of "Remarks" in the category of Non-recurrent

- publications. In other output categories it is best entered into the field of "Description";
- For the *implemented* output, enter mandatory output identifiers as specified in table 20;
- For the *reformulated* output, enter the reason for deviation by clicking on the drop down arrow and highlighting the relevant reason. In addition, enter remarks explaining why the output was reformulated. Please note that an output can still be considered reformulated even if it continues to address the same subject matter of the originally programmed output and caters to the same intended users.
- (d) Issue date and publication identifier (applicable to the non-recurrent publications category): Enter issue date and ISBN/ISSN number or URL as mandatory identifiers for any publication reported as "implemented".
- (e) Abstract (applicable to non-recurrent publications category): Enter a short abstract of the publication
- (f) Responsible officers: Enter the name of the



staff member(s) and division responsible for the implementation of the output.

- (g) Organizational unit: Please note that the implementing branch in the field of organizational unit is pre-selected by QAU based on the approved programme frameworks.
- (h) Intermediate results (applicable to **implemented** output): Record how the output has been used or applied by the intended beneficiaries and/or assisting constituencies; record usage statistics and reference and beneficiary feedback. This information serves as evidence of how the outputs have contributed towards the achievement of the expected accomplishment.
- (i) Remarks: indicate the relevance of the output to the Expected Results. Please note that the Quality Assurance Unit will use the "Remarks" field to provide comments for revising the output content, if needed.

In addition to the output delivery information entered in IMDIS by programme managers, substantive documents should also be uploaded onto the PAAS and UN-Habitat websites.

Reporting on the Programme of Work

Reporting on the work programme and budget is a UN-Secretariat requirement. The Department of Management prepares three reports based on the information and actions entered in IMDIS as per the advisory notes and guidelines. These include the programme performance documentation status report for the biennium, interim programme performance report and the programme performance report for the biennium.

Programme performance data analysis and reporting on the work programme and budget

Mandatory self-assessments are requested by the UN Secretariat and are conducted by managers in the context of reporting results of the subprogrammes in the results-based format and are reflected in the biennial programme performance report. In real terms, this is mandatory monitoring/assessment of the biennial work programme.

The self-assessment reports on the programme of work comprise six-monthly data and information (months 12, 18 and 24). The reporting consists of analysis of the logical framework, trends and conditions of indicators of achievements (together with baselines and targets), and the methods used in the collection of data in IMDIS. The information collected in IMDIS throughout the biennium is used by UN-Habitat to contribute to the programme performance reports prepared by the Department of Management for accountability to Member States. The data analysis and results reporting takes place at two main levels: the strategic objective and expected accomplishment levels.

Highlights of programme results: should showcase the key achievements of the Agency selected from each subprogramme. In addition, programme managers are required to prepare a brief summary describing the main challenges, obstacles and unmet goals the programme encountered. Ideally the lessons learned and areas in need of improvement identified when assessing subprogramme performance for each expected accomplishment should be reflected in this summary.

Expected Accomplishment Results or Statements of

Results: these are required at 12, 18 and 24 months of the programme cycle. The responsibility for analyzing and preparing results for each expected accomplishment rests with the branch coordinators and unit heads for subprogrammes, and heads of offices responsible for the respective expected accomplishments. The purpose of the statements of results is to provide a summary of specific sub-programme statement of results based on data collected for the indicators of achievement and other relevant information that serves as the source for reporting on the extent to which the relevant expected accomplishment was achieved. The analysis of progress in the statements of results should be made principally in reference to the indicators of achievement including the comparison of targets to actual achievements and corresponding performance measures (baselines and targets) established by departments and approved by the General Assembly at the beginning of the biennium. Programme managers may wish to highlight specific outputs or groups of outputs that were particularly effective, and best practices identified in the programme's substantive or operational areas,



or use supplementary indicators or other compelling information to further support the results achieved. A typical statement of results would address these questions:

- What was accomplished (statement of facts)?
- How was it verified (reference to indicator methodology used)?
- How did this compare with your target (comparison with the target)?
- What explains the variation (reason for variation with the target)?
- What did you learn (reference to best practices and lessons learned)?

Information on challenges, obstacles and unmet goals should also be included for progress (months 12, 18) and final reporting (months 21-23) on accomplishment accounts, so that they can be extracted and summarized at the end of the biennium.

Work months reporting: the time spent by each professional staff member or consultant on the delivery of planned outputs is reported, irrespective of whether funding is received through the regular budget or from extra-budgetary resources. The purpose of the reporting is to account for allocation of professional staff and consultants' time within the subprogrammes. Work months are reported using a standard template in IMDIS.

1. Programme performance documentation status report for the biennium

The report is published in early October of the first year of the biennium and is based on data recorded in IMDIS by the end of September. The report uses the following specific set of data for measuring the status of programme performance documentation in IMDIS:

- Percentage of indicator of achievement methodology completed
- Percentage of performance measures that have baselines and targets in line with approved budgets
- Percentage of output for which the status reported

is implemented or reformulated. This does not include outputs 'in progress' or 'not started'

An average of the three percentages mentioned above provides the documentation status of programme performance data. All agencies under the Secretariat are rated based on the percentage achieved. The report helps to indicate the level of preparedness of the agencies to effectively monitor and report on the implementation of the work programme and budget during the biennium.

2. Interim programme performance report

This report covers the first year of implementation of the biennial work programme and budget. It is used to assess and record progress achieved in programme implementation halfway through the programme. The data collected from IMDIS at the end of the first 12-month period of the biennium is used to develop an interim report on programme performance that is presented to the Management Performance Board meeting held at the start of the second half of the biennium, and assessed in conjunction with the senior managers' compacts.

The interim report covers all key elements of the programme performance report, which includes implementation rate of programmed outputs, interim progress on indicators of achievement, statements of results achieved and highlights of programme results. The report also captures challenges and lessons learned at expected accomplishment level.

3. Programme performance report for the biennium

This is the end-of-biennium programme performance report that is submitted as the report of the Secretary General by the Department of Management. It presents the overall programme performance in terms of the implementation and results achieved over the biennium. All three reports are prepared as consolidated reports for the Secretariat but also contain sections for each agency.



3.2.4 Guidelines¹⁷ for monitoring and reporting on Programme of Work using IMDIS

1. What is IMDIS?

• The Integrated Monitoring and Document Information System (IMDIS) is an online reporting system that can be found at http://imdis.un.org. The system is supported by the Department of Economic and Social Affairs (DESA) and administered by the Office of Programme Planning, Budget and Accounts (OPPBA), Department of Management (DM) on the planning/budgeting side, and the Policy and Oversight Coordination Service (POCS), DM on the monitoring and reporting side.

2. How IMIDS works

- IMDIS is the Secretariat-wide system for programme performance monitoring and reporting, including the preparation of the Secretary-General's Programme Performance Report (PPR).
- The system is designed to facilitate continuous and comprehensive programme implementation monitoring by staff at different levels within the same organizational unit, in accordance with their assigned roles and responsibilities. Programme managers use IMDIS to select and update information on outputs, indicators and accomplishments within their particular area of responsibility. The DM is able to verify progress and generate all necessary IMDIS information for organization-wide monitoring, including what is required for the PPR.
- Each IMDIS registered user has access to view the entire programme of work of the organization, as well as programmes of all other departments and offices. Each registered user, however, has limited rights to make changes in IMDIS in their respective sections of the work programme depending on their area of responsibility. This right of access is defined during registration and

- is in-built with user passwords.
- IMDIS also promotes accountability and transparency, and can be used to foster collaboration and exchange of best practices throughout the Secretariat.
- The User Guide contains step-by-step instructions for IMDIS and programme performance reporting by managers and reporting focal points.

3. Getting started with IMDIS

Setting up a new IMDIS account

- The login authority and password are organized by the Department of Management of the UN Secretariat in New York. In UN-Habitat, the Quality Assurance Unit is the coordinating office and clearinghouse for IMDIS password requests. The requests are made by UN-Habitat monitoring and reporting focal points.
- IMDIS focal points for each office or unit are selected by their respective managers, who then request passwords from the Quality Assurance Unit. The following information must be submitted to the Quality Assurance Unit:
 - (i) Name of the selected staff member
 - (ii) Index number
 - (iii) Email address
 - (iv) Subprogramme for which IMDIS focal point will be responsible for reporting
- The Quality Assurance Unit will send a formal request to the Department of Management and an IMDIS account will be set up. Username and password will be sent directly to the new user.

4. Accessing IMDIS and the programme (UN-Habitat)

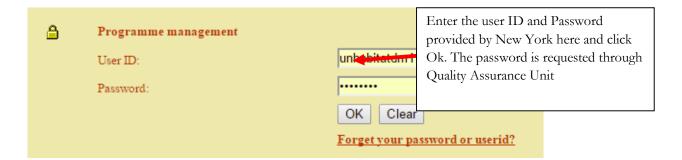
Login instructions:

IMDIS Webpage address is http://imdis.un.org/. IMDIS is also accessible through UNON Intranet: http://www.unon.org/restrict/intranet/. To log in to the system, a user ID and password are required. Enter your user ID and password, and then click on [Ok].

¹⁷ Information provided in this document is extracted from the IMDIS User's Guide (December 2014) and adjusted for UN-Habitat use.



Step 1: Enter user ID and password as registered and click OK.

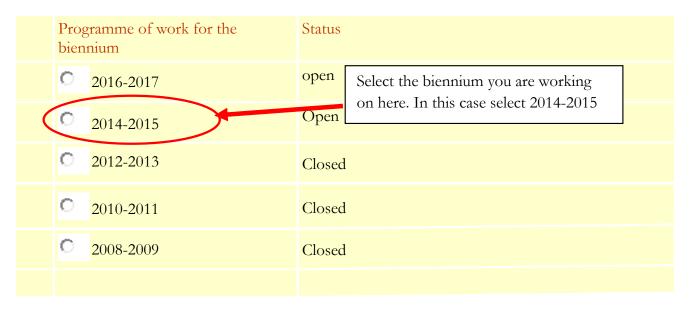


Step 2: Select the 2014-2015 biennium

Once you have logged on, you will reach the home page of the application, which requires you to select the desired biennium and the type of view.

The biennia correspond to the periods of the biennial programme budgets. For the current PPR exercise, for example select 2014-2015.

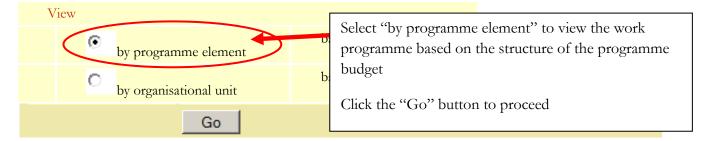
Select programme of work and view



Step 3: Scroll down and select the View "by programme element".

Indicate whether to view the work plan by programme

element or by organizational unit, and then click on [Go]. For reporting purposes, select "by programme element" view as all reporting requirements are accessible through this view only.





Users scroll down through a number of screens selecting the programme element, budget section, component and subprogramme of the selected office as per the 2014-2015 proposed programme budget (http://www.un.org/en/ga/fifth/68/ppb1415sg.shtml).

Step 4: Select **International cooperation for development**

Definitions

- Prog'd [Programmed] these are the mandated Work programme outputs as per the GA approved work programme for 2010-2011 [A/64/6 (sect.14)].
- Add't [Additional] these are additional outputs
- added at the discretion of programme managers or by legislative mandate.
- c.f [Carried Forward] these are outputs that are carried forward from the last biennium

Schedule of final outputs

I Overall policy-making, direction and coordination	prog'd add'l c.f. total
II Political affairs	Select "International cooperation for
III International justice and law IV International cooperation for development	development' to view all programmes under international cooperation (Secretariat)
V Regional cooperation for development	0 083 403 133 0 023
VI Human rights and humanitarian affairs	8 810 129 131 9 070
VII Public information	191 1 2 194
VIII Common support services	4 284 4 3 4 291
IX <u>Internal oversight</u>	558 13 107 678

Step 5: Click on UN-Habitat budget section (15. Human Settlements).

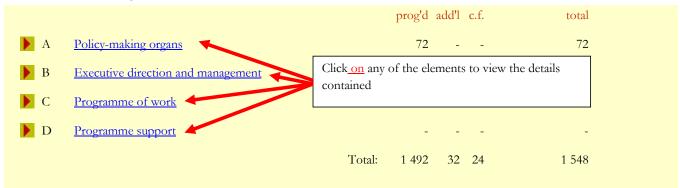
Schedule of final outputs

		prog'd	add'l	c.f.	total
9	Economic and social affairs	3 230	21	34	3 285
10	Least developed countries, landlocked developing countries and small island developing States	363	33	1	397
11	<u>United Nations support for the New Partnership for Africa's Development</u>	<u>r</u> 117	1	-	118
12	Trade and development	2 325	174	68	2 567
13	International Trade Centre (UNCTAD/WTO)	2 966	-	11	2 977
14	<u>Environment</u>	Select "Huma			ts" to view programme
16 16	Human settlements International drug control and crime prevention and criminal justice		20 Zo	ліаі - 30	Z 117
17	UN Women	172	-	4	176
	מ	Γotal: 13 292	297	191	13 780



This will give you the four programme elements, as follows:

Schedule of final outputs



Definitions

- **1. Policy making organs:** This lists all the outputs related to the Governing Council of UN-Habitat
- **2. Executive Direction and Management:** This lists all outputs under Policy and Strategic Planning Unit, Evaluation Unit, the Secretariat of the Governing
- Council and the Division of External Relations.
- **3. Programme of work:** This lists all outputs under the seven sub programmes
- **4. Programme Support:** This lists outputs under the Office of Management

Step 6: Click on the 'Programme of work' component to access the UN-Habitat subprogrammes

Schedule of final outputs

			prog'd	add'l	c.f.	total
A	Policy-making organs		72	-	-	72
В	Executive direction and management				wor	k" to view all the seve
C	Programme of work	focus are	as outputs	3		
D	Programme support		-	-	-	-
		Total:	1 492	20	24	1 548



Step 7: Select the subprogramme you would like to access. The number on the right shows the number of outputs for each sub-programme in summary form.

Schedule of final outputs

		prog'd	add'l	c.f.	total
1	Urban legislation, land and governance	277	4	-	281
2	<u>Urban planning and design</u>	141	7	1	149
3	<u>Urban economy</u>	72	3	1	76
4	<u>Urban basic services</u>	323	1	-	324
5	Housing and slum upgrading	247	13	2	262
6	Risk reduction and rehabilitation	75	2	-	77
7	Research and capacity development	88	2	12	102
	Total:	1 223	32	16	1 271

To save this page as your home page and avoid having to scroll down through multiple screens at the start of each session, click on [Bookmark] in the navigation area at the top of any page. The next time you log in, you will automatically be taken to the selected screen. The bookmark can be changed to any page at any time. Return to the main page by clicking on [Top]. To go up one level, click on [Back].



Select "Bookmark button" to bookmark this page



Step 8: Click on any link under the 'final output by category' to view the work programme outputs by category under the specific subprogramme.

Final output	s by category	
Tillal output	3 by category	

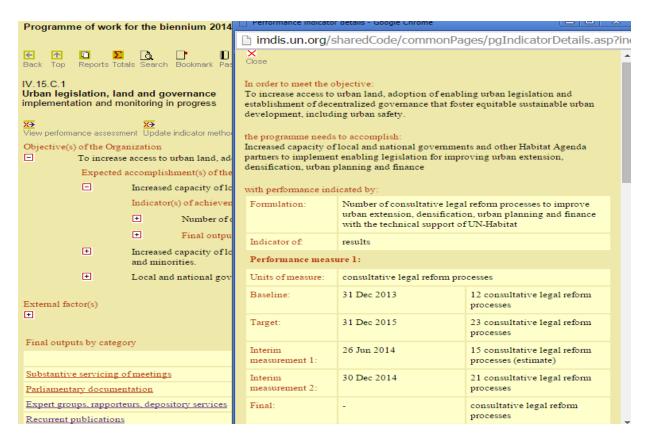
	prog'd	add'l	c.f.	total
Substantive servicing of meetings	-	-	-	-
Parliamentary documentation	-	-	-	-
Expert groups, rapporteurs, depository services	3	-	-	3
Recurrent publications	-	-	-	-
Non-recurrent publications	9	1	-	10
Other substantive activities	1	1	1	3
Advisory services	26	-	-	26
Training courses, seminars and workshops	5	-	-	5
Fellowships and grants	-	-	-	-
Field projects	28	1	-	29
Conference services, administration, oversight	-	-	-	-
Total:	72	3	1	76

5. Viewing the logical framework

Reviewing programme content

 A work programme consists of a logical framework and a schedule of outputs. Having scrolled down to the subprogramme of interest, the various components of the logical framework for that subprogramme can be displayed and hidden by using the "expand" and "contract" icons respectively. Click on the "expand" (+) icon next to any of the indicators to display the indicator methodology and associated performance measurements in a pop-up window. Note that no reporting can be performed from this view.





 To see the distribution of outputs by category, source and status of implementation, make sure that the totals are turned on by clicking on the [Totals] button in the navigation bar at the top of the page. With the totals turned off, the application will respond somewhat more quickly. Totals can be turned on and off at any point during the user's session.



6. Verifying and Updating Indicator Methodology

- When analyzing the use of indicators as tools for reporting on accomplishments, every effort should be made to rely on sound data collection methods. For this, programme managers need to define the variables that make up the indicator, identify data sources, determine data collection and verification methods, fix the periodicity of measurements, create a presentation format and identify external factors that could distort measurements. This should be done early in the biennium so that the collection and reporting of results becomes less cumbersome. For UN-Habitat, this has been done as the programme
- performance plan for the six-year strategic plan (2014-2019). Minor revisions will need to be made at the start of each biennium, as appropriate, to reflect changes made during the planning process for that biennium.
- In order to record the indicator methodology and associated performance measurements in IMDIS, scroll down to the subprogramme concerned and click on the [Update indicator methodology] icon. Select one of the indicators of achievement from the logical framework that appears. Follow the instructions to update the methodology and click on [Save].



X→ Update indi	cator methodolo	ogy
Indicators of	f achievement	
In order to	meet the objecti	ve:
To increase	access to urban	land, adoption of enabling urban legislation and establishment of decentralized governance
	the programme	needs to accomplish:
	Increased capa	city of local and national governments and other Habitat Agenda partners to implement ena
	w	ith performance indicated by:
	N	umber of consultative legal reform processes to improve urban extension, densification, urb

Methodology	
Variables:	This indicator seeks to determine the number of consultative legal reform processes by authorities to respond to the demand for urban extension, densification, planning and urban extension, densification, planning and urban extension.
Data source(s):	informal and official records; documents; Agreements of Cooperation with national or mission reports
Collection method(s):	review of records; content analysis
Periodicity:	2 per biennium
Comments on data verification and analysis:	Key milestones: 1)City authorities request UN-Habitat's technical and advisory service Habitat's technical and advisory services in order to embark on participatory legal reformeform processes. 2013 (12): Colombia (2 cities-Medellin, Santa Marta; 1 national gov Silay); Mozambique (1 national); Rwanda (1 national); Saudi Arabia (1 national); Nige
Use of processed data:	Governing Council, Committee of permanent representatives, donors, management, imp
Presentation of data:	Data processed at expected accomplishment, indicator and output levels and stored in a performance reports and uploaded onto the UN-Habitat website and intranet.
Impact of external factors:	The subprogramme is expected to achieve its objectives and expected accomplishment declarations, and action plans that they have endorsed; (b) There will be minimal change reforms (e.g. conflicts and major natural disasters).
Clarification of terms:	To be effective, legal reforms must be well understood by all parties and should be und participatory approach promotes buy in and ownership by local and national authoritie from reform processes. Stakeholders include a broad range of actors: government agenc academia etc.

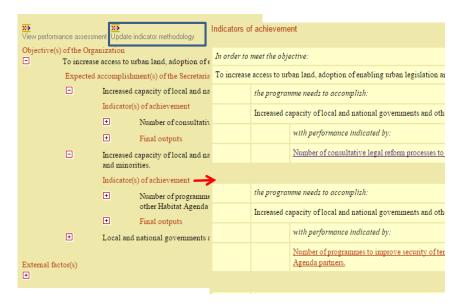
7. Updating Performance Measures (indicators)

• Indicators of achievement are primary sources of data for analysis of programme performance, and as such need to be relevant and reliable. The baseline and target values for each indicator in IMDIS should be aligned with the approved budget fascicle. A baseline measure is the actual value of an indicator on the first day of the biennium, or on a date as close to 1 January as is practical. When the actual value is new and cannot easily be determined, a reasonable estimate may be substituted. The target is an estimated value of the indicator on the last day of the biennium, given the original programme of work and budget approved by the General

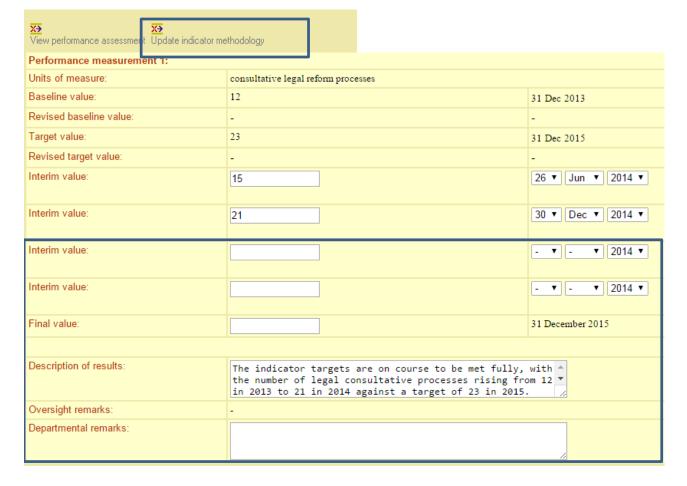
Assembly.

- Baselines and targets are needed to gauge actual programme outcomes/impact, as well as variations from anticipated results. Measurements should be taken as regularly as is feasible during the biennium in order to evaluate progress over time and connect changes with specific accomplishments and/or shortcomings in programme design and delivery.
- In order to review associated performance measurements in IMDIS, scroll down to the subprogramme concerned and click on the [Update indicator methodology] icon. Select one of the indicators of achievement from the logical framework that appears.





- The fields "interim value" and "final value" should be filled out with actual measurement of the indicator performance at the time of data collection, accompanied by a "description of results" using the "update indicator methodology" function.
- In order to review associated performance measurements in IMDIS, scroll down to the subprogramme concerned and click on the [Update indicator methodology] icon. Select one of the indicators of achievement from the logical framework that appears.





 "Interim values" and "description of results" will serve as an indication of whether the expected targets approved by the Member States for the subprogramme indicators have been achieved. This data should be recorded by programme managers before writing statements of results on a subprogramme level for interim reporting as of end of first year of biennium and final reporting as of end of the entire biennium.

8. Reporting on Delivery of Programmed outputs

Navigation between major categories of outputs

Step 1: Select the subprogramme as shown in section 4 step 7.

Programme of work

implementation and monitoring in progress

Schedule of final outputs

No.			prog'd			n Legislat	
2		Urban legislation, land and governance	277	example		nance" fo	or
	2	Urban planning and design	141	1		7.	
	3	<u>Urban economy</u>	72	3	1	76	
	4	<u>Urban basic services</u>	323	1	-	324	
2	5	Housing and slum upgrading	247 75	7	2	256	
	7	Risk reduction and rehabilitation Research and conscitt development	/5 88	2	12	77 102	
	7	Research and capacity development Total:	1 223	24	16	102	
		Total.	1 223	24	10	263	

This will show you the category of outputs under each sub-programme.

Final outputs by category					
	prog'd	add'l	total		
Substantive servicing of meetings	-	-	-		
Parliamentary documentation	-	-	-		
Expert groups, rapporteurs, depository services	24	1	25		
Recurrent publications	-	-	-		
Non-recurrent publications	14	-	14		
Other substantive activities	7	1	8		
Advisory services	133	2	135		
Training courses, seminars and workshops	47	-	47		





Fellowships and grants	-	-	-
Field projects	54	-	54
Conference services, administration, oversight	-	-	-
Total:	279	4	283

Final outputs by source	no.	%
Programmed	279	99
carried forward	-	-
Added by legislation	1	-
Discretionary	3	1
Total:	283	100

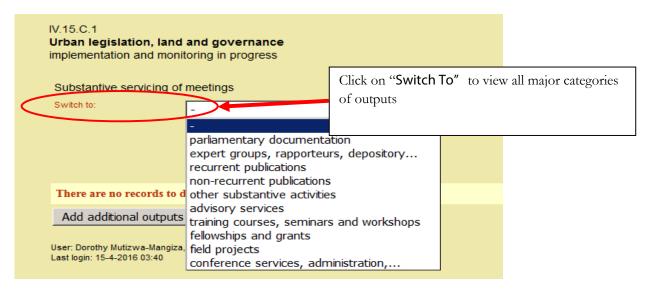
If for example you click Ad hoc expert groups this is what you see:

Ad ho	oc expert groups		
Annu	aal Global Network on Safer Cities (GNSC) Advisory Group meet	ing in collaboration v	with Office of the
Exec	utive Director, External Relations		
	ord identifier: PB160141		
Qua	ntity: 2		
1	Annual Global Network on Safer Cities (GNSC) Advisory	implemented	8 Mar 2015-
	Group meeting.	P	9 Mar 2015
10000	Record identifier: A058527		
	Sourceprogrammed		
2	Global Network on Safer Cities (GNSC) Advisory Group	implemented	23 Mar 2015-
- J	meeting	mpiemented	25 Mar 2015
10,000	Record identifier: A058528		
	Sourceprogrammed		
Bienr	nium Global Network on Safer Cities (GNSC) Partners Consultati	ve Group meeting in	collaboration with
	rnal Relations and Regional Offices	ve Oroup meeting m	CONTROL WILLI
	rd identifier: PB160142		
Quar	ntity: 1		
1	Biennium Global Network on Safer Cities (GNSC) Partners	implemented	5 Apr 2014
J	Consultative Group meeting in collaboration with External	implementee	7 Apr 2014
10-63	Relations and Regional Offices		
	Record identifier: A058529		
	Sourceprogrammed		

• To navigate between major categories of outputs return to the activity listing screen. At the top

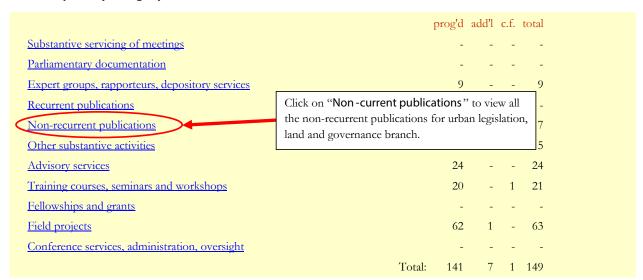
of the screen select the required category from the [Switch to] menu.





Or return to the subprogramme screen and select the final outputs by category required.

Final outputs by category



Recording status of output implementation

 Users may elect at this point either to display a brief listing, or full details. In the case of some output types, such as parliamentary documentation, output sorting options are also available with the "view by" feature. For ease of location, use the "view by activity title" button to view an (alphabetical) list of outputs. Sorting capabilities vary from one output to another depending on the characteristics of the particular type.

View by:	activity title issue date	Format:	brieflistingfull details
	publication identifierstatus		Go



Publication on good urban safety practices and the governance matrix for promotion of urban safety

Record identifier: PB160131

Quantity: 1

Click on "Publication on good urban safety"

to view the details of this publication.

Promotion of urban safety

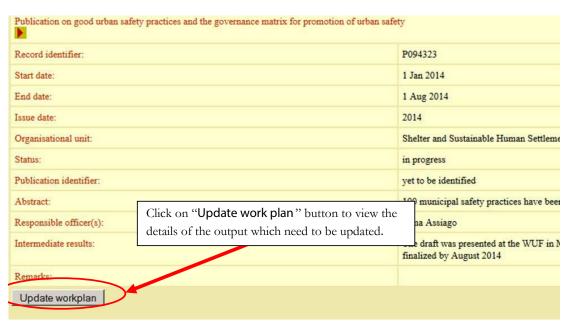
Record identifier: P094323

Source: programmed

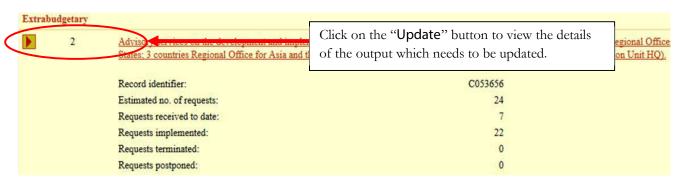
- A checkmark next to an output title indicates that it has already been submitted to DM for verification and has been verified. DM will see a similar checkmark once the record has been reviewed and archived by the responsible programme monitoring officer. Outputs with checkmarks may be considered complete and do not require any further attention from programme managers.
- An "action pending" icon indicates that further attention is required before reporting on that

- output can be considered complete.
- To update the status of implementation, scroll down by clicking on the output title until the [Update workplan] button appears. This is an output detail record. Clicking on [Update workplan] will bring up the update form.

For all publications which include recurrent publications, non-recurrent publications and technical materials, you will see as follows:



For advisory services, trainings and projects, you will see as follows:

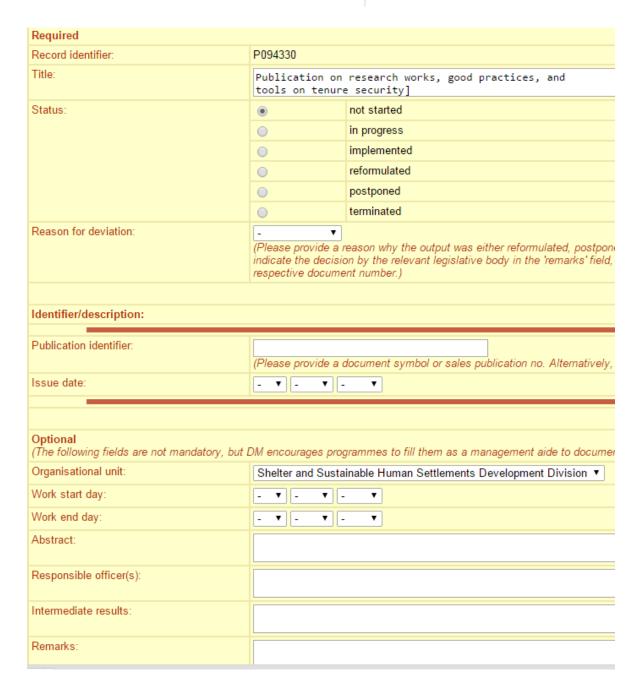




Requests not started:	0	
Requests in progress:	5	
Missions undertaken:	30	
Advisory services details entered:	19	
Source:	programmed	
□ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □		
)D%NDIG		

Follow the instructions and enter all the required reporting details. The section under "optional" should

also be completed because it provides vital evidence on programme performance.





- For verification purposes, DM requires the completion of certain fields, which generally capture the status of implementation of outputs, including some form of identifier that can be used to locate the output (see table 20), as well as any reason for deviation from programmed commitments, where relevant. Where deviations occur, a legislative decision
- justifying the change must be cited. The "remarks" field may be used for this purpose. The "remarks" field can also be used to record and trace information on the implementation history of the output itself, i.e., staff assigned to it, progress to date, etc.
- Once all the required information is provided, save the form as shown below:



Click on "save button" at the bottom of the page to save the details you have added. This will enable the Quality Assurance Unit to review and validate the implemented output

- To update the status of implementation of outputs in categories of "advisory services", "training courses, seminars and workshops", ""field projects", "fellowships and grants", scroll down to the output category and click on the
- [Update] button under the output that you intend to modify.
- This is an output detail record. Clicking on [Insert] will bring up the update form. Follow the form instructions and click on Save.



Advisory services on the development and implementation of adequate urban legislation]. (Twer Regional Office for Asia and the Pacific; 14 countries Regional Office for Africa; 2 countries Urb Record identifier: C053656
Estimated number of requests: 24
Requests received to date: 7
Requests entered in IMDIS: 19



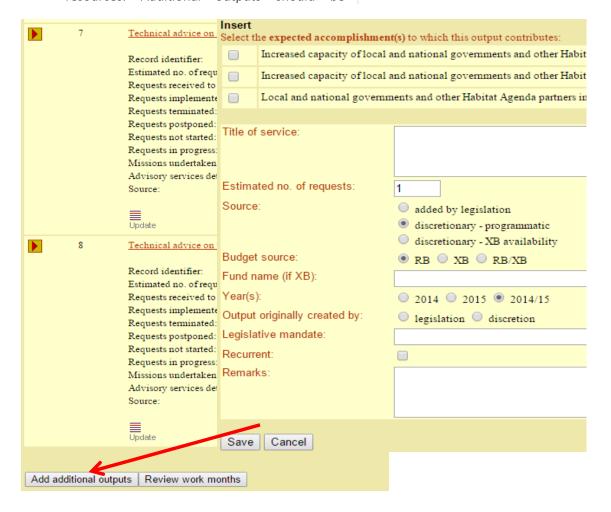
Submitting outputs to Department of Management for verification

- **DO NOT CLICK** on the yellow submisson icon at any time.
- Submission of completed outputs to the Department of Management is the sole responsibility of the Quality Assurance Unit using the submission icon on the left.

Adding or deleting additional outputs

 Outputs that were implemented in addition to those originally programmed are referred to as "additional". They may be added as a result of a legislative decision taken after the biennial budget was approved by the General Assembly, or they may be added at the initiative of the Secretariat, for example to enhance the possibility of attainment of programme objectives, and/or as a result of the unanticipated availability of extra-budgetary resources. Additional outputs should be

- entered in IMDIS ONLY when they have been implemented.
- They are categorized into two:
 - (i) Added by legislation: outputs added by a legislative decision (GC, GA etc.) taken after the biennial budget was approved by the General Assembly. The legislative authority and intergovernmental body that took the decision should be specified.
 - (ii) Added by initiative of the secretariat: outputs introduced to the work load by programme managers to enhance the attainment of the objectives of the subprogramme and as a result of the unanticipated availability of extrabudgetary resources.
- To enter additional outputs, scroll down to the bottom of any output list and click on [Add additional outputs]. Please note that the details will differ depending on the type of output you are adding.

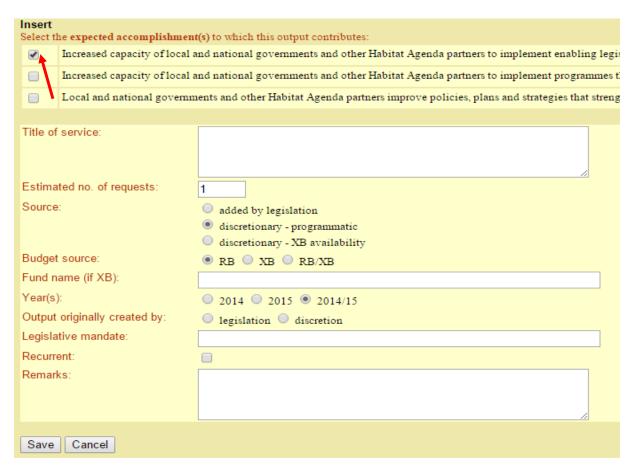




Follow the instructions provided in the form and enter all necessary information to accompany the new record. Title should be entered in the field [Title/Nature of service/Title of service- depending on the type of output].

 If the additional activity is mandated by legislative decision, the legislative decision including document symbol number and date of decision must be entered in the field [Legislative mandate].

- When adding a new output, remember to select the expected accomplishment to which this output contributes.
- Reason for adding this output should be explained in the field [Remarks].
- Once the record is complete, click on [Save].



 Unlike programmed commitments additional outputs may be deleted by programme managers for example, when a discretionary item has been postponed or terminated due to lack of funding. Because they are considered supplementary to the original work programme as approved by the General Assembly, they need not appear in the final programme performance accounting.

 To delete an additional output, view the corresponding output list by activity title and click on [Go].





 Then from the list that appears, select the activity to be deleted. Finally, click on [Delete activity], or click on the "delete" icon to remove individual outputs from an output group. Output groups or "activities" are those records having a systemgenerated record identifier beginning with "PB" for programme budget.

9. Resource utilization

- Once the output is reported as implemented, the work months utilized should be recorded.
- To update work months in IMDIS, select any output category and scroll to the bottom of the screen.
 Then click on [Review work months]. A work month

summary worksheet will appear for your review. To edit the worksheet, click on [Update work months]

- (i) Click the **'Update work months'** button at the bottom of the screen.
- Enter (ii) work months under the following P-RB=Professional categories: regular budget; P-XB=Professional extra budgetary; C-RB=Consultant regular budget; C-XB=Consultant extra-budgetary work months. This work months format should be used for all major categories. You may use up to five digits, including two decimal points, i.e., 122.35. Work months for multiple activities can be entered. Once done, please click on [Save].



NB: Programme managers are requested to enter work months for each output implemented even though work months are recorded at the activity level.

	P- RB	P- XB	C- RB	C- XB	
Publication on good urban safety practices and the governance matrix for promotion of urban safety Quantity: 1 Status: implemented - 1	1	2	0	3	6
Publication on improving multilevel governance coordination and cooperation mechanisms for strengthened urban governance in cities <i>Quantity:</i> 1 Status: implemented - 1	2	3	0	0	5
Publication on research works, good practices, and tools on tenure security] Quantity: 10	4	22	0	15	41



Status: implemented - 10					
Publication on urban legislation for land readjustment, urban governance, urban extension and planning <i>Quantity:</i> 2 Status: implemented - 2	3	5	0	4	12
Total work months:	10	32	0	22	64

(iii) An item-by-item report on work months by subprogramme is available for review, printing and exporting using the report entitled "Detailed work months", which can be accessed through the "Reports" icon at the top of each page.

(iv) 1 work month = 4 weeks = 20 working days. 1 working day = 0,05 work month. Work month is calculated for **actual** total number of professional staff **(P)** plus consultants **(C)** time used to implement an output. Work months are reported separately by source of funding. RB refers to UN regular budget and XB is applicable to UN-Habitat's external funding sources.

- (v) In the category of
 - parliamentary documentation
 - expert groups, rapporteurs
 - recurrent/non-recurrent publications
 - other substantive activities
 - conference services, administration, oversight

Work months utilized for all the outputs are recorded at the aggregated output title level. To view work months select "activity title" in the top right-hand corner, and the "full details" format. To update work months click "Review

Work Months" at the bottom of the page.

- (vi) In the category of:
 - substantive servicing of meetings
 - advisory services
 - training courses, seminars and workshops
 - fellowships and grants
 - field projects

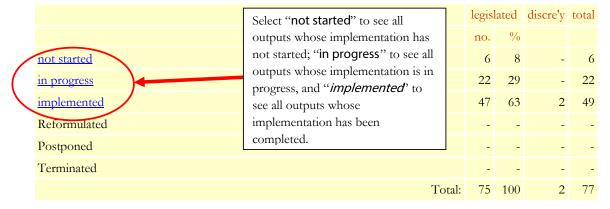
Viewing of the work months can be done by selecting the "full details" format in the top right corner. Work months should be recorded at **the aggregated output title level** through the "Review Work Months" button at the bottom of the page.

NB: You may use up to five-digits, including two decimal points i.e., 122.35. Work months for multiple outputs can be entered before clicking the 'Submit' button.

10. Status of Outputs Implementation

The status of implementation of outputs is represented as a percentage of the total number of outputs planned for the biennium. For example for the sample below, the planned outputs for this subprogramme was 75, and the percentages are calculated based on this number, without considering additional outputs.

Status of implementation





That is why it is important to reformulate outputs that are already in the work programme instead of adding new outputs which may not count towards the percentage value.

- Not started These are outputs whose implementation has not started. Click on the "not started" link to see all the outputs not started for the current biennium for the sub-pogrramme selected on the date you are online.
- **2.** In progress These are outputs whose work is ongoing. Click on the "in progress" link to see all the outputs which are in progress for the current biennium for the subprogramme selected on the date you are online.
- 3. Implemented These are outputs that have been completed and evidence for their implementation is available. These are outputs whose implmentation has not started. Click on the "implemented" link to see all the outputs implemented in the current biennium for the sub-pogrramme selected at the date you are online.
- **4. Reformulated** These are outputs that may have been changed to align with the outputs planned in the work programme. This can be very useful instead of having many additional outputs that will not count in the overall implementation rate in IMDIS.
- 5. Postponed These are outputs that are not going to be implemented in the current biennium due to factors such as change of mandate, financial constraints, etc. These outputs will automatically be included in the next bienium as recurrent outputs.
- **6. Terminated** These are outputs that will not be implemented in the current biennium and are not planned to be implemented in the future.

Project Level Monitoring and Reporting

ggregated project results deliver programme results. If projects deliver no results, we will not be able to deliver Programme EAs. It is for this reason that the project implementation or execution stage is the most critical stage in the project management cycle, as it is during this stage that planned benefits/results are delivered. By monitoring projects, we want to maximise their impact. In monitoring, the quality of the process is as important as the results.

- Are the causal relationships still valid?
- Are assumptions still holding?
- Has the ecosystem changed in any way that was not foreseen?
- What is working and why?-What is not working and why not?
- Are the critical actors in the theory of change still active?
- Going forward, what do we need to change?

Project Monitoring became policy by the ED's memo of November 2012 contained in the Project-Based Management Policy. The mandate for project monitoring was given to the Programme Division. Monitoring is through the PAAS. Outputs monitoring is carried out **every three** months. **Progress towards EAs/outcomes** is monitored every **6 months**. Project monitoring and oversight/supervision is the work of the Project Managers.

RBM puts a lot of emphasis on **participation**, not just **during project design** (like Project cycle management (PCM), logical framework analysis (LFA), but also **during**



the execution of the project (including monitoring).

Project team leaders have PAAS authority to enter data into the monitoring system. Monitoring includes identification, tracking and response to risks and other issues affecting project implementation and achievement of project objectives. This ensures effective and efficient delivery of outputs, and achievement of planned outcomes in all activities undertaken by staff.

For projects and programmes – The Logical Framework (logframe) provides the basis for monitoring results. With the additional identification of persons or groups responsible for collecting data, and the frequency of such data collection for indicators selected, the logframe guides staff and partners in collecting and analyzing data so that actual results can be compared

with planned results.

Monitoring should include an analysis of progress towards achieving the programme's outputs ("deliverables"), as well as its contribution towards achieving the purposes and goals. Information gathered through monitoring is discussed with stakeholders at various meetings, including the sub-programme, programme and mid-term reviews.

For data collection and analysis – A management information system that ensures timely access to up-to-date and accurate programme and financial data is essential. The PAAS integrates information on programmes and financial resources, and make this information accessible to all headquarters regional and country offices.

Table 22: UN- Habitat PAAS Based	Project Implementation	Monitoring & Reporting
----------------------------------	------------------------	------------------------

Areas of Monitoring Reporting	Why we monitor projects at levels below	What to monitor	When to report	Who reports
1. Project EAs and Development Objective	We report on cumulative progress towards end-of-project objectives and EAs or outcome targets (progress toward results), to assess the likelihood of achieving project EAs (outcomes) and ultimately the project objective (accountability for results or value for money). Projects are categorized as "at risk" when the likelihood of achieving EA/outcomes is considered low.	Accurate and timely performance information from Performance Indicators of EAs (Outcomes) against set baselines.	Biannually/annually to the PAG Committee or Senior Management	Project Team Leader/ Branch Coordinators or Regional Director An independent analysis of project implementation by the PAG secretariat
2. Evidence- Based Project Implementation Progress (IP) Reporting	We report implementation progress (and delays) in delivering outputs, including mainstreaming gender and other cross-cutting issues. Feedback allows us to detect early signs of project success or failure, as well as risks and changes to be made.	Accurate and timely performance information on planned activities & target Outputs against allocated time and finances	Quarterly	An independent analysis of project implementation by the PAG secretariat



3. Project Risks & Assumptions	The most frequently reported critical risks are financial and operational/partner risks followed by political and environmental risks. We monitor threats/risks and re-confirm key assumptions and stakeholder commitment to the project Theory of Change and results framework. The project's Theory of Change at every level of the results chain is based on some assumptions, and if these assumptions do not hold, the project's Theory of Change collapses and the planned outcomes cannot be realised. A project must therefore continuously validate these assumptions.	Identified risks against mitigation plans; and that assumptions made at the beginning of the project are still valid.	,	Project Team Leader
4. Project Closure self-assessment Tools	Project quality criteria are: completeness, balance, consistency, substantiveness, reliability and clarity; as well as outcomes and ultimately the project's objective, lessons learned and best practices	Assessment of what has been realised against what was planned.	After the project operations are over; and before an independent evaluation	Project Team Leader/ Branch Coordinators or Regional Director with support from the PAG secretariat.

3.3.1. Using Performance Information

Performance monitoring and evaluation provide the information needed to enhance learning and make a number of important decisions:

- (a) To determine if strategic trade-offs are required are adjustments required to:
- the Reach or Target group of the programme can you still involve the same number and type of stakeholders?
- the Resources available are they sufficient and of the right type?
- the **Results** expected are they still realistic within the timeframe and the resources available?

- **(b)** To strengthen the cause-effect links between activities, outputs, EAs and goals—are the planned strategies still appropriate, or should adjustments be made to improve results? This iterative approach is called adaptive management—we continuously reflect on the 3 Rs and learn during implementation and adjust the project's implementation accordingly.
- (c) To strengthen the organization's management capacity by learning from experience.
- (d) To report on programme or organizational performance to stakeholders ministries and local governments, co-operating groups, donors, etc.

Figure 34 below shows how expected **results, resources** and reach must be balanced. If you want to increase the reach of the programme using the same resources, then you may have to reduce your expectations for results.



Figure 34: Balancing reach, resources and results

Use performance information to examine strategic trade-offs

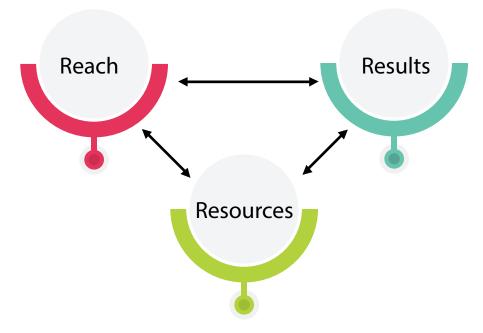


Figure 35 below demonstrates that continuous performance monitoring enables stakeholders to make decisions about strategies and use of resources at key points in order to improve results.

For example, if monitoring shows that the programme/ process is not producing the expected outputs, then adjustments can be made to the types of activities, the resources or the strategies, to improve the likelihood of achieving expected results.

How does RBM apply to reporting?

Reporting using the RBM approach involves:

- Describing the progress towards expected results for a specific period;
- Identifying the actual result/changes achieved during the period;
- Analyzing and explaining the difference between what was expected and what was actually achieved;
- Identifying any changes you plan to make in the next period in order to increase the likelihood that the expected results will be achieved.

Project managers should refer back to the project logframe indicators when monitoring and evaluating performance and preparing reports. UN-Habitat's organizational performance reports will refer back to the strategic plan EAs and indicators when assessing the outputs achieved and the organization's progress towards its goals (see Project Implementation Report (PIR) Template in annex 8).



Use performance information to strengthen cause - effect links

Programme Management based on:

- Valid and reliable information on performance and risk - Stakeholders' participation in review and decision making - Review of strategies

Management decisions to allocate or reallocate resources and review strategies

Figure 35: Continuous performance monitoring and decision making

Internal reporting and feedback strengthens the process of identifying lessons and incorporating them into future planning. External reporting improves accountability to stakeholders and communication with partners.

Figure 36 below shows how planning, monitoring, evaluation and feedback are integral parts of the process of managing for results.

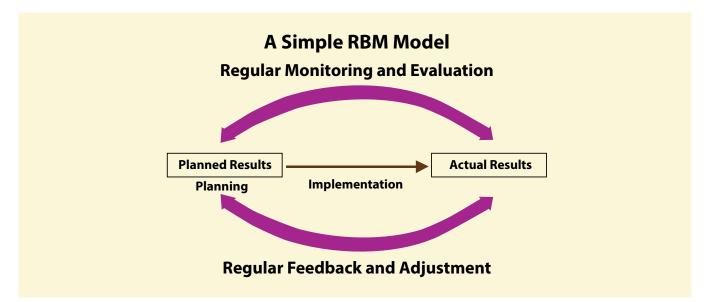


Figure 36: A simple RBM Model



Results-Based Evaluation



4.1 General concept

ffective implementation of RBM requires that evaluation become an integral part of the RBM framework of an organization¹⁸. Also, there is an increasingly widespread understanding that effective ways of managing-for-results require both RBM-oriented measurement of results, as well as evaluative information generated by evaluations. This suggests that evaluation is an important tool in promoting sound RBM systems that promote managing for results, help institutionalize a culture of reflection and learning, and contribute to accountability.

Evaluation at UN-Habitat is governed by regulations and rules of the United Nations Secretariat, as put forth by the Secretary-General in 2000¹⁹, and guided by the UN-Habitat Evaluation Policy²⁰, which is in conformity with the Norms and Standards for Evaluation in the UN System developed by the United Nations Evaluation Group²¹, as well as the Revised UN-Habitat Evaluation Framework document²².

The UN-Habitat Evaluation Policy was adopted in 2013 to strengthen the evaluation function in UN-Habitat. The policy describes the institutional framework for the planning, conduct, management, reporting, follow-up and use of evaluations. The norms and standards as expressed in the policy and the UNEG Norms and Standards for Evaluation in the UN system, guide the practice and use of evaluation in UN-Habitat. The revised framework document specifies evaluation performance targets for UN-Habitat, identifies which projects require evaluation, and outlines responsibilities of project managers and the Evaluation Unit as well as guides on how to cost evaluations.

The purpose of the evaluation chapter of this Handbook is to provide staff members who are either tasked with

managing and /or conducting evaluations with practical guidance on conducting evaluations. The chapter is also useful to those responsible for designing, managing and monitoring programmes and projects.

This section addresses the basic questions of evaluation: What is an evaluation? Why does UN-Habitat carry out evaluations? What is evaluation in the UN system and what are UN-Habitat's expectations, roles and responsibilities in evaluation?

4.1.1. What is evaluation?

UNEG defines an Evaluation as an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency, sustainability and impact of the interventions and contributions of the organizations of the UN system.

An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making process of the organizations of the UN System and its Members.

4.1.2 Why UN-Habitat carries out evaluations?

Evaluations in UN-Habitat are carried out to inform the management, the governing bodies and the agency's

¹⁸ The Role of Evaluation in results-based management (UNEG/REF(2007)1

¹⁹ Secretary-General's Bulletin, "Regulations and Rules Governing Programme Planning, the Programming Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME)", ST/SGB/2000/8

²⁰ UN-Habitat Evaluation Policy was approved by UN-Habitat Management in January 2013. It is available at http:// www.unevaluation.org/evaluations

²¹United Nations Evaluation Group (UNEG), "Norms and Standards for Evaluation in the UN System", April 2005 (available online at http://www.uneval.org).

²²"Revised UN-Habitat Evaluation Framework", approved by UN-Habitat Management in September 2015 and adopted by Executive Directive of 5th January 2016.



partners about what UN-Habitat is achieving, what improvements should be considered, and what is being learned. In general, the main purposes of the evaluation will relate to programme improvement, knowledge generation, learning and accountability.

- **1. Programme improvement:** Evaluation is an important source of evidence of achievement of results and organizational performance.
- **2. Decision-making:** The evidence can be used for decision-making on programme direction, allocation of resources and improving programmes.
- 3. Knowledge generation and supporting learning: Evaluation is an important contributor to building knowledge and to organizational learning. Some evaluations are undertaken to describe the effects of an intervention, and as such contribute to building knowledge and organizational learning. This may form a basis for making future interventions more relevant and effective.
- 4. Supporting accountability and transparency: Sharing evaluation results with key audiences demonstrates accountability and transparency. By building a greater understanding about what UN-Habitat is intending to achieve, evaluation meets requirements for donors, governing bodies and Member States and generates support.
- **5. Agent of change:** Evaluation promotes, defends or opposes specific approaches or programmes and shapes opinions.
- **6. Cohesion and collaboration:** Evaluation informs the planning, programming, budgeting, implementation and reporting cycle, and increases consistency and communication between departments and organizations.
- **7. Evaluation** aims at improving institutional relevance, optimizing the use of resources, providing client satisfaction and maximizing the impact of the contribution of the organization.

In essence, evaluations offer a learning opportunity to find out what is working, what is not and what needs to be improved. Evaluations demostrate objectivity in identifying valid, balanced and accurate results that are supported by the evidence assessed.

4.1.3 Evaluation in the UN System

Within the specific context of the UN, evaluation helps to ensure the accountability of the various UN bodies, their managers and staff, to the General Assembly (GA) and/or to their respective governing bodies, as well as to national stakeholders. At the same time, it supports reflection and learning by Member States, governing bodies, management and staff, as well as national stakeholders, on the relevance, effectiveness, efficiency, impact and sustainability of UN activities, in order to improve on them.

Evaluation serves this dual purpose of accountability and understanding what we are doing right and what we may be getting wrong through the provision of reliable and credible evaluative evidence, analysis and information to Member States, the Secretary-General, programme managers, staff, and national stakeholders, on the activities of the UN system and their impact. These evaluation outputs are provided in the form of evaluation reports, briefings, various information exchanges and other evaluation products.

Because evaluation has to simultaneously support both accountability and learning at different levels of governance, oversight, management and operations, it has to be conducted at different levels within each organization. In many organizations, evaluations are carried out as either centralized or decentralized functions.

The regulations that currently govern the evaluation of United Nations activities were promulgated on 19 April 2000 in the Secretary General's bulletin (PPBME) and updated in 2016 as ST/SGB/2016/6. In 2005, the heads of evaluation of 43 UN entities, under the auspices of the UN Evaluation Group (UNEG), adopted a common set of norms and standards for evaluation in the UN system.

With regard to evaluation of UN Secretariat programmes, the rules and regulations of the PPBME apply for all of them. Given the heterogeneity and size of Secretariat programme activities, and in order to ensure that all programme activities are evaluated, evaluation is decentralized to the programme level, and each



Secretariat programme is required to conduct regular, periodic evaluation of all activities.

The central evaluation function of the Secretariat is assigned to OIOS, where evaluation complements its other oversight functions of investigation, audit and inspections, by focusing on broad issues of relevance, effectiveness, efficiency and impact of Secretariat programmes and activities. The Evaluation Section of OIOS is mandated by the GA to conduct in-depth and thematic evaluations of the work of the Secretariat programmes, as well as to establish guidelines for the conduct of self-evaluation by the programmes, and to provide methodological support.

In the General Assembly report "Strengthening the role of evaluation findings in programme design, delivery and policy directives" (A/59/79), OIOS found that programmes did not consistently use the same nomenclature when classifying evaluations. In June 2005, OIOS published an online manual "Managing for results: A guide to using evaluation in the United Nations Secretariat", which defines four types of evaluations. These are:

- **(a) Mandatory external evaluations,** which are requested by the General Assembly, Committee for Programme and Coordination (CPC) and donors; conducted by OIOS, the Joint Inspection Unit (JIU) and external consultants; and used by the CPC, General Assembly, and other intergovernmental bodies.
- **(b) Discretionary external evaluations,** which are requested by senior managers, conducted by OIOS, JIU or external consultants, and used by donors, external stakeholders and senior managers.
- **(c) Discretionary self-evaluations,** which are requested by senior managers and subprogramme managers, conducted by staff internal to the departments, and used by senior managers and their staff.
- **(d) Mandatory self-assessment,** are required by management and conducted by project managers in the context of the focused approach to reporting results of sub-programme performance and integrating lessons into management decisions.

The above are the different types of evaluations conducted by UN-Habitat, which can further be differentiated based on:

- (a) When the evaluation is undertaken (timing before, during and after): (i) ex-ante evaluation, (ii) mid-term evaluation, (iii) terminal evaluation, and (iv) impact/ex-post evaluation;
- **(b) What is being evaluated:** (i) project evaluation, (ii) programme evaluation, (iii) thematic evaluation, (iv) policy evaluation, (v) sectoral evaluation, (vi) institutional evaluation, (vii) country evaluation;
- **(c) Who conducts the evaluation:** (i) self-evaluation, (ii) independent evaluation, (iii) joint evaluation, (iv) peer review; and
- **(d) How the evaluation is conducted:** (i) Summative and (ii) Formative evaluations

Self Evaluations

Self-evaluation is a requirement for all closing projects, in line with the implementation of the UN-Habitat Evaluation Policy and the Revised UN-Habitat Evaluation Framework, expected to further strengthen the role of evaluation in project/programme design, implementation and decision-making.

The main purpose of institutionalizing self-evaluations is to increase the coverage and scope of UN-Habitat evaluations, within the budget constraints affecting the organization. Self-evaluations facilitate learning from projects and use of the evaluation findings. A results-based Self-Evaluation (RBSE) template (annex 14) should be used by project managers to assess performance of the projects they supervise.

4.1.4 UN-Habitat's expectations from evaluations

UN-Habitat expects evaluations to bring improvements to its interventions through better informed decision-making. Evaluations should provide information about which expected accomplishments of the evaluated intervention are being achieved, what improvements should be considered and what is being learned.

Evaluations should be used to determine what works and what does not work – in achieving sustainable development. Producing credible, timely and useful



evaluations that describe how UN-Habitat's interventions are performing promotes effective programming. What is learned from evaluations becomes strategic in decision-making, and in turn leads to improved policies, strategies and operations.

Evaluations satisfy the requirements of the Terms of Reference and expectations set out in the evaluation work plan. They bring focus to UN-Habitat's mandates, programming priorities and cross-cutting themes (e.g., gender equality, youth, human rights and the environment). They should produce credible, reliable results using an appropriate design and adhering to appropriate methods and techniques.

4.1.5 Roles and responsibilities

The UN-Habitat Evaluation policy outlines the organizational roles and responsibilities of key constituents of UN-Habitat (see pages 11-13 of the UN-Habitat Evaluation Policy). Table 23 summarizes the roles and responsibilities that are relevant to all evaluation processes:

The evaluation manager: The primary role of the evaluation manager is to manage the evaluation process, rather than conduct the evaluation. Typical tasks of the evaluation manager include preparing the terms of reference, establishing the evaluation team, overseeing the review of draft reports, disseminating evaluation results and making other logistical arrangements. The evaluation manager is responsible for representing the best interests of the agency and is accountable for his/her decisions.

In UN-Habitat, management of centralized evaluations is the responsibility of the Chief of the Evaluation Unit. For decentralized evaluations the responsibility is that of programme/project managers, and supervision falls under the relevant branch coordinator or head of office. The Evaluation Unit provides guidance and support to the evaluation process.

The evaluator or evaluation team: conducts the evaluation through document reviews, interviews, surveys, meetings, site visits, etc. The team is generally comprised of one or more external consultants. The candidates should have the knowledge and working experience to carry out the evaluation as per Management's expectations. The evaluation team

leader should fully understand UN-Habitat's work and have the capacity to effectively address the four crosscutting issues (i.e., gender equality, human rights, climate change and youth) in the evaluation methods, findings and recommendations.

Reference Group: Resources permitting, the evaluation should have a reference group comprised of key stakeholders who work closely with the evaluation manager to guide the evaluation process and ensure the quality of the process and outputs of the evaluation. The reference group should review the documents required such as draft TOR, draft evaluation work plan and draft evaluation reports and provide advice on quality and options for improvement.

UN-Habitat Management Board/Senior Management Team: A management response, as the formal, written response to the findings and recommendations of an evaluation, is discussed and adopted by UN-Habitat's management. The management response is formulated jointly by organizational entities that are responsible for, or will be involved in the follow-up to the evaluation recommendations. The management response is a requirement for all centralized evaluations managed by the Evaluation Unit.



Table 23: Summarizes the key actors, their roles and responsibilities in the evaluation process			
Actor	Roles and responsibilities		
Evaluation Manager	 Identifies and engages potential stakeholders Leads the development of the evaluation TOR Manages the selection and recruitment of the evaluation team Ensures that the evaluation consultant/team understand the TOR Guides the evaluation process, provides advice on performance management approaches and provides technical support as required Manages the contractual arrangements, budget and personnel involved in the evaluation Introduces the evaluation team to various stakeholders Explains evaluation standards and ensures they are respected Oversees the progress and conduct of the evaluation Makes payments against results (outputs) Reviews and approves the inception report and the draft evaluation report(s); and ensures the final draft meets quality standards Publishes and disseminates evaluation products 		
Evaluation Team	 Fulfils the evaluation contractual arrangements in line with UN Norms and Standards and ethical guidelines Plans and conducts the evaluation Involves stakeholders in the evaluation Delivers specified evaluation outputs including inception report, draft reports and final report in a timely manner 		
Reference Group	Reviews documents as required and provides advice on the quality of the evaluation and options for improvement		
UN-Habitat Management Board	 Provides the overall management response to the evaluation; and responds to all recommendations. The process is facilitated by the Evaluation Unit. Provides an action plan to implement accepted recommendations and timelines for implementation Provides responsible parties/officers to implement the recommendations 		

4.1.6 Involving key stakeholders in evaluation processes

Involving stakeholders before an evaluation starts, and keeping them informed about its progress during the evaluation process allows the stakeholders to explain their expectations of the evaluation and raise related questions and concerns. This involvement is crucial to ensuring the support of stakeholders during the evaluation process and later during the implementation of follow-up actions to the evaluation.

Stakeholders in an evaluation should be identified in the evaluation TOR, and should ideally be involved in the preparation of the TOR. One mechanism for ensuring the active involvement of stakeholders in an evaluation process is through the establishment of a reference group. The reference group can be formed in order to provide the evaluator or evaluation team with feedback from a technical and methodological perspective. Reference group members can include stakeholders and peers, both internal and external to the project and to UN-Habitat. The composition of the reference group is at the discretion of the evaluation manager.



The reference group performs an oversight function that helps ensure transparency of the evaluation process, as well as generate a sense of ownership and participation among reference group members and the organization as a whole. Box 24 explains why stakeholders should be engaged.

BOX

Why engage stakeholders?

Involving key stakeholders such as donors, programme managers, beneficiaries, and governing bodies:

- Increases the chances that the evaluation results will be used
- Improves ownership, credibility and transparency of the evaluation exercise
- Reveals barriers and sensitivities that can be dealt with in the early stages of the evaluation
- Clarifies roles and responsibilities
- Enhances the relevance of the evaluation
- Avoids real or perceived conflicts of interest

4.2 Evaluating for results

n 2007, UN-Habitat launched an ambitious organizational renewal, making a commitment to its governing bodies, donors, Member States and its partners to become more results-oriented and accountable. It provided a coherent framework for strategic planning and management — including evaluation.

RBM, adopted by UN-Habitat, emphasizes the importance of defining realistic results to achieve, clearly identifying beneficiaries and designing interventions to meet their needs. In this context, evaluation is expected to play a fundamental role in the agency's transformation into a more results-oriented, transparent and accountable organization.

This section describes evaluation requirements at UN-Habitat and evaluation processes²³, divided into three stages: planning evaluations, implementing evaluations and using evaluation findings. A set of "evaluation tools", including checklists and templates are provided to guide and support evaluation steps where necessary.

4.2.1 Three main types of evaluation in UN-Habitat

- **(a) Corporate and thematic evaluations** with a global perspective, as well as 'high risk' areas of operations. This includes mandatory external evaluations requested by the UN-Habitat governing bodies, donors or other inter-agency bodies, or discretionary external evaluations requested by UN-Habitat.
- **(b) Project and programme evaluations** focus on delivery of outcomes and operational performance in terms of efficiency, effectiveness, relevance, impact and sustainability of UN-Habitat interventions. These evaluations are typically ex-ante evaluations, and mid-term and end-of-project evaluations. Mid-term evaluations are undertaken for projects with over four years duration, and with emphasis on high risk projects. End-of-project evaluations are undertaken at the completion of the project. As of 2015, all projects with a value of US\$1 million and above require a mandatory end-of-project evaluation conducted by an external consultant.
- (c) Mandatory self-evaluation of all closing projects is required by management and is conducted by programme managers at global, regional and country levels. The Project Office coordinates and manages the self-evaluations. To ensure high quality, a few projects are randomly selected and evaluated by the Evaluation Unit. Every six to twelve months, the Evaluation Unit synthesizes the results of evaluation activities, including lessons learned and follow-up on recommendations, and presents a substantive evaluation report to the UN-Habitat Board.

The Evaluation Unit is responsible for managing and conducting evaluations included in the biennial or annual evaluation plans; these evaluations are

²³ The evaluation approach adopted by UN-Habitat, shown in figure 36¹ is based on evaluation guidelines used by other organizations, mostly OIOS.



considered **centralized evaluations**. Other evaluations commissioned and managed by project leaders in branches, regional offices and country offices are considered **decentralized evaluations**, for which the Evaluation Unit is responsible for providing technical support. The Evaluation Unit must be informed of all evaluations, including decentralized evaluations and donor-led evaluations, and a copy of the final report submitted to the Evaluation Unit.

Project and programme evaluations should be financed through the projects' own budget. Project leaders are obliged to include an evaluation budget in their project proposals. The indicative evaluation cost estimate index should be followed for costing of evaluations. Evaluations commissioned or requested by donor agencies or other external entities must be financed by the party that commissioned or requested the evaluation.

Due to the limited resources available, there is a prioritization and risk assessment of interventions to be evaluated. Two evaluations of the Strategic Plan 2014-2019 (mid-term and end-term) must be carried out by the Evaluation Unit over the six-year period of the Plan and should be adequately resourced in the budget process for those years as a core expense. Impact evaluations may be carried out for long-standing demonstration projects and programmes with the costs

covered largely by those projects or programmes.

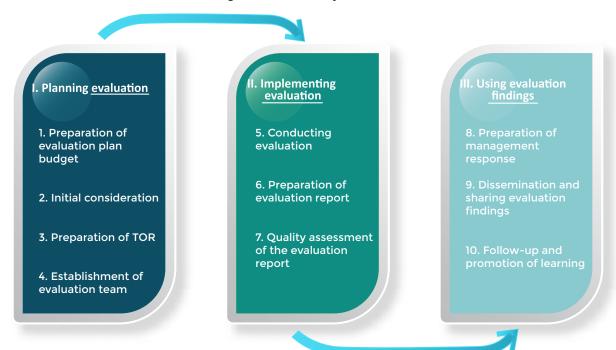
All closing projects must have a self-evaluation report. The self-evaluation report is the responsibility of the project leader and focuses on results achieved and performance of the project. All evaluations managed and conducted by the Evaluation Unit must have a management response, including an action plan to implement accepted recommendations. Regular monitoring of progress in the implementation of the evaluation recommendations is the responsibility of the Evaluation Unit, which will contact responsible offices for the implementation of action plans.

Evaluation capacity development is a critical component to institutionalize evaluation. Training workshops and evaluation tools to support the project-based management approach are developed in order to build evaluation skills and promote evaluation awareness.

4.2.2. Planning, implementing and using evaluations

Evaluation processes can be summarized in three stages namely planning, implementation and use of evaluation findings, as in the figure 37.

Figure 37: Phases of evaluation





4.2.2.1 Planning Evaluations

a) Preparation of UN-Habitat biennium evaluation plan

The UN-Habitat Evaluation Plan is prepared for every biennium and includes evaluation activities to be carried out by UN-Habitat during the two-year programme cycle, as well as related financial resource requirements. The evaluation plan is developed in conjunction with the formulation of UN-Habitat's biennial programme budget, and thus forms an integral part of the programme planning cycle. The biennium evaluation plan is updated annually.

Prior to the start of the biennium, branch coordinators, regional directors and other programme managers, in consultation with their staff, identify and propose evaluation topics for inclusion in the biennium evaluation plan. The Evaluation Unit reviews the proposals in the context of UN-Habitat's overall requirements and prepares a draft evaluation plan for review by the UN-Habitat Board.

The prioritization of evaluation topics is a critical exercise and the following criteria (considerations) guide the selection of priority evaluation topics to be included in the evaluation plan.

- Mandatory evaluations requested by the Governing Council, other intergovernmental bodies, donors, etc
- 2. The relative importance of the proposed evaluation topic within the context of UN-Habitat's strategic direction and priorities
- 3. Evaluations that are cross-cutting in nature
- 4. Evaluation of 'high risk' interventions
- 5. Evaluation of interventions that have innovative value and potential for replication
- 6. Impact evaluations to assess changes brought about by UN-Habitat interventions
- 7. Resource requirements
- 8. Evaluability

The prioritized evaluations will form the evaluation plan that will be managed centrally by the Evaluation Unit. This biennial evaluation plan does not, however, determine the complete set of evaluations actually undertaken. The implementation of the plan is influenced by various factors, including the availability of resources, and requests for ad hoc evaluations by different stakeholders. The plan must be flexible to absorb new demands from within as well as from outside the organization, as the need arises.

Programme/Project managers may initiate and commission evaluations that are not included in the evaluation plan, to assess and seek ways to improve their programmes.

They may be internally or externally conducted. Such evaluations are referred to as decentralized evaluations. Programme managers are responsible for managing decentralized evaluations, but must inform the Evaluation Unit of such evaluations and request technical advice and assistance from the Evaluation Unit.

It is essential that planning for monitoring and evaluation take place at an early stage of project/programme formulation, and resources required for evaluation need to be reflected in project documents. This is because (i) the design of the project affects how it will be evaluated in future; (ii) SMART project results and indicators are foundational to evaluation and; (iii) monitoring results throughout the project's implementation is critical to having valid information for an evaluation.

b) Budgeting for evaluations

Evaluation being a core function of the organization, it is essential that a core budget be allocated to the evaluation function as part of the overall planning and budgeting processes. This core budget allocation should be complemented by other budget sources, such as donor commitments for specific programmes and evaluation budgets for projects and programmes.

The UNEG norm (N2) states that "the Governing Bodies and/or the Head of the organizations are also responsible for ensuring that adequate resources are allocated to enable the evaluation function to operate effectively and with due independence" The standard benchmark established for evaluation is three to five percent of the overall budget of a programme. However, given the resources constraints in the UN Secretariat,



and the developing status of the Secretariat evaluation functions, a benchmark of 1% of the total budget was suggested24.

Programme and project managers/leaders are responsible for ensuring that adequate resources and for evaluation are planned in the project documents, and the Programme Advisory Group (PAG) should not approve projects that do not have adequate resources for evaluation.

Responsibility for provision of financial resources required for evaluation that are not included in the evaluation plan rests with the party that requests or commissions the evaluation. For decentralized evaluations, cost-recovery will be charged for support activities rendered by the Evaluation Unit, such as reviews of TOR, draft evaluation reports, training staff in evaluation and review of project proposals in the Programme Advisory Group.

4.2.2.2 Pre-evaluation: Initial considerations for an evaluation

Before evaluation managers start to design a specific evaluation, they should consider the following elements:

- 1. Establish the need and purpose of the evaluation.
- 2. Establish what needs to be accomplished and the issues to be addressed.
- 3. Identify and engage the relevant stakeholders.
- 4. Determine the scope, approach and appropriate methodology.
- 5. Estimate resources needed and/or available for the evaluation.
- 6. Determine the evaluability of the intervention to be evaluated.

Determining the evaluability of the intervention to be evaluated

Determining evaluability means assessing intervention to see if the evaluation is feasible, affordable and of sufficient value to proceed.

Unless considerations of evaluability are built into the design, an evaluation may eventually not be feasible.

In additional to developing logical frameworks of programmes and projects, options for data collection and availability of baseline data should be considered during the design phase of an intervention. Table 24 shows six practical steps for determining evaluability of interventions.

design, delivery and policy directives".



²⁴ United Nations Secretariat Evaluation Scorecards 2010-2011 to complement the OIOS biennial report on "strengthening the role of evaluation and application of evaluation findings in programme



	Table 24: Steps in evaluability Assessment			
	Steps	Questions	Data sources	
1	Understand the context of the intervention	What is the political, economic, social and cultural context of the intervention? Who are the key stakeholders and beneficiaries?	Background documents, progress reports, and colleagues	
2	Is the strategic intent of the intervention clear?	Is the strategic intent well understood by key stakeholders? Is the intervention relevant to the UN-Habitat, donors and national priorities?	Background documents and manager of the intervention	
3	Determine if the intervention is clear about what will be accomplished	Are there clearly defined and realistic results (expected accomplishments) for the intervention? Has a Theory of Change been developed that clearly captures the programme logic and its underlying assumptions? Are there valid indicators for each expected accomplishment of the intervention?	Background documents	
4	Determine whether there is required data for the evaluation	What monitoring data exists? Is there sufficient capacity to provide data for the evaluation? Does baseline data exist? Is there sufficient data collected from monitoring against a set of targets? Are there well documented progress reports? Who will be key informants?	Progress reports Databases Key partners	
5	Determine how the evaluation information will be used	How will the evaluation information be used? What purpose will the evaluation serve? Is the evaluation relevant given the evolving context? Who is requesting the evaluation and who stands to benefit from the evaluation?	Office or unit commissioning the evaluation, senior managers, Key partners	
6	Roughly estimate the time and resources needed for the evaluation, and their availability	When does the evaluation need to be completed? E.g. for decision-making or budgetary purposes? What expertise is needed for the evaluation? Are there sufficient resources (human and financial) allocated for evaluation?	Documents on similar evaluations	

Checklist for initial consideration before the evaluation

Before the evaluation manager begins to prepare the TOR, they should have a basic understanding of the evaluability, purpose and issues to be addressed, involvement of stakeholders, scope, approach and methodology, resource, timing and need for a reference group (see table 25).



Table 23. Checklist for consideration at the early planning stage of the evaluation				
Ensuring Evaluability	~	The evaluability of the programme/project in question was considered during the planning stage. If not, it should be clarified by whoever requested the evaluation.		
	✓	The evaluation budget was considered and planned during the planning stages and proper approval/appraisal mechanisms were utilized.		
Determining the purpose of evaluation	7	Identify why the evaluation is being carried out. Identify potential users of the evaluation: Who requested the evaluation? What do they want and why do they want it? E.g., UN-Habitat management, donors, governing bodies or institutions that are expected to make use of the evaluation process and its results.		
	~	Ensure that the evaluation purpose is defined through a participatory process engaging relevant stakeholders		
	1	Do not proceed with the evaluation unless a clear purpose is determined.		
Issues to be addressed ✓ Identify fundamental questions to be answered by the evaluation.				
	1	Identify key stakeholders, clarify roles and responsibilities and how they will be involved in the evaluation process.		
Involving stakeholders	1	Consult insiders (e.g., project managers , programme funding sources, and programme implementers).		
		Consider how stakeholder inputs will be encouraged throughout the process of design, operation and use of evaluation.		
approach and evaluation should be covered by the approach and methods to		Consider the scope, approach and methodology of the evaluation. The scope of the evaluation should be covered by the approach and methods to be applied for the evaluation; and should be feasible with the resources and time available.		
		Are there sufficient (human and financial) resources allocated to the evaluation? For instance, are key informants such as implementing staff, main partners and target group representatives available?		
Timing of the evaluation	√	The time frame for completion of evaluation		
Evaluation reference	√	Consider establishing a reference or steering group, where necessary, to support the evaluation process.		
group, where	1	Clarify the roles of the reference group.		
necessary	7	Discuss approaches, strategies and issues with the steering/reference group		



Assessing evaluability	1	Does the subject of the evaluation have a clearly defined results chain – the programme logical model? Is there common understanding as to what initiatives will be subject to evaluation?
	✓	Is there a well-defined results framework for initiative(s) that are subject to evaluation? Are goals, outcome statements, outputs, inputs and activities clearly defined? Are indicators SMART?
4		Is there sufficient capacity for the initiative(s) to provide required data for evaluation? For example, is there baseline data? Is there sufficient data collected from monitoring against a set of targets? Are there well-documented progress reports, field visit reports, reviews and previous evaluations?
	1	Is the planned evaluation still relevant, given the evolving context? In other words, is there still a demand for the evaluation? Is the purpose of the evaluation clearly defined and shared amongst stakeholders?
	✓	Will political, social and economic factors allow for the effective conduct and use of evaluation findings as envisaged?

4.2.2.3 Developing Terms of Reference (TOR) for an evaluation

The Evaluation Manager prepares the TOR once the decision is made to proceed with an evaluation. The TOR document offers the first substantive overview and conceptual outlook of the evaluation. It articulates management's requirements and expectations for the evaluation and guides the evaluation process, until the evaluation work plan (inception report) takes over as the primary control document. The evaluation work plan, prepared by the evaluator, brings great specificity and precision to evaluation planning — refining and elaborating on what has been set out in the TOR.

Developing an accurate and well-specified TOR is a critical step in managing a high-quality evaluation. Before preparing the TOR, you should have a basic understanding of:

- 1. Why and for whom the evaluation is being done.
- 2. The issues to be addressed and what the evaluation intends to accomplish.
- 3. Who will be involved and the expertise required to complete the evaluation.
- 4. When milestones will be reached and the time frame for completion.
- 5. What resources are available for conducting the evaluation.

(a) What goes into an evaluation TOR? (content of the TOR)

The content of the TOR should provide sufficient background information related to the assignment, and move in a logical order from the evaluation objectives and intended users, through the required qualifications of the evaluation team and the resources available. The level of detail of the sections will vary based on the nature and magnitude of the evaluation task, but essential elements are summarized in box 25.

A TOR presents an overview of the requirements and expectations of the evaluation. It details parameters for the conduct of the evaluation. It provides the background and context for the evaluation: the purpose, objectives and for whom the evaluation is being done; the scope of the evaluation; the framework, including criteria, tailored evaluation questions and how crossing cutting issues such as human rights, gender and environmental issues will be incorporated; evaluation methodology; stakeholders involvement: accountabilities responsibilities; evaluation team composition and qualifications; procedures and evaluation process; description of deliverables; scheduling of evaluation and resource requirements. This section sets out essential elements of the TOR:



BOX

25

Contents of the TOR

Why do the evaluation and why now?

- Evaluation title
- Introduction/background and rationale
- Evaluation purpose and objectives
- Users of the evaluation

What are we evaluating?

- Evaluation scope and focus
- Evaluation criteria and questions
- Beneficiaries
- Intervention indicators

How are we evaluating?

- Evaluation approach and methodology
- Data sources and collection procedures
- Stakeholders participation
- Data analysis procedures

How will the evaluation be managed?

- Roles and responsibilities
- Evaluation team composition
- Evaluation activities and schedules
- Evaluation deliverables
- Budget and payment

1. Title

The title identifies what is being evaluated. A good title is short, descriptive, striking and easily remembered.

2. Introduction/Background information and rationale

The opening section of the TOR provides orientation about the overall intervention being evaluated. This section should describe the background and context of the programme and its current status. **Main objectives** and **expected results** of the programme must be clearly stated, including key outcome indicators. The context in which the programme is being implemented including organizational, social, political, regulatory, economic or other factors that have been directly relevant to the programme's implementation should be described. Roles and responsibilities of key stakeholders in the design and implementation of the programme should also be described. In addition, this section should

provide information on the legislative authority and mandate for the evaluation, and what is expected to be achieved.

3. Purpose and objectives of evaluation

This section should provide the purpose and objectives of the evaluation. It should clarify who the evaluation is for. Why is the evaluation being undertaken, and why is it being undertaken now? And how will the evaluation results be used? While the purpose clarifies why the evaluation is being carried out, the objectives should describe what the evaluation aims to achieve. The following are typical objectives for a programme or project evaluation.

- To assess what the programme achieved vis-à-vis its objectives?
- To assess the relevance, efficiency, effectiveness and sustainability of the programme/intervention
- To assess the extent to which the design and implementation of the programme takes into consideration cross-cutting issues of gender equality and human rights approaches
- To identify concrete recommendations for improvement
- To assess the efficiency with which the outputs are being achieved

4. Evaluation scope and focus

This section presents the parameters of the evaluation in terms of scope and limits. The scope should be realistic given the time and resources available to implement the evaluation. The following should be considered in defining the scope for evaluation:

- The period covered by the evaluation, e.g., past five years of the programme; or since the implementation of the Strategic Plan 2014-2019;
- Geographical coverage: country level, regional, global E.g., African countries targeted by the WATSAN programme;
- Thematic coverage (If it is a programme, which projects will be covered?).
- Criteria against which the subject will be evaluated:
 All major evaluations usually include the criteria of efficiency, effectiveness, relevance, impact and



sustainability (for definitions of the evaluation criteria see UN-Habitat Evaluation Policy page 3, paragraph 10)

5. Evaluation approach and methodology

Specifying the evaluation approach and methodology for the evaluation is normally challenging. It should describe steps and activities that will be undertaken to answer the evaluation questions. At UN-Habitat, development of the evaluation approach and methodology consists of three steps:

- Determining the design
- Choosing information collection methods
- Determining the method(s) of data analysis

Determining the design

In order to establish whether an intervention has brought about change, the situation before and after the implementation of the intervention must be compared. For this method to be employed, it requires baseline data be established before project implementation.

If changes have been observed after the implementation of the intervention, it is important to determine whether the changes observed can be directly attributed to UN-Habitat's contribution. One way to do this is to explore the "counterfactual", which means asking "What would have happened without UN-Habitat's involvement?" UN-Habitat's contribution is determined with more certainty if it can be shown that a similar change did not take place for groups or countries that were not targeted by the intervention.

For many evaluations it would be a challenge to ascertain this information for the following reasons: (i) it is difficult to attribute a change directly to UN-Habitat's involvement, and 2) it is difficult to compare the situation of countries or regions because of differences in historical, political, social and economic conditions. As UN-Habitat's work is carried out predominantly at global, regional, national and local levels, it is not easy to find suitable comparison groups. For these reasons it is advisable to do a pre and post intervention comparison.

Choosing data collection methods

The methodology and evaluation questions should

guide the determination of the data collection method that would be most appropriate. The following considerations may help to determine which method of data collection would be appropriate:

- What data is already available and what needs to be collected?
- What data collection method will best answer the evaluation questions?
- What resources and time are available for data collection
- What method will ensure stakeholder involvement?
- Would the validity, accuracy and reliability (consistent results using the same method) of data be strengthened through a mixed qualitative/ quantitative approach?

The quality of the evaluation very much depends on the methods used. Key elements generally include:

- The methodological framework (document review, desk study, interviews, field visits, questionnaires, observation and other participatory techniques, participation of partners and stakeholders, benchmarking)
- Expected data collection methods (instruments used collect information)
- Availability of other relevant data, such as existing from similar programmes
- Process for verifying findings

Determining method(s) for data analysis

Analysis and interpretation of results is a critical exercise. Data analysis is the search for patterns and relationships within the data, and is guided by the evaluation questions. Many different means for analysing qualitative and quantitative data exist. Whichever method is chosen, the evaluation manager and the reference group, if established, should work with the evaluation team to place the findings within the context of the programme or organization; identify possible explanations for unexpected results; and determine what conclusions can be drawn from the data without unduly influencing the recommendations.



6. Stakeholder participation

This section should specify the involvement of key stakeholders, as appropriate, and provide a sound rationale. It should be clear how specific stakeholders will participate, i.e., in planning and design, data collection and analysis, reporting and dissemination, and/or follow-up.

7. Evaluation team composition

The expertise, skills, and experience needed will depend on the scope and methodology of the evaluation. The TOR should specify as clearly as possible what the profile of the evaluator or team should be, to attract strong candidates to conduct the evaluation. Useful details in this section relate to:

- Whether the evaluation is to be conducted by an individual or a team, or whether both possibilities could be considered.
- What specific expertise, skills, and prior experience
 the evaluators are required to have? Evaluators
 must have extensive experience in carrying out
 evaluations, technical knowledge of the topic that is
 being evaluated, as well as other specific expertise,
 such as country-specific knowledge, language
 skills, and an understanding of UN-Habitat and the
 organizational context in which it operates. The
 M&E Unit will be available to provide support in
 identifying suitable candidates.
- Distinguishing between desired and mandatory competences, as well as whether competencies are required by the whole team or by certain team members;
- The expected distribution of responsibilities among the team leader and other team members.
- Additional information that will assist in gauging the qualifications of evaluators should be noted in this section.

8. Responsibilities and accountabilities

This section of the TOR specifies the roles, responsibilities and management arrangements for carrying out the evaluation. Any decision-making arrangements (such as a steering committee or an advisory or reference group) should be described here in terms of their functions. The responsibilities of the evaluation manager,

evaluation team leader and team members, as well as other stakeholders should be included in this section.

9. Deliverables

The outputs and reporting requirements expected for the evaluation should be specified in this section. Generally, the TOR calls for the evaluator to produce three primary deliverables: (i) an evaluation work plan (inception report); (ii) draft evaluation report for review; and (iii) and a final report (including an executive summary). The standard format for preparing the final report is set out in this guide.

10. Evaluation Schedule

The time frame for products, including milestones should be included in this section. An approximate timetable (to guide preparation of the evaluation work plan) should be prescribed. Alternatively, the TOR may specify the expected scope and deliverables, and request that evaluators propose a realistic time frame.

11. Budget and payment schedules

The evaluation manager should have cost projections for the evaluation. In cases where a limited budget is likely to constrain the scope and methodology, a good practice is to state the available budget and ask evaluation proposers to describe what they can achieve with that budget. Alternatively, the TOR can ask evaluators to come up with their own estimates based on the tasks they propose. For TORs targeting individual consultants, UN-Habitat will set a budget for the consultant's fee, with the expectation that travel costs will be arranged and covered separately.

Cross-cutting issues human rights, gender issues, youth and climate change /environment in evaluations

A number of cross-cutting issues need to be taken into account in carrying out evaluation studies. These include gender mainstreaming, human rights, climate change and capacity building. UN-Habitat is committed to ensuring that these basic principles are reflected in all its programming activities and throughout the project cycle.

UN-Habitat's Gender Policy and Gender Equality Action plan aim at mainstreaming a gender perspective and



practicing a gender-sensitive approach in all UN-Habitat interventions. All UN organizations are guided by the United Nations Charter, and have a responsibility to meet obligations towards the realization of human rights. Many projects impact on the physical environment and climate change, both directly and indirectly. For any project to be truly sustainable, it is important that issues of environmental impact are taken into account. UN-Habitat's environmental assessment requirements (2004) emphasize integrating environmental assessments in project planning, implementation, monitoring and evaluation, in order to minimize adverse impacts programmes may cause for the environment.

13. Gender equality and empowerment

The "gender approach" is not concerned with women per se, but with the social construction of gender and the assignment of specific roles, responsibilities and expectations to women and men. The gender approach does not focus solely on productive or reproductive aspects of women's and men's lives. Rather, it analyses the nature of the contribution of every member of society both inside and outside the household, and emphasizes the right of everyone to participate in the development process and benefit from the results of the process. Gender analysis should be considered throughout the process from programme planning and design to programme evaluation.

Indicators need to allow for measurement of benefits to women and men, and these will depend on the nature of the project under evaluation. Indicators need to capture quantitative and qualitative aspects of change. Quantitative indicators should be presented in a sex-disaggregated way. Qualitative information is also critical, and information will need to be collected through participatory methods such as focus groups and case studies. Another area of importance is the need to develop indicators of participation. Examples include pinpointing levels of men's and women's participation; women's and men's perceptions of the degree of group solidarity and mutual support; women's and men's perceptions of the ability of group members to prevent and resolve conflicts; and the participation of women and poorer people in decision-making processes. There is no agreed-upon method to measure empowerment, but it usually involves two aspects:

- personal change in consciousness characterized by a movement towards control, self-confidence and the capacity to make decisions and determine choices; and
- the creation of organisations aimed at social and political change.

14. Human rights

Human rights are the civil, cultural, economic, political and social rights inherent to all human beings, whatever their nationality, place of residence, sex, sexual orientation, national and ethnic origin, colour, ability, religion, language, or any other factor. They are considered universal, interdependent, and non-discriminatory. All human beings are entitled to these rights without discrimination. The strategy for implementing human rights in UN programming is called the Human Rights-Based approach (HRBA).

Key concepts of HRBA are:

- The development process is normatively based on international human rights standards and principles;
- It aims for the progressive achievement of all human rights;
- It recognizes human beings as rights-holders and establishes obligations for duty-bearers. It focuses on identifying capacity gaps, and developing capacities accordingly;
- It focuses on discriminated and marginalized groups;
- It gives equal importance to the outcome and process of development.

15. Youth

- Similar to the analysis of gender equality and empowerment, a youth analysis should be part of the total process from project planning and design to project evaluation.
- Indicators need to allow measurement of benefits to youth, and these will depend on the nature of the project under evaluation. Indicators need to capture quantitative and qualitative aspects of change. Quantitative indicators should be presented in an age-disaggregated way. Qualitative information is also critical, and information will need to be collected through participatory methods such as focus groups and case studies.



 Indicators of participation are also important. Examples include pinpointing levels of youth participation; youth perceptions of the degree of group solidarity and mutual support; perceptions of the ability of group members to prevent and resolve conflicts; and youth participation in decisionmaking processes.

16. Climate Change/ Environmental Aspects

Many projects impact on the physical environment, both directly and indirectly. For any project to be truly sustainable, it is important that issues of environmental impact are taken into account. The following are some key questions from which the most appropriate response should be selected:

- Was an environmental impact assessment made?
- Was environmental damage done by or as a result of the project?
- Did the project respect traditional ways of resource management and production?
- Were environmental risks managed during the course of the project? Will these continue to be managed?
- Overall, will the environmental effects of the project's activities and results jeopardize the sustainability of the project itself or reach unacceptable levels?

The TOR for an evaluation should contain questions to assess whether human rights, gender and environmental dimensions have been adequately considered by the intervention during its design and implementation. The evaluation manager will have the greatest influence at the initial consideration stage and it is important that they have a good understanding of the application of human rights, gender, youth and climate change/environment in the UN system. If this expertise is missing, it is advisable to seek assistance during the planning and development of TOR.

UN-Habitat Quality Checklist for Evaluation Terms of Reference and Inception Reports

The following checklist (table 26) provides a basis for reviewing the quality of the TOR and inception reports. It should be used by the drafters of the evaluation TOR and inception reports to ensure that all necessary elements are contained within the documents. The checklist is drawn from the UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports (2010) with modifications.

Table 26: Checklist for preparation of ToRs

Evaluation Title	1	Does the title indicate what is to be evaluated?			
Background/ Context	1	Does the TOR adequately elaborate the expectations and rationale for the intervention being evaluated? Does the TOR include sufficient and relevant contextual information?			
Determining the purpose	7	Is there clear description of the external political, economic, social and cultural context within which interventions are situated?			
of evaluation	1	Does the TOR reference the mandate for the conduct of the evaluation? Does the TOR adequately describe the most relevant programmatic and thematic aspects relevant to the evaluation?			
Purpose and Objectives	1	Does the TOR clearly state the purpose of the evaluation and how it will be used? Does the purpose clearly state why the evaluation is being carried out and what is expected to be accomplished?			
	1	Does the TOR mention who requires the evaluation results and how they will use the evaluation findings?			
	7	Do specific objectives clearly follow from the overall purpose of the evaluation? Are the objectives realistic and achievable, in the light of the information that can be collected?			



Scope and Focus	1	Does the TOR include the scope of the evaluation, indicating for instance time frames, phases of the project, geographical area to be covered by the evaluation, or parameters with respect to the subject being evaluated?			
	1	Is the scope of the evaluation feasible given resources and time considerations?			
	1	Is the scope of the evaluation adequate to meet the stated evaluation objectives?			
Evaluation Criteria		Does the TOR specify the evaluation criteria against which the intervention should be assessed, including for instance efficiency, effectiveness, relevance, impact and sustainability?			
	7	Does the TOR include assessment of cross-cutting issues such as human rights, gender equality and environmental aspects?			
	✓	Does the TOR spell out any additional criteria of relevance to the particular type of evaluation being undertaken, such as evaluations of development, humanitarian response and normative programmes?			
Evaluation co		Does the TOR include evaluation questions within the framework of the evaluation criteria? Does it include questions to assess cross-cutting issues of gender, human rights, and environment?			
	7	Does the TOR have evaluation questions tailored to the objectives of the evaluation?			
✓		Do the questions address the value added by the interventions?			
Methodology	7	Does the TOR specify the data collection and analysis methods, including information on the overall methodological approach?			
Stakeholder Participation	✓ Does the TOR describe involvement of key stakeholders and communicate e from stakeholder participation?				
Evaluation Team	bocs the following qualifications for evaluators, the composition of the evaluations				
Responsibilities	esponsibilities Does the TOR specify the roles, responsibilities and management arrangement carrying out the evaluation?				
Work Scheduling	Does the TOR specify the time frame for evaluation products?				
Deliverables	✓ Does the TOR describe the deliverables/products, in terms of format, structure and length?				
	1	Is there a proposed structure for the evaluation report?			
Budget	✓	Does the TOR indicate financing for the work to be performed?			

4.2.2.4 Selection of the evaluator or evaluation team

Evaluations should be conducted by well-qualified evaluators, selected through an established contracting process. A good team should have an appropriate mix of skills and perspectives, and the team leader is responsible for organizing the work distribution, and for making sure that all team members contribute meaningfully. The number of evaluators in a given team

will depend on the size of the evaluation. Multi-faceted evaluations will need to be undertaken by a multi-disciplinary team. It is important to uphold the UNEG norms and standards on competences and ethics in order to minimize conflict of interest and maximize the objectivity of the evaluation.

The engagement of an evaluation team essentially involves four steps: (i) deciding on the sourcing options; (ii) identifying potential candidates; (iii) notifying the successful candidates; and (iv) negotiating and signing



the contract. In UN-Habitat, the selection process is guided by UN rules of procurement. Members selected must bring different expertise and experience to the evaluation team. If possible, at least one member of the team should be experienced in the sector or technical areas addressed by the evaluation, or have the knowledge of the subject to be evaluated; and at least one other member should preferably be an evaluation specialist experienced in using specific evaluation methodologies.

The composition of the evaluation team should have a gender balance and geographical diversity, and should include professionals from the countries or regions being evaluated. The skills and other qualifications required for the evaluators vary from case to case, but the following are usually important:

1. Evaluation expertise

For an evaluation to be successful, the team must have extensive experience in carrying out evaluations and an understanding of RBM principles, as well other specific expertise such as country-specific knowledge, language skills and an understanding of UN-Habitat and the context in which it operates. The evaluators should have the ability to present credible findings derived from evidence and put forward conclusions and recommendations supported by the findings, and the skills necessary for facilitating stakeholder participation and effectively presenting evaluation results to diverse audience. The United Nations Standards for Evaluation in the UN System²⁵ advise that work experience in the following areas is particularly important:

- Design and management of evaluation processes
- Survey design and implementation
- Social science research
- Programme/project/policy planning, monitoring and management

It is also recommended that an evaluator be identified, with specialized experience including data collection and analytical skills in the following areas:

- Understanding of gender considerations
- Understanding of human rights-based approaches to programming
- Logic modelling/logical framework analysis
- Qualitative and quantitative data collection and analysis
- Participatory approaches

In addition, personal skills in the following areas are important:

- Teamwork and cooperation
- Capability to bring together diverse stakeholders
- Communication skills
- Strong drafting skills
- Analytical skills
- Negotiations skills

2. Subject matter expertise

Substantive expertise is always important, although more so in some evaluations than in others. It is not until the evaluation questions have been formulated that the need for subject-matter expertise can be more precisely defined.

3. Local knowledge

A good understanding of local social and cultural conditions is often necessary to help evaluators understand whether an intervention has been successful. When the evaluation involves contacts with local level officials or representatives of target groups, local language skills may be required. In any case, members of the evaluation team should familiarize themselves with the cultural and social values and characteristics of the intended beneficiaries. In this way, they will be better equipped to respect local customs, beliefs and practices throughout the evaluation work.

4. Gender equity representation

An evaluation team should be gender balanced and geographically diverse, and should aim to include

²⁵ United Nations Evaluation Group (UNEG), Norms and Standards for Evaluation in the UN system, April 2005 (available online at http://www.uneval.org)





professionals from the countries or regions concerned. Using local consultants can also help build evaluation capacity in the countries concerned.

5. Ethical considerations

This is a critical element of selecting and managing an evaluation team. The UNEG website²⁶ has code of conduct guidelines on ethical attitudes and behaviours of evaluators. These codes of conduct must be an integral part of any contract with any consultant to undertake evaluation in UN-Habitat.

UN-Habitat has a roster of consultants and there are a number of rosters online with evaluation professional associations that can be useful in searching for qualified evaluators. Box 26 (below) provides resources for identifying an external evaluator.

BOX **26**

Resources for identifying external evaluators

Disseminating the TOR for the evaluation through a listserv or posting it on the website of an evaluation association may increase the number of qualified applicants for the consultancy. A few of the relevant associations are listed below:

- United Nations Evaluation Group: www.uneval. org/contacts
- Organization for Economic Cooperation and Development – Development Assistance Committee (OECD/DAC) Network on Development Evaluation: www.oecd.org/dac/ evaluationnetwork
- International Development Evaluation Association (IDEAS): www.ideas-int.org
- International Program for Development Evaluation Training (IPDET): www.ipdet.org
- Monitoring and Evaluation News: www.mande. co.uk
- Sri Lanka Evaluation Association: www.usf. ac.lk/sleve
- Malaysian Evaluation Association: www.mes. org.my

Profile of the evaluation consultants

Depending on the complexity of the evaluation, UNEG has outlined levels of expertise for reference²⁷. In general, evaluators should have professional work experience, specific technical knowledge, understanding of evaluation process and interpersonal skills. The following table (table 27) is an evaluator selection checklist developed from the UNEG Standards.

²⁶ (http://www.unevaluation.org/unegcodeof conduct)

²⁷ UNEG Core Competencies for Evaluators of the UN System (http://www.uneval.org/document/detail/81)



		————— Table 27: Checklist for selection of evaluation consultants —
Knowledge of UN context	~	Does the candidate have understanding of the UN context and work experience to structure and carry out all aspects of the evaluation as per management's expectations?
and topics	√	Does the candidate have understanding of human rights, gender considerations and environmental issues?
	1	Does the candidate have experience in the country where the evaluation is to take place?
	~	Does the candidate possess adequate understanding of the local social and cultural issues and meet the language requirements to function effectively?
	√	Does the candidate demonstrate of knowledge of participatory approaches?
Technical and professional skills.	~	Does the candidate possess knowledge of the technical area being evaluated?
	7	Does the candidate have knowledge of evaluation processes, including evaluation design, data collection, data analysis and reporting?
	√	Does the candidate understand quantitative and qualitative data collection methods and analysis?
	√	Does the candidate have knowledge of logical framework analysis and application of RBM?
Managerial skills	1	Does the candidate possess capabilities for managing human and financial resources?
201112	√	Does the candidate possess skills for planning, setting standards and monitoring work?
	√	Does the candidate possess strategic and global thinking?
	√	Does the candidate possess foresight and problem-solving skills?
Personal	1	Does the candidate have teamwork and cooperation competences?
skills	1	Does the candidate have capability to bring together diverse stakeholders?
	1	Does the candidate have good communication skills?
	1	Does the candidate have strong writing skills?
	~	Does the candidate demonstrate the ability to successfully complete the evaluation respecting time and cost constraints?

Contract negotiations

The evaluation manager selects and recommends the successful consultant(s) to the recruitment sections for drawing up the contract. Before undertaking evaluation work within UN-Habitat, the evaluation manager should initiate contract negotiation with the evaluator(s). The intent is to establish a mutual understanding of what is to be done, by when, and at what cost, within the best interest of the organization. Methods of payment

should also be negotiated, for example:

- 1. 20% upon signing the contract
- 2. 40 % upon submission of draft report
- 3. 40% after approval of final report

Briefing the evaluation team

It is recommended that a briefing session be organized with the evaluation team before the start of the



evaluation. The briefing should cover the following:

- Introducing evaluation team members, particularly if they have not worked with each other before
- Ensuring that the evaluation team understands the programme to be evaluated and the organizational context
- Ensuring a common understanding of the purpose, objectives, scope and limitations of the evaluation
- Providing available documentation, and
- Explanation of the reporting requirements.

A list of documentation that may be useful to the evaluation team is listed in the box 27 below:

вох 27

List of documents to be made available to the evaluation team

GENERAL

- Organizational diagram
- Contact list of relevant stakeholders to be contacted
- Publications/promotional materials (booklets, brochures etc.)
- Mission reports
- Budget allotments and expenditures
- Reports from previous evaluations

PROGRAMMES/SUBPROGRAMMES

- Work programmes and budgets,
- Results framework
- Branch annual work plans
- IMDIS reports
- MTSIP performance reports

PROJECTS

- Project documents
- Project logic frameworks
- Relevant agreements
- Project revisions if applicable
- Project progress reports
- Other evaluations /reviews if applicable.

4.2.2.5 Preparation of evaluation work plan (the inception report)

The evaluation work plan provides an opportunity for evaluators to build on the initial ideas and parameters set out in the TORs, to identify what is feasible, suggest refinements and provide elaboration. It describes the main elements of how the evaluation will be conducted.

It outlines the overview of the intervention being evaluated, the evaluation issues, how findings will be used, the evaluation questions, information sources, evaluation methods, responsibilities and accountabilities, the profiles of evaluation team, a work schedule attaching dates to key milestones for the evaluation and the budget and payment schedule.

Evaluators are therefore expected to review all relevant information related to the intervention being evaluated and prepare an evaluation work plan (the inception report) based on (i) the TOR and (ii) the planning and approval documents. Provision for the preparation of the evaluation work plan should be made in the TOR, and in such cases UN-Habitat normally requires that the evaluation work plan be approved before the evaluation can proceed to the next phase.

Once approved, the evaluation work plan becomes the key management document for the evaluation delivery. In preparing the work plans, evaluators are expected to build on what was put forward in the TOR and identify what is feasible, suggest refinements and provide elaboration.

It is important that both the evaluation manager and the evaluation team come out of the planning process with a clear understanding of how the evaluation work is to be performed. The following table (table 27) provides the main elements of an evaluation work plan.



	Table 28: Elements of the evaluation work plan		
The key to a good evaluation plan	Focus should link the evaluation to UN-Habitat mandates and priorities, expected results and reach to beneficiaries.		
Overview of the intervention	Focus should be on the context, overview of the intervention and its objectives, and the level of investment and stakeholder participation		
	The expected results (outputs, outcomes and impacts) of the intervention		
	Progress towards achieving expected results should also be reported in this section		
Why the evaluation is being conducted (Purpose of evaluation)	This section should address the objectives (key issues) and identify key audiences of the evaluation. Expectations of evaluation and evaluation questions should come out clearly.		
Evaluation methodology	The methodology adopted should focus on meeting the requirements and expectations set out in the TOR. The goal is to formulate a strategy that best achieves these objectives given the range of available information.		
	The evaluation methodology should describe a logical model for assessing the intervention that credibly responds to key evaluation issues.		
	The process for data collection and analysis should be identified. Limitations and challenges the evaluator expects should be addressed in this section.		
Evaluation framework	The evaluation framework systemizes the methodology, identifies issues to be addressed and sub-questions that provide elaboration, as well as the performance indicators and sources of information and methods of collecting that information.		
Accountabilities and responsibilities	The work plan should specify the roles of each stakeholder in the evaluation. It should profile the composition of the evaluation team, identifying each individual's roles and responsibilities. Qualifications, experience and areas of expertise of each evaluation team member could be appended.		
Work scheduling	The evaluation work plan should provide a schedule that establishes a working framework for the evaluation. Individual tasks should be assigned time frames and target dates for milestones and completion of deliverables.		
Resources & Budgets	The evaluation work plan should include budget and payment schedules.		
Reporting	The evaluation work plan should describe schedules for reporting, briefing and outlining the contents for the evaluation report.		

4.2.2.6 Ethical conduct of Evaluation

Obligations of Evaluators

Independence

Evaluation in UN-Habitat should be demonstrably free of bias. To this end, evaluators are recruited for their ability to exercise independent judgment. Evaluators shall ensure that they are not unduly influenced by the views or statements of any party. Where the evaluator or the evaluation manager comes under pressure to adopt a particular position or to introduce bias into the evaluation findings, it is the responsibility of the evaluator to ensure that independence of judgment is maintained.

Where such pressures may endanger the completion or integrity of the evaluation, the issue should be referred to the evaluation manager who will discuss the concerns of



the relevant parties and decide on an approach that will ensure that evaluation findings and recommendations are consistent, verified and independently presented (see below Conflict of Interest).

Impartiality

Evaluations must give a comprehensive and balanced presentation of the strengths and weaknesses of the policy, program, project or organizational unit being evaluated, taking due account of the views of a diverse cross-section of stakeholders. Evaluators shall:

- Operate in an impartial and unbiased manner at all stages of the evaluation.
- Collect diverse perspectives on the subject under evaluation.
- Guard against distortion in their reporting caused by their personal views and feelings.

Credibility

Evaluation shall be credible and based on reliable data and observations. Evaluation reports shall show evidence of consistency and dependability of data, findings, judgements and lessons learned; appropriately reflecting the quality of the methodology, procedures and analysis used to collect and interpret the data.

Evaluation managers and evaluators shall endeavour to ensure that each evaluation is accurate, relevant, and timely, and provides a clear, concise and balanced presentation of the evidence, findings, issues, conclusions and recommendations.

Conflicts of Interest

Conflicts of interest shall be avoided as far as possible so that the credibility of the evaluation process and product shall not be undermined. Conflicts of interest may arise at the level of the Evaluation Unit, or at the level of individual staff members or consultants. Conflicts of interest should be disclosed and dealt with openly and honestly.

Evaluators are required to disclose in writing any past experience, or that of their immediate family, close friends or associates that may give rise to a potential conflict of interest.

4.3 Implementing Evaluations

he implementation of evaluations is carried out by the evaluation team. The evaluation manager stays in touch with the evaluation team to provide assistance or clarification where needed. To ensure that evaluations are carried out in a professional and ethical manner²⁸, evaluators should be provided with UNEG Norms and Standards as an integral framework for evaluations in UN-Habitat, in addition to UN-Habitat policy.

After the evaluation workplan is approved, establishing a clear understanding of how the evaluation will be carried out and what will be achieved, the evaluator embarks on data collection and analysis.

4.3.1 Conducting the evaluation

(a) Data collection

The evaluation team conducts the evaluation following the methodology described and agreed upon in the TOR and inception report.

The data to be collected and methods for collecting the data will be determined by the evidence needed to address the evaluation questions, the analyses that will be used to translate the data into meaningful findings and judgments about what data is feasible to collect given time and resource constraints.

UN-Habitat evaluations should draw heavily on performance data generated through monitoring during the programme or project implementation cycle. However, performance information and indicators do not explain the full range of questions the evaluation seeks to address. For example, the indicators provide a measure of what progress has been made. They do not explain why that progress was made or what factors contributed to the progress. UN-Habitat evaluations should make use of a mix of data sources, collected

²⁸ UNEG Ethical Guidelines and UNEG Code of Conduct for Evaluations in the UN System (annex 10 and 11).



using multiple methods, to give meaning to what the performance information reveals about the intervention.

Primary data consists of information evaluators observe or collect directly from stakeholders about their first-hand experience with the intervention. This data generally consists of the reported or observed values, briefs, attitudes, opinions, motivations and knowledge of stakeholders, generally obtained through questionnaires, surveys, interviews, focus groups, key informants, expert panels, direct observation and case studies. These methods allow for more in-depth exploration and yield information that can facilitate deeper understanding of observed changes in outcomes and outputs.

Secondary data is data that was collected, compiled and published by someone else other than the stakeholder. Secondary data can take many forms but usually consists of documentary evidence that is directly relevant to the evaluation. Sources of documentary evidence include: national demographic data, published reports, project or programme plans, monitoring reports, previous evaluations/reviews and other records.

Table 29 presents brief descriptions of data collection methods that are commonly applied in evaluations in UN-Habitat.

Table 29: Summary of common data collection methods used in UN-Habitat evaluations

Method	Description	Advantage	Challenges	
Documents review	Existing documentation, including quantitative and descriptive information about the intervention	Cost efficient	Documentary evidence can be difficult to code and analyse in response to evaluation questions	
and evaluation systems measure progress, particularly actual results against expected results		Can be a reliable, cost-effective, objective method for assessing progress of outputs and outcomes	Depends on systems that have established baseline indicators and targets and have collected reliable data in relation to targets, as well as data relating to indicators	
		Good for gathering descriptive data on a wide range of topics and is easy to analyze	Data may provide a general picture but may lack depth; may not provide information on context, and is subject to sampling bias	
Interviews	Solicit person-to-person responses to predetermined questions designed to obtain in-depth information about individual impressions or experiences.	Facilitates fuller coverage, range and depth of information on a topic	Can be time consuming, difficult to analyse and costly	
Field visits/ on-site observations	Uses detailed observation forms to record accurate information onsite about how a programme operates (ongoing activities, processes, discussions, social interactions and observable results as directly observed during the course of an intervention	Possible to view programme operations as they are occurring.	Can be difficult to categorize or interpret observed behaviour Can be expensive	



Group interviews	A small group (8 to 10 people) are interviewed together to explore in-depth stakeholder opinions about an intervention.	Quick and reliable way to obtain common impressions from diverse stakeholders	Can be difficult to analyse responses	
Key informants	Qualitative in-depth interviews are often one-on-one, with a wide-range of stakeholders who have first-hand knowledge about the intervention and context.	Can provide insight on the nature of problems and give recommendations Can provide information on a single issue or a range of issues	Must have some means to verify information given	
Expert panels	A peer review or reference group, composed of external experts to provide input on technical or other substantive topics covered by evaluation	Adds credibility; can verify or substantiate information and results in a topic area	Cost of consultancy and related expenses may be high	
Case studies	Involves comprehensive examination through cross-comparison of cases, to obtain in-depth information with the goal of fully understanding the operational dynamics, activities, outputs, outcomes and interactions of a development project or programme	Useful for fully exploring factors that contribute to outputs and outcomes	Requires considerable time and resources not usually available for commissioned evaluations	

Data analysis and synthesis

Data analysis is a systematic process that involves organizing and classifying the information collected, tabulating and summarizing it, and comparing the results with other appropriate information to extract useful information that responds to the evaluation questions and fulfils the purpose of the evaluation.

Data analysis seeks to detect patterns in evidence, either by isolating important findings (analysis) or by combining sources of information to reach a greater understanding (synthesis). Mixed-method evaluations require the separate analysis of each element of evidence and a synthesis of all sources in order to examine patterns of convergence or complexity.

Depending on the evaluation, the evaluation team discusses the main findings with the evaluation manager or presents the main findings to the relevant UN-Habitat staff members. It is important that the evaluation manager ensures the independence of the evaluators by being prepared to accept the findings, even when they differ from the programme or evaluation manager's perspective.

4.3.2 Preparation of the draft evaluation report

Virtually all evaluations are presented as written reports. The main objective of the evaluation report is to convey the results of the evaluation in a way that corresponds to the information needs of the intended users of the evaluation.

Throughout the evaluation process, the evaluation team will document findings and conclusions. Usually, the lead evaluator will organize and facilitate team meetings to discuss findings and conclusions and coordinate the preparation of a draft report.

(a) The format of the draft report

UN-Habitat recommends the format for evaluation reports. The format should be used unless there is good reason for doing otherwise. The evaluators should consult with UN-Habitat's evaluation manager before adopting a different framework. Table 30 summarizes the format and contents of the evaluation report.



Table 30:	Conten	ts of t	the eva	luation	report

Content	Pages recommended	Comments
Title page	1	Title, date of issue Names of the evaluators Name of the office or unit commissioning the evaluation
Management Response	1	To be completed by the UN-Habitat Management Board
Table of Contents	1	List of chapters, sections and annexes
Executive Summary	1-4	 Background of the evaluation (one paragraph) Purpose and scope (one paragraph) Methodology (one paragraph) Brief summary of the main findings (one paragraph) Main conclusions (one-sentence conclusions) Lessons learned (summary) Recommendations (summary)
Introduction	1-3	Background of the evaluation and the topic being evaluated.
Purpose and Objectives		Purpose, objectives and outputsScope (including evaluation questions)
Methodology	1-2	 Description of methodology: activities, time frame, changes, compared to TOR, reasons for selecting sample reports, countries, sites, case studies, and interviewees as a representation of the topic being evaluated Limitations of the methodology and scope, and problems encountered
Evaluation findings	Vary in length	 General: supporting information for the performance assessment and other assessments Performance assessment: assessment against relevant evaluation criteria (relevance, efficiency, effectiveness and sustainability) with ratings Other assessments: against relevant additional criteria (gender, rights-based approach, environmental sustainability)
Conclusions		 Main conclusions, both positive and negative, of the evaluation that follow logically from the findings
Lessons learned		 In formulating lessons learned, the evaluator is expected to develop a perspective that goes beyond the subject evaluation, and use their expertise and experience to extrapolate the information learned for general application Lessons learned should generally be of two types: (a) Development lessons pertain to the realization of developmental results, improving aid practices, and delivering on UN-Habitat programming priorities. (b) Operational lessons have a managerial and administrative component, offering ideas for the establishment of a facilitating work environment and effective work practices. They can relate to performance measurement, donor coordination, resourcing requirements, team building, procurement practices, delivery or reporting systems



Recommendations	Recommendations based on the conclusions, which can be addressed to UN-Habitat management, staff, donors and other relevant stakeholders
	These are defined as 'individual statements derived from the evidence that prescribe who should do what in the future' to bring about the desired change. Recommendations 1) provide suggestions for introducing improvements and/or 2) identify matters for follow-up. The evaluator should explain the basis for making recommendations, with clear linkages to the information collected in the evaluation.
Annexes	 I. Management Response II. Terms of reference III. List of documents reviewed IV. List of interviewees V. Other annexes as required

(b) Review of the draft evaluation report

The evaluation manager sends the draft report to the relevant branches and office managers and to other programme or project staff for comments. Depending on the evaluation, the draft report may also be sent to external stakeholders for comment.

Comments can focus on the conclusions and recommendations, as well as technical and methodological issues. It is the responsibility of the relevant programme or project officers to conduct a technical review with inputs from other stakeholders, which includes:

- Is the information in the report accurate? (i.e., check for factual errors);
- Is the information in the report complete? (i.e., is there information lacking that could affect the conclusion);
- Are the recommendations relevant, objective and specific enough to be implemented?

For all evaluations, the evaluation manager conducts a methodological review or quality check of the draft report. This review aims to ensure that the report and the drafting process meet a set of standard quality criteria (see table 31 below).

The evaluation manager sends the compiled comments to the evaluation team for incorporation.

UN-Habitat Quality Checklist for Evaluation Reports

This checklist is intended to help evaluation managers and evaluators to ensure that the final product of the evaluation (evaluation report) meets the expected quality.



	Table 31: Checklist for evaluation report —
1. The	Report Structure
1.0	The report is well structured, logical, clear and complete.
1.1	The report is logically structured with clarity and coherence (e.g., background and objectives are presented before findings, and findings are presented before conclusions and recommendations)
1.2	The title page and opening pages provide key basic information: name of the evaluation object; time frame for the evaluation and date of the report; names and/or organizations of evaluators; name of the organization commissioning the evaluation;
	List of acronyms
1.3	The Executive Summary is a stand-alone section of 2-3 pages that includes: 1. Overview of the evaluation object, 2. Evaluation objectives and intended audience, 3. Evaluation methodology, 4. Most important findings and conclusions, 5. Main lessons learned, and 6. Main recommendations
2. Intro	oduction/Background information
2.0	The report presents a clear and full description of the 'object' of the evaluation.
2.1	The logic model and/or the expected results chain (inputs, outputs and outcomes) of the object are clearly described.
2.2	The context of key social, political, economic, demographic, and institutional factors that have a direct bearing on the object is described. For example, the partner government's strategies and priorities; international, regional or country development goals, strategies and frameworks and the concerned agency's corporate goals and priorities, as appropriate.
2.3	 The scale and complexity of the object of the evaluation are clearly described, for example: "The number of components", if more than one, and the size of the population each component is intended to serve, either directly and indirectly. The geographic context and boundaries (such as the region, country, and/or landscape, and challenges) where relevant The purpose, goal, and organization/management of the object The total resources from all sources, including human resources and budget(s) (e.g. concerned agency, partner government and other
2.4	The key stakeholders involved in the object implementation, including the implementing agency(s) and partners, other key stakeholders and their roles
2.5	The report identifies the implementation status of the object, including its phase of implementation and any significant changes (e.g. plans, strategies, logical frameworks) that have occurred over time, and explains the implications of those changes for the evaluation.
3. Eval	uation Purpose, Objective(s) and Scope
3.0	The evaluation's purpose, objectives and scope are fully explained.
3.1	The purpose of the evaluation is clearly defined, including why the evaluation was needed at that point in time, who needed the information, what information is needed and how the information will be used.
3.2	The report provides a clear explanation of the evaluation objectives and scope, including the main evaluation questions, and describes and justifies what the evaluation did and did not cover.
3.3	The report describes and provides an explanation of the chosen evaluation criteria, performance standards, or other criteria used by the evaluators.
3.4	As appropriate, evaluation objectives and scope include questions that address issues of gender and human rights.



4. Eval	4. Evaluation Methodology			
4.0	The report presents a transparent description of the methodology applied to the evaluation that clearly explains how the evaluation was specifically designed to address the evaluation criteria, yield answers to the evaluation questions and achieve evaluation purposes.			
4.1	The report describes the data collection methods and analysis, the rationale for selecting them, and their limitations. Reference indicators and benchmarks are included where relevant.			
4.2	The report describes the data sources, the rationale for their selection, and their limitations. The report includes discussion of how a mix of data sources was used to obtain a diversity of perspectives, ensure data accuracy and overcome data limitations.			
4.3	The report describes the sampling frame – area and population to be represented, rationale for selection, mechanics of selection, numbers selected out of potential subjects, and limitations of the sample.			
4.4	The evaluation report gives a complete description of stakeholder consultation process in the evaluation, including the rationale for selecting the particular level and activities for consultation.			
4.5	The methods employed are appropriate for the evaluation and to answer the evaluation questions.			
4.6	The methods employed are appropriate for analysing gender and human rights issues (and youth and climate change as applicable) identified in the evaluation scope.			
4.7	The report presents evidence that adequate measures were taken to ensure data quality, including evidence supporting the reliability and validity of data collection tools (e.g. interview protocols, observation tools, etc.)			
5. Eval	uation Findings			
5.0	Findings respond directly to the evaluation criteria and questions detailed in the scope and objectives section of the report and are based on evidence derived from data collection and analysis methods described in the methodology section of the report.			
5.1	Reported findings reflect systematic and appropriate analysis and interpretation of the data.			
5.2	Reported findings on the achievement of expected accomplishments			
5.3	Reported findings address the evaluation criteria (such as efficiency, effectiveness, sustainability, impact and relevance) and questions defined in the evaluation scope and the performance of each criterion is rated.			
5.4	Findings are objectively reported based on the evidence.			
5.5	Gaps and limitations in the data and/or unanticipated findings are reported and discussed.			
5.6	Reasons for accomplishments and failures, especially continuing constraints, were identified as much as possible			
5.7	Overall findings are presented with clarity, logic, and coherence.			
6. Con	clusions			
6.0	Conclusions present reasonable judgments based on findings and are substantiated by evidence, and provide insights pertinent to the object and purpose of the evaluation.			
6.1	The conclusions reflect reasonable evaluative judgments relating to key evaluation questions.			
6.2	Conclusions are well substantiated by the evidence presented and are logically connected to evaluation findings.			
6.3	Stated conclusions provide insights into the identification and/or resolution of important problems or issues pertinent to the prospective decisions and actions of evaluation users.			
6.4	Conclusions present strengths and weaknesses of the object (policy, programmes, project's or other intervention) being evaluated, based on the evidence presented and taking due account of the views of a diverse cross-section of stakeholders.			



7. Rec	7. Recommendations				
7.0	Recommendations are relevant to the object and purposes of the evaluation, are supported by evidence and conclusions, and were developed with the involvement of relevant stakeholders.				
7.1	The report describes the process followed in developing the recommendations including consultation with stakeholders.				
7.2	Recommendations are firmly based on evidence and conclusions.				
7.3	Recommendations are relevant to the object and purposes of the evaluation.				
7.4	Recommendations clearly identify the target group for each recommendation.				
7.5	Recommendations are clearly stated with priorities for action made clear.				
7.6	Recommendations are actionable and reflect an understanding of the agency and potential constraints to follow-up				
8. Gen	8. Gender and Human Rights				
8.0	The report illustrates the extent to which the design and implementation of the object, the assessment of results and the evaluation process incorporate a gender equality perspective and human rights based approach, as well as climate change and youth issues.				
8.1	The report uses gender sensitive and human rights-based language throughout, including data disaggregated by sex, age, disability, etc.				
8.2	The evaluation approach and data collection and analysis methods are responsive to gender equality and human rights, address youth and climate change, and are appropriate for analyzing the gender equality and human rights issues identified in the scope.				
8.3	The report assesses whether the design of the object was based on sound gender and human rights analysis, and whether the implementation of results was monitored through gender and human rights frameworks, as well as the actual results in terms of gender equality, human rights, youth and climate change.				
8.4	Reported findings, conclusions, recommendations and lessons provide adequate information on gender equality, human rights, youth and climate change.				

(c) Preparation of the final evaluation report

The evaluation team adjusts the report based on feedback provided and submits the final report to the evaluation manager. The evaluation manager ensures that the report is edited (in most cases only the executive summary is formally edited) and formatted properly. In case of major edits, the evaluators should review the report once more to ensure that they have not affected the content. Next, evaluators sign off on the report and no further changes may be made to the report.

Clearance and approval of the Evaluation Report

The evaluator submits a soft draft evaluation report to the evaluation manager for review and clearance. Once UN-Habitat's needs have been addressed satisfactorily, the UN-Habitat Management Board approves the final report and the formulation of UN-Habitat's management response and a follow-up action plan to its findings, conclusions and recommendations is developed.



4.4 Using Evaluation Findings

4.4.1 Preparation of the management response and action plans

The use of evaluations for accountability and organizational learning is facilitated through the development of the management response and follow-up actions. All UN-Habitat evaluations should be followed by a management response and an action plan for implementing accepted recommendations. The action plan specifies what will be done, by whom and by when. If the responsible unit rejects any of the recommendations of the evaluation, or plans to implement certain recommendations in different ways than those proposed by the evaluators, the reasons for such modification should be clearly explained in the management response. The standard format for evaluation management response is found in annex 9.

UN-Habitat management will be responsible for drafting the management response for the evaluated intervention. A focal point to coordinate the preparation of the management response and action plan should be appointed. The Evaluation Unit will monitor the implementation of the action plans and report on progress to management and governing bodies.

(a) The management response

The management response consists of two parts and is inserted at the beginning of the evaluation report:

- The first part provides an overall response from the perspective of UN-Habitat management on the evaluation and its results. This can include comments regarding the relevance and usefulness of the results. It may also highlight any differences of opinion with regard to the evaluation findings.
- The second part provides a response from management to each individual recommendation, resulting in either (partial) acceptance or rejection of the recommendation. Additional comments may

relate to broader implications for UN-Habitat, in particular in relation to programme and project planning and implementation.

(b) Follow up action plan

In conjunction with preparing the management response, evaluation follow-up actions are identified for each accepted recommendation. The expected completion dates and responsible unit are stated for each follow-up action.

4.4.2 Dissemination and sharing of evaluation findings

Sharing evaluation results creates the potential for improving development and operational performance, and helps to build shared meaning and understanding, develop programming support and generate widespread learning opportunities. When results are shared openly, the credibility of the agency is increased and greater pressure is generated for recommendations to be implemented. The evaluation manager is responsible for finalizing the evaluation report for publication, including the incorporation of the final management response.

All evaluation reports (including the management response) will be made available internally and external on UN-Habitat intranet and extranet with the aim of enhancing transparency, ownership and internal accountability. The UN-Habitat Evaluation Updates, is a quarterly or six monthly newsletter, addressed to all staff to draw attention to recent evaluation reports and other evaluation matters. It is recommended that staff briefing sessions or 'Brown Bags' be organized to share and highlight important evaluation findings and recommendations, particularly where they are of strategic importance.



Evaluation reports will be shared with external stakeholders, and posted on IMDIS and PAAS as evidence of accomplishment accounts. Evaluation reports mandated to be submitted to intergovernmental bodies, e.g. CPR, Governing council must be in the proper format meet editorial standards. The document must include information on how to obtain a copy of the full report of the evaluation.

Since 2013, tracking of implementation of evaluation recommendations (emerging from centralized evaluations) is done through "PAAS". The Evaluation Unit monitors the implementation of the action plan and reports to management and governing bodies on compliance.

4.4.3 Follow-up and promotion of learning from evaluations

Follow-up and periodic reporting on the status of implementation of evaluation recommendations can lead to improvements of UN-Habitat's work, if learning from evaluations is promoted and actions following from the recommendations are implemented.





Capacity Building, Knowledge Management and Innovations in RBM



5.1 Building RBM Capacity in UN-Habitat

he lack of capacity for building and maintaining RBM systems has been a particular problem for international organizations. Indeed, designing and building planning, and M&E systems that can produce trustworthy, timely, and relevant information on the performance of projects, programmes, and policies requires experience, skill, and real institutional capacity.

The capacity for an RBM system has to include, at a minimum, the ability to successfully develop objectives and outcomes; construct indicators; the means to collect, aggregate, analyze, and report on performance data in relation to indicators and baselines; and managers with the skill and understanding to know what to do with the information once it arrives. Building such capacity in international organizations is often a long-term effort.

Statistical capacity is an essential component of building RBM systems. Information and data should be valid, verifiable, transparent, and widely available to the organization and interested stakeholders. Technically trained staff and managers are therefore a must.

UN-Habitat capacity building activities in the area of results-based management are supported by a "capacity self-assessment for effective implementation of RBM" also called a Cap-Scan, which enables identification of strengths, weaknesses and ways to improve the achievement of results.

The Cap-Scan exercise is important for UN-Habitat in that it provides an analytical framework and participatory process for managers and staff to assess progress in developing a culture, behaviour and systems to manage for development results; and helps them prioritise concrete steps to improve RBM implementation. Moreover, the Cap-Scan enhances institutional insights into RBM, and provides a framework for investing in capacity improvement for results. It is unique in that it examines the people, systems, structures, cultural fit and consistency of application across UN-Habitat. The insights gained on the peculiarities, practicalities and

barriers associated with the implementation of RBM are fundamental in creating a deeper understanding of the best options for the way forward.

The Cap-Scan exercise is generally facilitated by an external consultant, based on terms of reference prepared by the Quality Assurance Unit, which coordinates the assessment and reports back to Senior Management on the findings and recommendations.

The assessment utilizes a framework composed of the following seven pillars:

- 1. Leadership
- 2. Planning
- 3. Budgeting
- 4. Monitoring & reporting
- 5. Evaluation
- 6. Statistics and evidence
- 7. Accountability

Within these seven pillars, the assessment looks into several critical elements or dimensions needed for effective implementation of RBM, including: (i) technical skills, (ii) managerial skills, (iii) existence and quality of data systems, (iv) available technology, (v) available resources, and (vi) institutional buy-in. The assessment also directs the examination of existing or potential barriers to building an RBM system, including lack of resources, leadership will, champion, expertise, strategy, or prior experience.

On the champions!!!

Champions in UN-Habitat are critical to the sustainability and success of the RBM system. For example, highly placed champions can be strong advocates for more well-informed decision-making, and can help diffuse and isolate attacks from counter-reformers who may have vested interests in averting the construction of a robust results-based management system.

In addition to highly-placed champions, UN-Habitat identifies, trains and maintains a network of staff members in HQ and Regional Offices to champion RBM



and support the implementation of related activities. Their support and advocacy is crucial to the success and sustainability of the RBM system within the agency.

In establishing and maintaining a network of RBM champions, attention must be paid to the placement, both in terms of hierarchy and location, of champions within the organization. To this effect, if the emerging champion is located away from the center of policymaking and has little influence with key decision-makers, it will be difficult, although not impossible, to envision the RBM system being used and trusted.

That is because it is difficult to ensure the viability of the system under these circumstances. Viability is dependent upon the information being viewed as relevant, trustworthy, useable, and timely. RBM systems with marginally placed champions who are peripheral to the decision-making process will have a more difficult time meeting these viability requirements.

BOX 2

A few reminders

- The demand for capacity building never ends.
- Keep champions on your side and help them.
- Establish a commitment with Senior Management that an RBM system needs sustained resources.

Using the results and recommendations of the capacity scan assessment and the network of champions, capacity building in RBM in UN-Habitat therefore takes a more strategic, systematic and coordinated form. It is implemented through:

- 1. Formal training sessions and workshops (face-to-face and via skype or WebEx for offices away from HQ)
- 2. Brown-bag lunch seminar series organized to share and discuss new developments in the area of RBM
- 3. CD-ROMs
- 4. Newsletters

The aim of the various capacity building activities is to assist managers, champions and staff in: (i) understanding the basic principles of RBM; (ii) using planning tools effectively; (iii) effectively using

monitoring and reporting tools (e.g., data entry, cleaning, and editing in IMDIS to help ensure the quality and timeliness of the information generated); (iv) embedding risk management in their activities; (v) data collection; (vi) data processing and analysis; (vii) data dissemination and usage; and (viii) survey organization and administration.

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29

Components of RBM sustainability

Good results-based management systems must be used to be sustainable. Six components are necessary to sustain these systems:

- Demand from decision makers,
- Incentives,
- Clear roles and responsibilities,
- Trustworthy and credible information,
- · Accountability, and
- Capacity



5.2 Knowledge Management and Learning in RBM

nowledge management means capturing findings, institutionalizing learning, and organizing the wealth of information produced continually, so that knowledge sharing becomes about connecting people (staff, partners, Member States and donors) with the knowledge they need, rather than collecting and compiling documents. Learning encompasses a cycle of planning, implementation, periodic performance assessment and organizational learning, all of which are supportive of knowledge creation and sharing. It is important to ensure that learning influences strategy development and programme/project design, and that lessons are fed back into programme/project implementation.

The benefits of knowledge sharing for organizations have been well researched and documented, particularly over the last 20 years. The main benefits can be summarized as follows: (i) it helps to reveal tacit knowledge or hidden resources and identify knowledge gaps and; (ii) it provides a forum for brainstorming, innovation, problem solving, sharing experiences and good practices, and exchanging knowledge across different subject areas. Of course, knowledge takes many different forms and different strategies are needed to ensure that the necessary pathways are there to provide easy and timely access to the knowledge that is needed.

Good RBM systems therefore build knowledge capital by enabling organizations to develop a knowledge base of the types of policies, programmes, and projects that are successful, and more generally, what works, what does not, and why. Results-based management systems also help promote greater transparency and accountability, and foster political and financial support through demonstration of results.

In UN-Habitat, knowledge management and learning are additional key components of using performance findings, and therefore using results-based management. UN-Habitat considers that new knowledge can be generated by using these findings on a continuous basis. The organization believes that:

1. learning and knowledge management improve institutional performance;

- 2. a process for generating, reporting on, and utilizing lessons learned and best-practices should be maintained; and
- 3. it is important to ensure that learning from activities implemented across the seven subprogrammes influences strategic planning, programming and implementation.

UN-Habitat believes in the benefits provided by a strong knowledge management system. For example, some of the benefits already reported in the context of technical cooperation projects can be summarized as follows:

- 1. improving quality of work and operational relevance;
- 2. avoiding duplication of work;
- 3. speeding up work processes;
- 4. disseminating knowledge;
- 5. fostering good relationships with colleagues and partners through recognition;
- 6. communicating relevant information at the start of a project allowing it to move
- 7. moving forward with less ongoing input;
- 8. highlighting problems sooner;
- 9. increasing the likelihood that others will volunteer beneficial information;
- 10. allowing tasks to be shared or delegated; and
- 11. creating a positive atmosphere and stronger team spirit.

In order to capitalize on the benefits generated by the use of the knowledge management system in UN-Habitat, the Organization ensures that knowledge capture, sharing and learning is clearly articulated in the six-year strategic plan, the biennial strategic frameworks, the biennial work programmes and budgets, and the annual progress report on the implementation of the strategic plan. Conversely, UN-Habitat ensures that the Knowledge Management Strategy clearly articulates the dissemination of results and lessons learned through RBM processes as one of its pillars. Thus, collecting, capturing, storing, codifying, transferring and communicating knowledge generated through the use of RBM techniques and tools is one of the central elements of the Knowledge Management Strategy.



Acountability
account for the
results achieved
with resources
given

Learning
Learn from experience what has
worked and what are the reasons
for failure and success
Share the new knowledge within
the organisation and with
partners

Figure 38: The M&E-Learning-Accountability Virtuous Triangle

5.3 Driving innovations in RBM

N-Habitat implements a continuous learning approach in results-based management. As a result, RBM in UN-Habitat is dynamic and flexible, and accommodates change and innovation. RBM in UN-Habitat responds to the higher demands placed on it, and to the fast-changing environment. Moreover, as technology moves forward, opportunities in RBM are opening up.

A number of factors are driving innovation within the main pillars of RBM in UN-Habitat:

• Need for flexible and faster performance management systems. Increased unpredictability, rapidly changing circumstances, and a dynamic environment for public action require more flexible, dynamic and nimble approaches to performance measurement that capture and adapt to rapidly and continuously changing circumstances and cultural dynamics. Traditional approaches of diligently checking if a public policy, programme or service is 'on-track' in achieving a pre-defined milestone are often not sufficient anymore.

Further, feedback loops of traditional monitoring (with quarterly and annual monitoring, mid-term reviews, final evaluations, annual reporting, etc.) have often proven to be too slow to influence decision-making in time. More real-time updates are required for better use of monitoring information and evaluation findings.

Theories of change need intermediate outcomes that can be measured quickly and easily. There is an increased emphasis on measuring outcomes (changes in behaviour and performance) as a result of public policy, programmes and service delivery. Due to their nature, however, outcomes are typically more difficult to monitor and evaluate, since data is often not readily available and primary data collection is typically required. A Theory of Change that includes a more proximate series of outcomes or milestones that can be measured and reported on more quickly and easily can be used as a meaningful tool to manage and assure the quality of UN-Habitat's policies, programmes and service delivery.



- Policies, programmes and service delivery operate in increasingly complex and ever-changing social, economic, ecological and political contexts. No single M&E methodology can adequately describe and analyze the interactions among all of these different factors. Mixed methods allow for triangulation or comparative analysis which is better suited to capture complex realities and to provide different perspectives on the effect of policies, programmes or service delivery.
- Need to show evidence of results to donors and Member States. We increasingly operate in an environment marked by resource constraints and dwindling donor contributions, particularly with regard to non-earmarked resources. Donors who are still availing resources for humanitarian assistance and development programmes are looking for organizations that are results-focused and demonstrate value for money. The emphasis is no longer on what organizations can do but rather on what they were able to achieve in the past. UN-Habitat therefore strives to come up with innovative ways to show concrete evidence of results achieved in view of securing needed funding and political support from Member States.
- An innovation is the introduction of something new, a new idea, method, or device. Typical categories of innovations for performance management are a) technological innovations, b) innovative products, c) innovative services, d) innovative processes, or e) innovative interactions and partnerships. It is worth noting that in UN-Habitat we consider a product, process, service or a technology to be an innovation in RBM if at least two of the following criteria are met:
- **Significant process improvement.** Innovations in RBM are technologies, products, services, processes or interactions that have shown a significant impact on how planning, monitoring and reporting and evaluation are done (not just innovation for innovation's sake), or have a clear potential to change RBM in order to improve the value or usefulness of performance information. Typically, innovations with a great potential impact also address a core need or core challenge in RBM.

- Catalytic change. Innovations in RBM have to go beyond incremental change and re-frame, reimagine, or re-combine different existing elements to yield a new pathway. In other words: an innovation in RBM is not simply a better, faster, cheaper way of doing the same thing. It requires going beyond current models of thinking in RBM. That is why it often takes outsiders or unconventional partnerships to break down old paradigms in RBM.
- Concrete. Innovations in RBM must be sufficiently concrete. Ideas and theoretical approaches are not innovations (although they can lead to innovations). Innovations are concrete if they are already being implemented (at least as pilots), can be replicated and are potentially scalable across different contexts and regions.



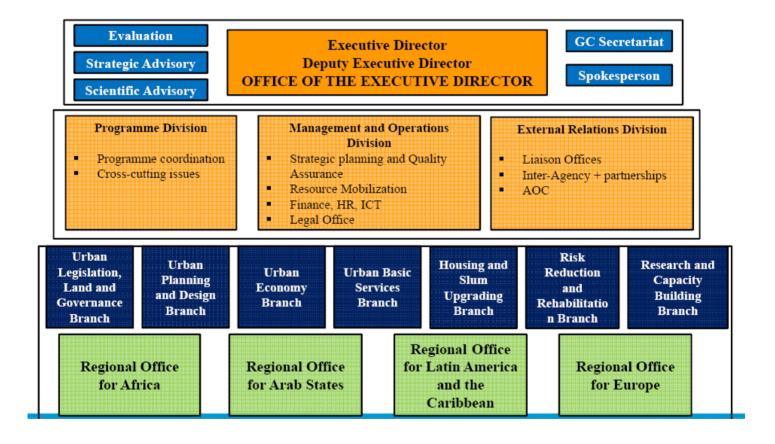
ANNEXES:

- 1. UN-Habitat Organizational Structure
- 2. RBM Terminology
- 3. Problem Analysis "Problem Tree"
- 4. Biennial Work Plan Template
- 5. UN-Habitat Results Framework 2014–2019 Template
- 6. Results Logical Framework & Performance Management Framework
- 7. Results Reporting on the Implementation of the Strategic Plan-Template
- 8. UN-Habitat Project Implementation Monitoring Report-Template
- 9. Management Response and Action Plan to the Recommendations Template
- 10. UNEG Good Practice Guidelines for Follow up to Evaluations
- 11. UNEG (2016) Norms and Standards for Evaluation
- 12. UN-Habitat Standard Outline for Evaluation Report
- 13. UN- Habitat End of-Project- Summary Report



Annex 1: Organizational chart for UN-Habitat

United Nations Human Settlement Programme





Annex 2 - RBM Terminology

Accountability: Responsibility and answerability for the use of resources, decisions and/or the results of the discharge of authority and official duties, including duties delegated to a subordinate unit or individual. In regard to programme managers, the responsibility to provide evidence to stakeholders that a programme is effective and in conformity with planned results, legal and fiscal requirements. In knowledge-based organizations, accountability may also be measured by the extent to which managers use monitoring and evaluation findings.

Achievement: An evidence-based, manifested performance.

Activity: Actions taken or work performed through which inputs such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.

Advocacy: The act of arguing on behalf of a particular issue, idea or person towards specific goals. Advocacy is about strategic, planned, political change.

Analysis: The process of systematically applying statistical techniques and logic to interpret, compare, categorize and summarize data collected in order to draw conclusions.

Analytical method: A means to process, understand and interpret data.

Analytical tool: Method used to process and interpret information.

Applied research: Investigation undertaken in order to acquire new knowledge. Applied research is directed primarily towards a specific practical aim or objective.

Appraisal: An assessment, prior to commitment of support, of the relevance, value, feasibility and potential acceptability of a programme in accordance with established criteria.

Appropriateness: The quality of being especially suitable. It is used as one of the key principles for evaluation criteria.

Assumption: Hypothesis about conditions that

are necessary to ensure that: (1) planned activities will produce expected results; (2) the cause effect relationship between the different levels of programme results will occur as expected.

Attribution: The ascription of a causal link between observed (or expected to be observed) changes and a specific intervention. Attribution refers to that which is to be credited for the observed changes or results achieved. It represents the extent to which observed development effects can be attributed to a specific intervention or to the performance of one or more partner taking account of other interventions, (anticipated or unanticipated) confounding factors, or external shocks.

Auditing: An independent, objective and systematic assessment that verifies compliance with established rules, regulations, policies and procedures and validates the accuracy of financial reports.

Authority: The power to decide, certify or approve.

Baseline survey: An analysis describing the situation prior to a development intervention

Baseline: Information gathered prior to a development intervention about the condition or performance of subjects against which variations are measured.

Benchmark: Reference point or standard against which progress or achievements can be assessed. A benchmark refers to the performance that has been achieved in the recent past by other comparable organizations, or what can be reasonably inferred to have been achieved in similar circumstances.

Beneficiaries: Individuals, groups or entities whose situation is supposed to improve (target group), and others whose situation may improve, as a result of a development intervention.

Best practice: Planning, organizational, managerial and/ or operational practices that have proven successful in particular circumstances and which can be applied to other circumstances.

Bias: Irrational preference or prejudice causing negative inclination or unfavorable tendency. In statistics, bias





may result in overestimating or underestimating certain data characteristics. It may result from incomplete information or invalid data collection methods.

Budget fascicle: Document containing proposed programmatic, financial and resource information of a budget section for the forthcoming biennium and submitted for approval.

Capacity: The knowledge, skills, organization and resources needed to perform a function.

Capacity development: A process that encompasses the building of knowledge, skills, organization and resources that enable individuals, groups, organizations and societies to enhance their performance and to achieve their development objectives over time. Also referred to as capacity building or capacity strengthening.

Case study: The examination of the characteristics of a single case, such as an individual, an event or a programme.

Causal relationship: A logical cause-effect relationship between final results and their impact on target beneficiaries.

Causality analysis: A type of analysis used in a development intervention formulation to identify the root causes of development challenges, organizing main data, trends and findings into relationships of cause and effect.

Causality Framework: A tool used to cluster contributing causes and examine linkages among them and their various determinants. Sometimes referred to as a "problem tree".

Client satisfaction: The satisfaction of organizations or individuals who are affected by a development intervention, often measured in terms of meeting their needs or expectations.

Conclusion: A reasoned judgement based on a synthesis of empirical findings and/or factual statements corresponding to a specific circumstance.

Contribution: The ascription of a causal link between observed (or expected to be observed) changes and a specific intervention by multiple stakeholders.

Control group: A selected subgroup of beneficiaries who are not part of the programme (e.g. who do not

receive the same treatment, input or training) but share characteristics similar to the target group.

Cost-benefit analysis: A type of analysis that translates benefits into monetary terms.

Cost-effectiveness analysis: A type of analysis that compares the effectiveness of different interventions by comparing their costs and outcomes measured in physical units (number of children immunized or the number of deaths averted, for example) rather than in monetary units.

Country assistance Evaluation: Evaluation of one or more development agency's portfolio of development interventions, and the assistance strategy behind it, in a specific country.

Coverage: The extent to which a programme reaches its intended target population, institution or geographic area.

Criteria: The standards used to determine whether or not a proposal, programme or project meets expectations.

Data collection method: The mode of collection used when gathering information and data on a given indicator of achievement or evaluation.

Data: Specific quantitative and qualitative information or facts.

Data source: The origin of the data or information collected.

Database: An accumulation of information that has been systematically organized for easy access and analysis:

Development effectiveness: The extent to which an institution or intervention has brought about targeted change in a country or the life of an individual beneficiary.

Development intervention: An instrument for partner support aimed to promote development.

Development objective: Intended impact of one or more development interventions, contributing to



physical, financial, institutional, social, environmental or other benefits to a society, community or group of people.

Effect: Intended or unintended change due directly or indirectly to an intervention.

Effectiveness: A measure of the extent to which a programme achieves its planned results (outputs, outcomes and impact).

Efficiency: A measure of how economically or optimally inputs (financial, human, time, technical and material resources) are converted to results.

Evaluability: The extent to which an activity or a programme can be evaluated in a reliable and credible fashion.

Evaluation: An assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, and/or institutional performance. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision—making.

Evaluation scope: A framework that establishes the focus of an evaluation in terms of questions to address issues to be covered and defines what will and will not be analyzed.

Evaluation standards: A set of criteria against which the completeness and quality of evaluation work can be assessed.

Evidence: The information presented to support a finding or conclusion.

Evidence-based: Evidence-based approach integrates all available information for data and research synthesis. The utilization of this process leads to an informed decision.

Execution: The management of a specific programme which includes accountability for the effective use of resources.

Feasibility: The coherence and quality of a programme strategy that makes successful implementation likely.

Feedback: The transmission of findings of monitoring and evaluation activities organized and presented in an appropriate form for dissemination to users in order to improve programme management, decision- making and organizational learning.

Finding: A factual statement on a programme based on empirical evidence gathered through research, monitoring and evaluation activities.

Focus group: A group selected to engage in discussions designed for the purpose of sharing insights, observations, perceptions and opinions, or recommending actions on a topic of concern.

Formative evaluation: Formative evaluation validates or ensures that the goals of the development intervention are being achieved and to improve the development intervention, if necessary, by means of identification and subsequent remediation of problematic aspects.

Goal: The higher-order objective to which a development intervention is intended to contribute. Impact Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. The specific end result desired and expected to occur as a consequence, at least in part, of an intervention or activity

Impact: Positive and negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types and should have some relationship to the MDGs and national development goals.

Impartiality: Removing bias and maximizing objectivity.

Independent evaluation: An evaluation carried out by entities and/or persons free of the control of those responsible for the design and implementation of a development intervention.





Indicators: Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor or intervention.

Indirect effect: The unplanned changes brought about as a result of implementing a programme or a project. Inputs: The financial, human, material, technological and information resources used for development interventions.

Inspection: A special, on-the-spot investigation of an activity that seeks to resolve a particular problem.

Institutional development impact: The extent to which an intervention improves or weakens the ability of a country or region to make more efficient, equitable and sustainable use of its human, financial and natural resources.

Joint Programme: A set of activities with a common work plan and related budget, involving two or more participating development agencies and national or sub-national partners.

Joint Programming: A collective effort through which development agencies and national partners work together to prepare, implement, monitor and evaluate specific development interventions.

Lessons learned: Generalizations based on evaluation experiences with projects, programmes or policies that abstract from the specific circumstances to broader situations.

Logical framework (log frame): Tool used to emphasize the causal hierarchy of a programme and improve design of interventions. Logical frameworks highlight the links and sequencing between different facets and/or activities in a programme over time. In a logframe the information is organized in a matrix table.

Management information system: A system, usually consisting of people, procedures, processes and a database (often computerized) that routinely gathers quantitative and qualitative information on predetermined indicators to measure programme progress and impact.

Means of Verification (MOV): The specific source(s) from which the status of results indicators can be ascertained.

Meta-evaluation: A type of evaluation that aggregates findings from a series of evaluations.

Methodology: A description of how something will be done.

Monitoring: A continuous management function that aims primarily at providing programme managers and key stakeholders with regular feedback and early indications of progress or lack thereof in the achievement of intended results.

Objective: A generic term usually used to express an outcome or goal representing the desired result that a programme seeks to achieve.

Operations research: The application of disciplined investigation to problem-solving.

Outcome evaluation: An in-depth assessment of a related set of programmes, components and strategies intended to achieve a specific outcome.

Outcome monitoring: A process of collecting and analyzing data to measure the performance of a programme, project, partnership, policy reform process and/or "soft" assistance towards achievement of development outcomes at country level.

Outcomes: Describe the intended changes in development conditions resulting from interventions. They can relate to changes in institutional performance. UNDAF outcomes are the collective strategic results for the United Nations system cooperation at country level, intended to support national priorities.

Outlier: A subject or other unit of analysis that has extreme values.

Output: Outputs are changes in skills or abilities, or the availability of new products and services that result from the completion of activities within a development intervention within the control of the organization.

Outputs: Specific goods and services produced by the programme. Outputs can also represent changes in skills or abilities or capacities of individuals or



institutions, resulting from the completion of activities within a development intervention within the control of the organization.

Outputs: The products, services, skills and abilities that result from the completion of activities within a development intervention within the control of the organization.

Participatory approach: A broad term for the involvement of primary and other stakeholders in an undertaking, e.g. programme planning, design, implementation, monitoring and evaluation.

Participatory evaluation: Evaluation method in which representatives of agencies and stakeholders (including beneficiaries) work together in designing, carrying out and interpreting an evaluation.

Partners: The individuals and/or organizations that collaborate to achieve mutually agreed upon objectives.

Performance assessment: External assessment or self-assessment by programme units, comprising monitoring, reviews, end-of-year reporting, end-of-project reporting, institutional assessments and/or special studies.

Performance indicator: A performance indicator is a unit of measurement that specifies what is to be measured along a scale or dimension but does not indicate the direction or change. Performance indicators are a qualitative or quantitative means of measuring an output or outcome, with the intention of gauging the performance of a programme or investment.

Performance monitoring: A continuous process of collecting and analyzing data for performance indicators, to compare how well a development intervention, partnership or policy reform is being implemented against expected results (achievement of outputs and progress towards outcomes).

Performance: The degree to which a development intervention or a development partner operates according to specific criteria/standard/guidelines or achieves results in accordance with stated plans.

Policy evaluation: Policy evaluation is a considered

process of examination, review and analysis which enables participants in the policy process, including stakeholders, legislators, administrators, the target

population and others to: (i) measure the degree to which a policy has achieved its goals; (ii) assess the results the policy has had; (iii) identify any needed changes to a policy.

Primary data: Information which derives from new or original research and collected at the source first-hand.

Process evaluation: A type of evaluation that examines the extent to which a programme is operating as intended by assessing ongoing programme operations.

Programme approach: A process which allows governments, donors and other stakeholders to articulate priorities for development assistance through a coherent framework within which components are interlinked and aimed towards achieving the same goals.

Programme evaluation: Evaluation of a set of interventions, marshalled to attain specific global, regional, country, or sector development objectives.

Programme theory: An approach for planning and evaluating development interventions, entailing systematic and cumulative study of the links between activities, outputs, outcomes, impact and contexts of interventions.

Programme: A time-bound intervention similar to a project but which cuts across sectors, themes or geographic areas, uses a multi-disciplinary approach, involves multiple institutions and may be supported by several different funding sources.

Project evaluation: Evaluation of an individual development intervention designed to achieve specific objectives within specified resources and implementation schedules, often within the framework of a broader programme.

Project: A time-bound intervention that consists of a set of planned, interrelated activities aimed at achieving defined outputs.





Proxy measure or indicator: A variable used to stand in for one that is difficult to measure directly.

Purpose: The publicly stated objectives of a development programme or project.

Qualitative data: Data that is primarily descriptive and interpretative, and may or may not lend itself to quantification.

Quality assurance: Quality assurance encompasses any activity that is concerned with assessing and improving the merit or the worth of a development intervention or its compliance with given standards.

Quantitative data: Data measured or measurable by, or concerned with, quantity and expressed in numerical form. Quarterly, annual or multi-year schedules of expected outputs, tasks, timeframes and responsibilities.

Recommendation: Proposal aimed at enhancing the effectiveness, quality, or efficiency of a development intervention, redesigning the objectives and/or reallocating resources.

Relevance: The degree to which the outputs, outcomes or goals of a programme remain valid and pertinent as originally planned or as subsequently modified, owing to changing circumstances within the immediate context and external environment of that programme.

Reliability: Consistency or dependability of data and evaluation judgements, with reference to the quality of the instruments, procedures and analyses used to collect and interpret evaluation data.

Report: An essential element of an accountability process, whereby those doing the accounting for performance report on what has been accomplished against what was expected.

Result: The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention.

Result: Results are changes in a state or condition that derive from a cause-and-effect relationship. A result can be an output, outcome or impact that is set in motion by a development intervention.

Results: Results are changes in a state or condition that derive from a cause-and-effect relationship. There are three types of such changes (intended or unintended, positive and/or negative) that can be set in motion by a development intervention — outputs, outcomes and impacts.

Results chain: The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives — beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts and feedback. In some agencies, reach is part of the results chain. It is based on a theory of change, including underlying assumptions.

Results chain: The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired results.

Results framework or matrix: The programme logic that explains how development results are to be achieved, including result chain(s), causal relationships, underlying assumptions and risks.

Results matrix: The results matrix explains how results are to be achieved, including causal relationships and underlying assumptions and risks. The results framework reflects a more strategic level across an entire organization for a country programme, a programme component within a country programme, or even a project.

Results-Based management (RBM): A management strategy by which all actors, contributing directly or indirectly to achieving a set of development results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and higher level goals or impact) and use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting.

Results-based management (RBM): Results-based management is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the desired results (outputs, outcomes and higher level goals or impact) and use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting.

Review: An assessment of the performance of an intervention, periodically or on an ad-hoc basis.

Risk analysis: An analysis or assessment of negative factors that affect or are likely to affect the achievement of results.



Risk: Internal or external uncertainty surrounding future negative factors that may adversely affect project success.

Sample: Selection of a part of a representative whole in order to assess parameters or characteristics.

Secondary data: Information which derives from secondary sources, i.e. not directly compiled by the analyst; may include published or unpublished work based on research that relies on primary sources or any material other than primary sources.

Sector programme evaluation: Evaluation of a cluster of development interventions in a sector within one country or across countries, all of which contribute to the achievement of a specific development goal.

Situation analysis: A situation analysis defines and interprets the state of the environment of an organization. It provides the context and knowledge for planning and describes operating and managerial conditions and general state of internal and external affairs.

SMART: A concept used for formulation of results-chain components (Outcomes, Outputs, Indicators) according to the following parameters: Specific, Measurable, Attainable, Relevant and Time-bound.

Stakeholders: People, groups or entities that have a role and interest in the aims and implementation of a programme.

Summative evaluation: A type of evaluation that examines the worth of a development intervention at the end of the programme activities (summation). The focus is on the outcome.

Survey: Systematic collection of information from a defined population, usually by means of interviews or questionnaires administered to a sample of units in the population, e.g. adults, young persons.

Sustainability: The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits.

Synthesis: The process of identifying relationships between variables and aggregating data with a view to reducing complexity and drawing conclusions.

Target group: The specific individuals or organizations for whose benefit a development intervention is undertaken.

Target: Specifies a particular value for an indicator to be accomplished by a specific date in the future. *Total literacy rate to reach 85% among groups X and Y by the year 2010.*

Target: Specifies a particular value for an indicator to be accomplished by a specific date in the future.

Thematic evaluation: Evaluation of a selection of development interventions, all of which address a specific development priority that cuts across countries, regions and sectors.

Time-series analysis: Quasi-experimental designs that rely on relatively long series of repeated measurements of the outcome/output variables taken before, during and after intervention in order to reach conclusions about the results of the intervention.

Transparency: Carefully describing and sharing information, rationale, assumptions and procedures as the basis for value judgments and decisions.

Triangulation: The use of three or more theories, sources or types of information, or types of analysis to verify and substantiate an assessment.

Validation: The process of cross-checking to ensure that the data obtained from one monitoring and evaluation method are confirmed by the data obtained from a different method.

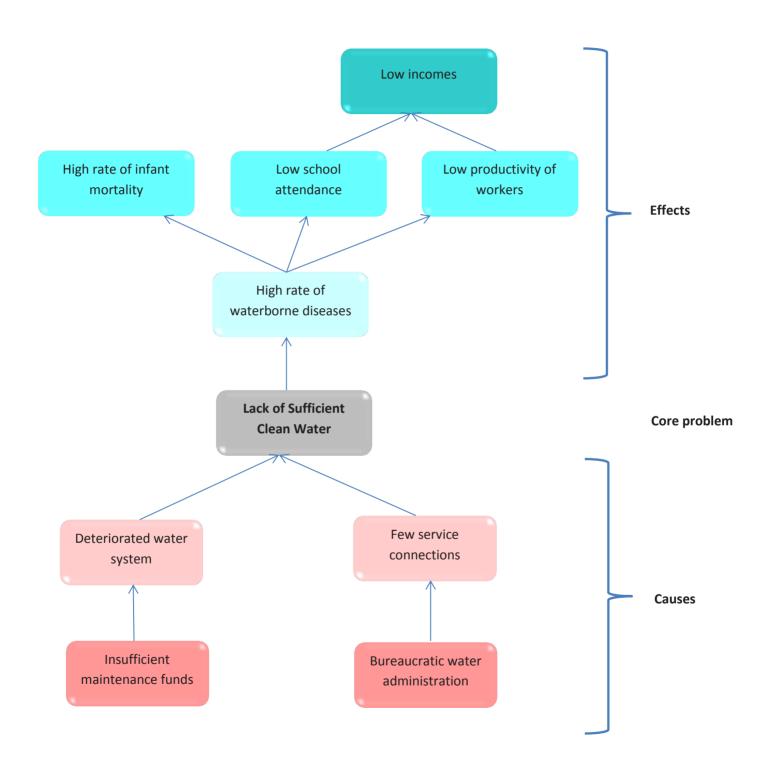
Validity: The extent to which methodologies and instruments measure what they are supposed to measure.

Variable: In evaluation, a variable refers to specific characteristics or attributes, such as behaviours, age or test scores that are expected to change or vary.

Work plan:



Annex 3 Problem analysis "problem tree"





Annex 4 Biennial Work Plan 2014 - Template

Annex 4 - Biennial Work Plan Template											
BIENNIAL WORK PLAN 2014-2015											
FOCUS AREA 1	: URBAN LEGISLATIC	ON, LAND AND GOVE	RNANCE								
(1) Expected Accomplishment	(2) Approved work programme outputs as reflected IMDIS	(3) Detailed Outputs for 2014-2015 Work Programme articulated by Lead Implementing Entity	(4) Year of Implementation	(5) Internal partners	(6) External Partners	(7) Location where activities will take place	(8) Broader remarks on the output category				
EA 1	(a) Servicing of intergovernmental and expert bodies (XB) Ad hoc expert groups										
	(b) Other substantive activities										
	Non-recurrent publications:										
	(c) Technical cooperation										
	Advisory services										
	Training courses, seminars and workshops										
	Field projects:										
EA 1	(a) Servicing of intergovernmental and expert bodies (XB)										
	Ad hoc expert groups	5									
	(b) Other substantive										
	Non-recurrent public	ations:									
	(c) Technical coopera	ation									
	Advisory services										
	,	ninars and workshops									
	Field projects:										

Annex 5: UN-Habitat Results Framework 2014 – 2019 - Template

Focus Area 1: URBAN LEGISLATION, LAND AND GOVERNANCE

Strategic Result	
<u>Indicator</u>	
Expected Accomplishment	
<u>Indicators</u>	
Sub Expected Accomplishment	
<u>Indicator</u>	





Annex 6: Results Logical Framework & Performance Management Framework

PROGRAM TITLE: Budget: Expected Start Date:		APPROVAL PERIO	D:	PROGRAM	TEAM MEMBER	S:	
		PROJECT MANAGER:		PARTNERS / STAKEHOLDERS INVOLVED			
Program EAs Project is contributing to							
2012-13 Work Program Outputs							
Result Statements	Indicators (Including GENDER and Youth where possible)	Baseline	Targets (including time range where possible)	Data Sources for verifying progress on indicators	Data Collection Methods	Frequency of data collection & Cost	Assumptions and Risks
Project's objective							
Project's EXPECTED ACCOMPLISHMENTS (EAs							
Project's SUB- EXPECTED ACCOMPLISHMENTS (Sub-EAs)							
Project's OUTPUTS							

Note: The cause-effect relationships between levels of results (the project logic) must be sound — that is , if you carry out all the **activities**, then you will produce **the said Outputs** and if all the outputs are delivered then you will realise first the sub-expected

accomplishment, and if the Sub-EAs are realised the **Expected Accomplishments** will be realised, and that will ultimately lead to the realisation of the project's **Objective.**



Annex 7: Results Reporting on the Implementation of the Strategic Plan - Template

Annex 7: Template for Results Reporting on the Implementation of the Strategic Plan

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- A. PURPOSE
- B. GUIDELINES
- C. RESULTS REPORTING

Strategic resu	1.				
	ult:				
Expected	Accomplishmen	t			
Narrative of r	results				
Assessment o	of indicators of a	achievement			
_					
	Baseline 2013	Target 2015	Actual 2014		
Expected	Accomplishmen	t 2			
Narrative of r	results				
Accoccmont of	of indicators of a	achievement			
455essment (T	
ASSESSITIETIL (Actual 2014		
Assessment (Baseline 2013	Target 2015	7 (00000 201)		
Assessment C	Baseline 2013	Target 2015	7,000012011		
	Baseline 2013 Baseline 2013	Target 2015 Target 2015	Actual 2014		



Annex 8: UN-Habitat Project Implementation Monitoring Report - Template

Project Name:		
. •	Approval Date: Budget:to date% Period Covered by report:	to2013

1. Implementation progress

Outputs ¹	Expected completion date ²	Implementation status as of October 20 (%)	Comments if variance ³ . Describe any problems in delivering outputs	Progress rating ⁴					
Output 1: (describe)									
Activity 1: (describe)									
Activity 2:									
Activity 3:									
Output 2:									
Activity 4:									
Activity 5:									
Activity 6:									
Output 3:									
Activity 7:									
Activity 8:									
Activity 9:									
Output 4:									
Activity 10:									
Activity 11:									
Activity 12:									
Output 5:									
Activity 13:									
Activity 14:									
Activity 15:									
Activity 16:									

Problems identified in implementing activities	Actions to be taken	By whom	When

¹ Outputs and activities as described in the project logframe or in any updated project revision.



² As per latest workplan (latest project revision)

³ Variance refers to the difference between the expected and actual progress at the time of reporting.

⁴ To be provided by the Project Leader- see Annex 1:Rating scale



Progress rating Questions

- a) Are resources (inputs)being utilised as planned?
- b) What % of the total budget has been used so far?
- c) Are activities being implemented according to schedule and within budget?
- d) If there are delays what is causing the delays?
- e) IS there anything happening that requires project management attention (to adjust or modify activities)?
- f) Are activities leading to expected outputs?
- g) How many of the total outputs have been completed?

Overall project implementation progress (use six scale point	HS	S	MS	MU	U	HU
rating)						

2.0 Progress towards achieving Expected Accomplishments and the project objective (s) Project objective Description Baseline **End-of-project** Level at **Progress** and Outcomes and progress level6 30 June 20.. rating⁷ target on indicators⁵ Objective8 1. 2. 3. EA 1: (describe) EA 2: (describe) EA 3: (describe) EA 4: (describe) EA 5:9 (describe)

......



⁵ Add rows if your project has more that 3 key indicators per objective or outcome.

⁶ Depending on selected indicator, quantitative or qualitative baseline levels and targets could be used

⁷ Use six-point scale system: Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). See Annex 1 which contains UN-Habitat definitions.

⁸ Add rows if your project has more than 4 objective-level indicators. Same applies for the number of outcome-level indicators.

⁹ Add rows if your project has more than 5 Outcomes.



Progress questions

- a) Are outputs leading to expected outcomes/EAs?
- b) What is the likelihood that the planned EAs will all be

accomplished by the end of the project?

c) Are there any challenges or delays – and if so what is causing them?

Overall projectprogress towards EAs (use six scale point rating)	HS	S	MS	MU	U	HU

3. Risks

PROJECT'S TOP RISK MITIGATION PLAN

Rank – importance of risk

Risk Statement – potential problem (condition and consequence)

Action to take – action planned/taken to handle the risk

Who – person(s) responsible for the action

Date – date by which action needs to be or was completed

Risk Rank	Risk Statement ⁹		Action to Taken	Who	Date
	Risk Condition	Consequence			

Overall Risk management Rating (use six scale point rating)	HS	S	MS	MU	U	HU	
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4. PROJECT IMPLEMENTATION EXPERIENCES AND LESSONS

Please summarize any experiences and/or lessons related to project design and implementation. Please select relevant areas from the list below:

- a) Conditions necessary to achieve global urban benefits such as (i) institutional, social and financial sustainability; (ii) country ownership; and (iii) stakeholder involvement, including gender &youth issues.
- b) Institutional arrangements, including project structure & governance;
- c) Engagement of the private sector;
- d) Capacity building;
- e) Factors that improve likelihood of outcome sustainability;
- f) Factors that encourage replication, upscaling, including outreach and communications strategies;
- g) Financial management and co-financing.

¹⁰ Only for Substantial to High risk.



Annex 9: Management Response and Action Plan to the Recommendations - Template

Management Response and Action Plan to the Recommendations for [title of evaluation]

Annex 9: Management Response and Action Plan to the Recommendations-Template Title of Evaluation

No.	Recommendation	Management Response	Proposed Actions	Timeframe	Responsible Unit(s)	Status of implementation	Comments on progress
1.		Accepted; Partially Accepted; Not Accepted		Month/Year		Not Started; In progress; Implemented	Update on progress every six months
2.							
3.							
4.							
5.							
6.							
7.							
8.						_	
9.							
10.							



Annex 10: UNEG Good Practice Guidelines

Endorsed at the UNEG AGM 2010, these Good Practice Guidelines provide guidance to UN Evaluation Offices and Senior Management on:

- Good practices in management response to evaluation;
- Development of systems for tracking and reporting on the implementation of the evaluations' recommendations, and
- Mechanisms for facilitating learning and knowledge development from evaluations.

These Guidelines are expected to contribute to better use of evaluation and to improve accountability and organizational learning.

- 1. Evaluation plays a key role as: i) a source of evidence on the achievement of results and institutional performance, supporting accountability; and ii) an agent of change, contributing to building knowledge and organizational learning.
- 2. Evaluation can make an essential contribution to managing for results, and to organization-wide learning for improving both programming and implementation. Yet, the value of evaluation depends on its use, which is in turn determined by a number of up-stream key factors, including (but not limited to):
 - Relevance of the evaluation, in terms of timing, so as to make evaluation findings available when decisions are taken;
 - Quality/credibility of the evaluation, which derives from independence, impartiality, and a properly defined and inclusive methodology;
 - Acceptance of the evaluation recommendations, which partially depends on the above two points;
 - Appropriateness of practices in the management response, dissemination and use of evaluation findings.
- 3. In 2007, the United Nations Evaluation Group (UNEG) requested the then Evaluation Quality Enhancement (EQE) Task Force to undertake further work on the development of a paper on good practices for management response mechanisms and processes.
- 4. Subsequently independent consultants were commissioned to: 1) provide an overview of, and lessons learned on Management Response

- and Follow-up to evaluation recommendations within the United Nations system¹, and 2) develop good practice standards based on common and differential features as well as key challenges that Evaluation units within the UN system as well as IFI"s, bilaterals and NGOs face when dealing with follow-up processes to evaluation².
- 5. The consultants" reports were discussed at the Evaluation Practice Exchange Seminar in 2009 and the conclusions from the discussion provided the guidance to the Task Force to finalize its work. It was agreed that UNEG should first develop and agree upon Good Practice Guidelines for the follow-up to evaluations —rather than develop prescriptive standards. Good practices are drawn from the experiences and approaches used by a wide range of evaluation functions that operate in differing contexts, with the aim that they be adapted by UN organisations to match their individual needs and organisational settings.
- 6. By drawing extensively on the two previous reports by independent consultants, this paper aims at outlining good practices in management response to evaluation, in the development of (formal and informal) systems for tracking and reporting on the implementation of the evaluations" recommendations, and mechanisms for facilitating learning and knowledge development from evaluations. Good practices are expected to cover both the accountability and the learning dimensions of evaluation, including incentives to use evaluation results in future programming and management.

²O. Feinstein, Institutional practices for Management Response and Evaluation Follow-up, 2009.



¹A. Engelhardt, Management Response and Follow-up to evaluation recommendations: overview and lessons learned, 2008.



Preconditions for follow up to evaluations

7. There are certain *preconditions* that aid effective evaluation management response and follow-up processes, as outlined in Figure 1. Whilst description

of the attributes of high quality evaluation planning and implementation processes are beyond the scope of this paper, their importance to the effectiveness of the ensuing management response and follow-up processes must be clearly highlighted.

<u>Preconditions</u> for effective evaluation follow up and management response

Good Evaluation Planning

Identification of key stakeholders, Definition of evaluation focus, TOR preparation, evaluation team selection, logistical arrangements for evaluation missions

Quality Evaluation Implementation

Briefings/inceptions events, evaluation field and desk work report preparation, process for stakeholder comments and quality control of draft report (focus on quality and relevance of findings, lessons and recommendations)

Management Response to Evaluation

Management whose operations were evaluated provide a response, government and / or other partners may also respond to the evaluation



Disclosure and dissemination of Evaluation Report

Disclosure and publication (electronic &/or printed) of the evaluation, including management response; evaluation summaries or other knowledge sharing/learning products



Follow up to Evaluation

Formal and informal processes to promote, and verify, that evaluation based learning takes place within the organization and among partners, management reports on status of implementation of recommendations



- 8. Involvement of internal stakeholders (and to the extent possible relevant external stakeholders) throughout the evaluation process increases the perceived relevance, and stakeholders" ownership, of evaluations. The establishment of reference and consultative groups, which advise on the evaluation"s approach and provide feedback at key milestones of the process, work both to enhance the quality of the evaluation, and to increase the likelihood that evaluation recommendations will be accepted, owned, and acted upon. It is important to strike an appropriate balance between promoting the ownership of evaluation findings and recommendations without compromising the independence of evaluation, which can be aided by clearly defining the role of such a reference or consultative group prior to commencing work.
- 9. Another precondition for follow-up is quality evaluation recommendations. The recommendations, which should be firmly based on evidence and analysis, and logically following from findings and conclusions, are to be clearly formulated, and presented in a manner that is easily understood by target audiences. Both strategic and more operational recommendations are expected to be implementable³.
- 10. The evaluation"s credibility is a third factor affecting the utility of the evaluation. Credibility, in turn, depends on independence, impartiality, transparency, quality and the appropriateness of the methods used⁴. Reporting lines and different structures of the evaluation units are key factors influencing the independence, credibility and, hence, the utility of evaluations.

Policy statements that deal with evaluation follow up

11. The UNEG Norms and Standards for Evaluation in the UN System⁵ state the need for management response and systematic follow-up activities as a means for evaluations to contribute to knowledge building and organizational improvement. Standard 1.4 suggests that, "UN organizations should ensure appropriate evaluation follow-up mechanisms and have an explicit disclosure policy" to ensure

- that evaluation recommendations are utilized and implemented in a timely fashion and that the findings of evaluations feed into programme or project planning. An explicit disclosure policy ensures the transparent dissemination of evaluation reports.
- 12. The different mechanisms to deal with management response and follow-up can be distinguished along two separate, but in practice often related, dimensions: the degree of formality of the process and the way the knowledge generated by the evaluation is shared. On the one hand there are formal and informal processes, the latter being characterized by more ad-hoc interactions among evaluators and users of evaluations. On the other hand, the distinction is made between explicit (or codified) knowledge, as the one crystallized in evaluations" recommendations, and implicit (or tacit) knowledge, which is shared when evaluators interact with potential users of evaluations and enter into a dialogue that allows for knowledge sharing, without having that knowledge embodied in documents.
- 13. Although it has been shown that the formalization of, and transparency in, the set up of management response and follow-up mechanisms contributes to greater systematization and more rigorous implementation of the recommendations, the two models are by no means incompatible. Rather, each process strengthens the other"s value in promoting ownership of evaluation"s conclusions and recommendations by management and, at the same time, ensuring accountability within and outside the organization. Formal and informal mechanisms for management response and followup reporting represent powerful incentives for accountability mechanisms to work and contribute to organizational learning. To that extent, evaluation policies must be explicit about follow-up mechanisms, both formal and informal.
- 14. The main principles that should be embodied by an evaluation policy focused on the follow-up to evaluations include ownership, consultation and transparency.

³ Some agencies give an order of priority for recommendations, and / or require a timeframe to be specified.

⁴ The factors influencing the use of evaluations are discussed in Feinstein, Osvaldo (2002): "Use of Evaluations and Evaluation of their Use", Evaluation, No. 8

⁵ Available at www.unevaluation.org.



- 15. Similar to the importance of stakeholder"s involvement during the evaluation process, stakeholders" inclusion and engagement throughout the follow-up process is not only important for accountability purposes, but it also builds ownership and increases the potential the evaluation has to impact on organizational learning.
- 16. Related and supportive incentives for using evaluation results, to which the organization should commit itself include: building a culture for valuing evaluation; emphasizing the need for compliance; ensuring that evaluation recommendations are relevant to and timely for the organizational agenda; ensuring a close alignment of the departmental agenda to recommendations emanating from evaluations; senior management buy-in; relating good evaluation practices to results-based programming; and the use of results for evidence based communication strategies.
- 17. The policy should clearly define the roles and

- responsibilities of evaluation offices or units, managers, and staff at large. It is also important to maintain constructive relationships with the organization"s Governing Bodies and other technical departments without compromising the degree of independence of the evaluation function, which can be achieved through holding consultations with stakeholders during the policy drafting process to ensure that they are clear and supportive of their role, while also emphasizing the importance of independent assessments that reflect the opinions of all stakeholders.
- 18. The requirements and mechanisms for the follow-up to evaluations, including the dissemination of evaluation reports, management response and follow-up reports, must be made clear through the policy. The policy should also leave room for informal activities. Another important point to include is the time frame for the management response and for the implementation of other follow-up activities.

Figure 2:



Source: A. Engelhardt (2008)

19. In this context, the institutionalization of practices for management response and follow-up is deemed essential to capitalise on the knowledge created and contribute to development effectiveness, by, on the one hand, helping to learn what worked well, what didn"t work, and the reasons for these results and, on the other hand, by serving as an instrument for accountability (which, in turn, becomes an incentive for learning).

Management response to evaluation recommendations

20. The UNEG Norms and Standards for Evaluation in the UN System suggest the development of a formal response to the evaluation by management and/or the governing authorities addressed by

- the recommendations. Standard 3.17 states, "Evaluation requires an explicit response by the governing authorities and management addressed by its recommendations".
- 21. This section outlines principles and good practices with respect to the development of approaches, mechanisms and processes to promote effective management responses to evaluation recommendations.



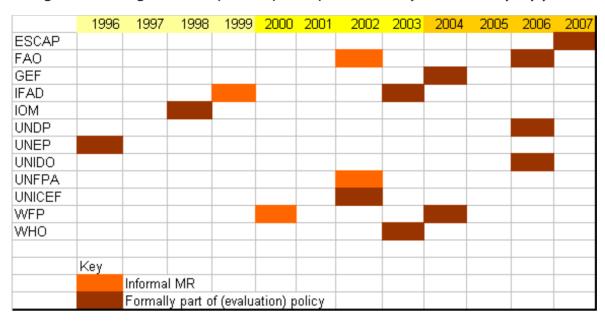


Figure 3: Management responses put in place formally or informally, by year

- 22. Management Responses to evaluations in UN agencies are most commonly embodied in the production of a formal document. The majority of the UN agencies (and other bilateral and multilateral organizations) develop management responses in a matrix form, requiring feedback to each recommendation (i.e. accepted, not accepted, partially accepted) and a list of actions that the responsible unit(s) commits to take in a fixed amount of time. The responses may also have a narrative component. To ensure relevance, the management response is often required to be completed within a specific time period after the release of the evaluation report.
- 23. The management response matrix constitutes the baseline for monitoring of accepted recommendations and agreed actions, which in turn informs follow-up reports on the status of the implementation. While serving as an important accountability tool, the outline of strict and close deadlines needs to take into adequate consideration the time that in some cases (e.g. joint evaluations) is necessary for the involvement of different stakeholders and/or organizational levels. An electronic monitoring tool to track the timely receipt of documents is advisable, especially

- when evaluation units find themselves managing a significant number of reports and follow-up documents.
- 24. Although the evaluation function should not be held responsible for the substance of a response, which lies with the manager concerned, it must check the quality of management responses to ensure that the recommendations have, indeed, been responded to and have a chance of being implemented. To facilitate the process, evaluation focal points should be established to coordinate the preparation of management responses. In addition, an internal monitoring system should be established to enhance the accountability of managers, and ensure that management responses are submitted in a timely manner.
- 25. In the case of country level and sometimes project level evaluations jointly undertaken by UN entities and governments, management and governments should be expected to provide a response to the evaluation, which is disclosed jointly with the evaluation report. Clear roles and responsibilities are of particular importance in the case of joint evaluations, where inter-agency coordination is required for effective management response and follow-up⁶.

⁶OECD, DAC Guidance for Managing Joint Evaluations, 2006



26. Management responses to decentralized evaluations which are managed by agency field offices and/or regional or thematic or policy bureaus⁷ should follow the processes as described above.

Elements of good practices for management responses

- 27. The following attempts to distil key elements of good evaluation practice that promote effective follow-up through the management response.
- 28. A focus on *increasing the level of ownership* of the evaluation findings and recommendations through both formal and informal processes during the evaluation process improves the likelihood of effective management response and evaluation follow-up.
- **29.** Clearly defined roles and responsibilities in the processes dealing with management response and follow-up are needed and should be communicated to all key evaluation stakeholders, including managers, officers and members of Governing Bodies.
- 30. Establish *an agreed deadline* by which Management or other key stakeholders (e.g. Governments and possibly other partners), should provide their formal response to the evaluation.
- 31. A focal point should be nominated by management to *coordinate the management response.* This is particularly important in cases where the evaluation involves several operational units, and different management levels.
- 32. In the case of joint evaluations involving several agencies/partners, an ad-hoc group with management representatives of the different agencies/partners should be formed to elicit a coordinated management response.
- 33. In case the concerned managers lack experience in preparing a management response, the central evaluation unit should routinely *provide support by showing good examples of management response* and clarifying any doubts, making reference to the evaluation policy of the organization (if there is one). The support role of the central evaluation unit

- is particularly important in the case of agencies with decentralized evaluation offices or decentralized evaluation focal points.
- 34. The Management Response should clearly indicate whether Management accepts, partially accepts or rejects the recommendations. If the latter is the case, the reason(s) for the rejection should be provided. In the former case, actions to be taken should be mentioned in detail, indicating the time frame and specific unit(s) responsible to implement the planned action(s). When more than one unit is mentioned, it should be clear which unit is responsible for which action(s). This information should be presented in the form of a management response matrix, showing the relevant information at a glance.
- 35. Management Responses should be disclosed in conjunction with the evaluation. However, if the management response does not become available within the agreed period, and if there are no acceptable reasons to extend (or further extend) the deadline, the evaluation report is disclosed with an indication that the management response was not made available at the date in which it was due.
- 36. Evaluators should be encouraged and expected to pursue opportunities for dialogue with management on evaluation recommendations and management response, trying to facilitate managers" task but, at the same time, being careful to ensure their independence and to promote management"s ownership of, and commitment to, their response. Indeed, dialogue at all levels of the evaluation process increases the perceived relevance, and stakeholder ownership of evaluations.

Follow up processes and learning

37. The main purposes of institutionalizing follow-up processes to evaluations are: 1) to strengthen the use of evaluations; 2) increase stakeholder and management buy-in to improve performance; and 3) to facilitate in-depth dialogue about evaluation results and follow-up to influence the planning and implementation of strategies, programmes and projects.

⁷ This is an adaptation of the definition used by WFP and UNDP, which also applies to UNICEF and most organizations. Furthermore, this definition is consistent with the one included in Hildenwall and Öbrand (2008)



38. It has been demonstrated that transparent management response and follow-up processes increase the implementation rate of the recommendations. UNEG Standard 1.5 requires the evaluation function to ensure that follow-up and regular progress reports are compiled on the implementation of the recommendations emanating from the evaluations already carried out, to be submitted to the Governing Bodies and/or Heads of organizations. While this may not be the practice for all evaluation functions in the UN system, all evaluation functions should consider implementing mechanisms that facilitate follow-up of evaluation recommendations.

Systematic follow up to evaluations

- 39. As described in the previous section, the management response matrix clearly outlines the recommendations from the evaluation, the response from management, and the actions to be taken including a clear indication of the entity responsible for the action and the timeline for completion.
- 40. Reporting on follow-up to evaluations should take place at regular intervals, e.g. on an annual or biannual basis. Each organization should determine the appropriate intervals and ensure that they are communicated to staff and stakeholders. Reporting intervals are ideally aligned with the organization "s planning processes. A *default expiration period* for the tracking of follow-up to recommendations of evaluations is desirable to ensure that costs (including financial and human) necessary for tracking the implementation of recommendations are balanced with the benefits ⁹. It is also important to allow *flexibility* in terms of changing actions that have been agreed upon in order to ensure their relevance within a changing context.
- 41. There are several mechanisms for the systematic follow-up that are considered good practice:
 - **Electronic platforms** have proven to be a successful mechanism for tracking the actions taken in response to the recommendations of an evaluation. The benefits of an electronic platform include the ability to generate reports and complete disaggregated analyses on the implementation across the

- organization, and will facilitate access by all stakeholders to the information generated. Organizations interested in developing an electronic platform for tracking should seek lessons learned from those organizations that have implemented such a platform.
- Reporting to governing bodies (and thus to the entire organization and its stakeholders) on an annual or biannual basis on the status of the implementation of recommendations is an effective means of ensuring accountability. The report could come in the form of an Annual Evaluation Report that covers multiple aspects dealing with evaluation in the organization or a report specifically focused on the implementation status of evaluation recommendations and follow-up actions. Reporting can serve as an incentive to implement follow-up actions in a timely fashion.
- **Discussions** on planned follow-up to evaluations and the status of implementation of the recommendations are essential for ensuring that stakeholders are aware of the findings and the actions planned and/or taken. Discussions will enable stakeholders to provide comments and suggestions for moving forward. Discussions on the follow-up to evaluations can take place systematically at the annual meeting of the Governing Body and/or through Senior Management Teams. Such discussions should focus on strategic issues of corporate significance and on recurrent findings and recommendations from project evaluations. Discussions will build ownership within the organization and serve as a further incentive to implement follow-up actions in a timely fashion.

Learning and contribution to knowledge development

42. Systematic mechanisms for follow-up to evaluation recommendations are positive steps in institutionalizing a system for follow-up. However, in order to ensure effective and appropriate follow-up



- they should be complemented by other incentives and less formal mechanisms.
- 43. Several mechanisms for facilitating learning and knowledge development from evaluations are considered good practice:
 - Knowledge products can include the actual evaluation report, an evaluation brief, an e-newsletter with a short summary, or other products. Knowledge products should contain the key findings and recommendations, be tailored to the audience and facilitate the use of information through clear and easy to understand language while at the same time maintaining linkage to the broader expected results of the organization. The strategy for dissemination of knowledge products is of utmost importance; it has been shown that an effective strategy depends on: correct targeting of intended users, the appropriateness of the means used to facilitate access to the evaluation findings, and, in particular, the timing of the evaluation, so as to make evaluation findings available when decisions are taken. It is also important to take advantage of the new media and technology available for disseminating knowledge such as wiki"s and "YouTube".
 - Meetings and workshops facilitate the sharing of tacit (or implicit) knowledge from evaluations. Tacit knowledge is the knowledge that is not captured in evaluation reports, for example the interpretation of evaluation findings and recommendations by individual staff members. Tacit knowledge is essential for a full understanding and an appropriate effective implementation of the recommendations at the organizational level. The extent to which evaluation documents, follow-up reports, and lessons learned are discussed and shared, significantly affects the use of evaluation results, ensures transparency, and serves as an incentive for the organization"s staff whenever the

- documents are disclosed to the public and/ or presented in front of the Governing Bodies.
- Communities of practice (COP"s) are informal mechanisms that have the potential of creating an enabling environment for the use of evaluations, providing evaluators and staff with opportunities to persuade the managers to implement the recommendations through the sharing of knowledge and good practice.

Conclusions and suggestions for use of good practices

- 44. The present guidelines should be tailored to the specific context of each organisation, as the evaluation functions of UN entities vary greatly in terms of the level of independence, capacity and organizational evaluation culture, which affect appropriate roles and responsibilities, the level of acceptance of evaluation and the appropriateness of related follow-up activities.
- 45. Management responses and follow-up to evaluations should be reflected in agency evaluation policies, which should clarify the respective roles and responsibilities of the evaluation function vis-à-vis management. While management is ultimately accountable, at the minimum evaluation units are expected to facilitate processes and promote activities related to the follow-up to evaluations.
- 46. Evaluation processes should aim to increase the level of ownership of findings and recommendations through both formal and informal approaches. For evaluation processes and results to be fully captured and owned as organizational lessons, it is of central importance that a tailored dissemination or communication strategy is developed for each evaluation.
- 47. Management responses should clearly indicate whether Management accepts, partially accepts, or rejects the recommendations. Follow-up should be well coordinated and timeframes for action agreed. Good practice suggests that management responses should be disclosed in conjunction with the evaluation. Complementing formal management responses with facilitation of learning and knowledge development from evaluations

⁸ Achim Engelhardt, "Management response and follow-up to evaluation recommendations: overview and lessons learned" p. 5.

⁹ For example, JIU per default tracks the follow-up to recommendations for a period of 4 years.



is necessary for building a culture for utilizing evaluations beyond compliance. Formalisation of management response processes in evaluation policies, followed by systematic application, is an effective way to promote organization-wide learning and improve both operational programming and implementation.

48. A combined approach that incorporates oral and written, formal and informal communication is deemed necessary to ensure that follow-up to evaluations supports organizational accountability and learning for enhanced effectiveness.

[Name of the Evaluation] Date

Prepared by: Position: Unit/Bureau: Cleared by: Position: Unit/Bureau: Input into and update in ERC: Position: Unit/Bureau:

Annex 1: UNDP Management Response Template Overall comments: Evaluation Recommendation or Issue 1: Management Response: Key Action(s) Time Frame Responsible Unit(s) Tracking* Status Comments 1.1. description activities, then specifics as needed 1.2 Evaluation Recommendation or Issue 2: Management Response: Key Action(s) Time Frame Responsible Unit(s) Tracking Status Comments 2.1. description activities, then specifics as needed b. 22 Evaluation Recommendation or Issue 3: Management Response: Key Action(s) Time Frame Responsible Unit(s) Tracking Status Comments 3.1 description activities, then specifics as needed h. 3.2 3.3 * The implementation status is tracked in the ERC



A. Management response template

- It is required to publish the general remarks by management and a management response (MR) to each recommendation of the evaluation or evaluative review as an insert at the beginning of the evaluation report. (See the Evaluation Tool 5: Evaluation report template).
- The below MR template with follow-up actions will be included as an annex to the evaluation report and the detailed follow-up action plan with the responsible units and expected completion date should be submitted to PMD (see template B below).

	————— Annex 2: UNESCAP Management Response Template ——			
	Amex 2. Ovesex Mane	детте	it Kesponse Template	
Title of Evaluation				
	Signature		Date	
Executive Secretary				
(or other management entity as appropriate)				
Division Chief or Head of Regional Institution (as appropriate)				
Division Chief or Head of Regional Institution (as appropriate)				
General Remarks by Management				
Report Recommendation	Management Response		Follow-up Action	
1.				
2.				
Etc.				



Annex 11: UNEG Norms Standards for Evaluation_2016

Norms and Standards for Evaluation



As Secretary-General, one of my main roles is to continuously improve the United Nations in order to deliver for the people we serve. That means knowing whether we are achieving what we set out to do, and if not, how to do better. Evaluation is thus critical for promoting accountability and for understanding what we are doing right and what we may be getting wrong. As Member States shape a new sustainable development agenda for the post-2015 period, evaluation will only grow in importance. Evaluation everywhere, and at every level, will play a key role in implementing the new development agenda.

— Ban Ki-moon, Secretary-General of the United Nations at the United Nations Evaluation Group High-level event: "Bridge to a Better World: Evaluation at the Service of the Post-2015 Agenda", New York, 9 March 2015

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The United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation, adopted in 2005, has served as a landmark document for the United Nations and beyond. For the last ten years, it has been used successfully to strengthen and harmonize evaluation practice and has served as a key reference for evaluators around the world.

However, the last decade has witnessed many changes in global, regional and national contexts and in the practice of evaluation. 2015 alone saw the adoption of the new 2030 Agenda for Sustainable Development and the Sustainable Development Goals (which call for robust, transparent, participatory follow-up and review mechanisms based on countryled evaluations), and the first-ever International Year of Evaluation.

At the end of 2014, the United Nations General Assembly adopted resolution 69/237 on "Building Capacity for the Evaluation of Development Activities at the Country Level." These are key opportunities— among several—to strengthen the role of evaluation in supporting national government, organization and community efforts to realize the goals of the United Nations in ways that leave no one behind.

This evolving context and the increasing demands for accountability and national ownership in evaluation require an updated Norms and Standards document in order to ensure its continued relevance in guiding and further strengthening evaluation practices.

I am pleased to present this updated version, which is intended for application to all United Nations evaluations. It is hoped that this may also provide a useful framework for the global evaluation community as a whole. I therefore invite the global evaluation community to adopt the updated Norms and Standards and strive to apply them in their practice as appropriate.

I would like to thank all members of UNEG who devoted their knowledge and expertise to arrive at this final version and all UNEG Heads who reviewed successive drafts and reached consensus on the final text.

Marco Segone

Chair, United Nations Evaluation Group



Acknowledgments **(**

UNEG would like to acknowledge the contribution of the members of the UNEG Working Group on Norms and Standards, in particular Masahiro Igarashi (FAO) and Amir Piric (UNESCO) who acted as the co-Conveners of the UNEG Working Group on the Norms and Standards and also led the UNEG Norms and Standards Drafting Group, which included Shravanti Reddy (UN Women) and Machiel Salomons (UNHCR).

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Contents 《

FOREWORD	5	STANDARD 2 Management of the Evaluation Function	18	
ACKNOWLEDGMENTS	6	STANDARD 2.1 Head of evaluation	18	
PREAMBLE		STANDARD 2.2 Evaluation guidelines		
DEFINITION OF EVALUATION	10	STANDARD 2.3 Responsiveness of the evaluation		
DEFINITION OF EVALUATION		function		
GENERAL NORMS FOR EVALUATION	10	STANDARD 3 EVALUATION COMPETENCIES	19	
NORM 1 Internationally agreed principles,				
goals and targets	10	STANDARD 3.1 Competencies	19	
NORM 2 Utility	10	STANDARD 3.2 Ethics	21	
NORM 3 Credibility	10	STANDARD 4 Conduct of Evaluations	21	
NORM 4 Independence	11	STANDARD 4.1 Timeliness and intentionality	21	
NORM 5 Impartiality	11	STANDARD 4.2 Evaluability assessment	22	
NORM 6 Ethics	11	STANDARD 4.3 Terms of reference	22	
NORM 7 Transparency	12	STANDARD 4.4 Evaluation scope and objectives	23	
NORM 8 Human rights and gender equality	12	STANDARD 4.5 Methodology	23	
NORM 9 National evaluation capacities	12	STANDARD 4.6 Stakeholder engagement		
NORM 10 Professionalism	12	and reference groups	24	
		STANDARD 4.7 Human rights-based approach and		
INSTITUTIONAL NORMS FOR EVALUATION IN THE UNITED NATIONS SYSTEM	13	gender mainstreaming strategy	24	
		STANDARD 4.8 Selection and composition of		
NORM 11 Enabling environment	13	evaluation teams	25	
NORM 12 Evaluation policy	13	STANDARD 4.9 Evaluation report and products	26	
NORM 13 Responsibility for the evaluation function	13	STANDARD 4.10 Recommendations	26	
NORM 14 Evaluation use and follow-up	14	STANDARD 4.11 Communication and dissemination	27	
STANDARDS FOR EVALUATION	15	STANDARD 5 Quality	28	
		STANDARD 5.1 Quality assurance system	28	
STANDARD 1 Institutional Framework	15	STANDARD 5.2 Quality control of the		
STANDARD 1.1 Institutional framework for evaluation	15	evaluation design	28	
STANDARD 1.2 Evaluation policy	15	STANDARD 5.3 Quality control at the final stage of		
STANDARD 1.3 Evaluation plan and reporting	16	evaluation	28	
STANDARD 1.4 Management response and follow up	17			
STANDARD 1.5 Disclosure policy	17	ANNEX—RELATION TO OTHER OVERSIGHT FUNCTIONS	30	





Preamble 《

The United Nations Evaluation Group (UNEG) is an interagency professional network that brings together the evaluation units of the United Nations system, including United Nations departments, specialized agencies, funds, programmes and affiliated organizations. UNEG works to support the strengthening and harmonization of evaluation practices. The aim is to ensure that United Nations evaluation functions provide credible and useful evidence to inform and strengthen the work of the United Nations system in pursuit of its goals.

In 2005, UNEG adopted the foundational document, Norms and Standards for Evaluation in the United Nations System. The 2005 Norms and Standards sought to facilitate systemwide collaboration on evaluation by ensuring that UNEG members adhered to shared basic principles and applied best practices in managing, conducting and using evaluations.

In 2015, a UNEG working group led work to revise and update the *Norms and Standards*. This work included an extensive consultation process, participatory workshops and several studies and surveys. The updated *Norms and Standards* were discussed and unanimously adopted at the April 2016 UNEG Annual General Meeting in Geneva.

The 2016 Norms and Standards, now consolidated into one document, are interrelated and mutually reinforcing. The ten general norms should be upheld in the conduct of any evaluation; the four institutional norms should be reflected in the management and governance of evaluation functions. The associated standards support the implementation of these normative principles.

The 2016 Norms and Standards will serve as the framework for the UNEG evaluation competencies, peer reviews and benchmarking initiatives. UNEG guidance documents provide further details and guidance on implementation of these Norms and Standards and on evaluation practice within their framework. In some areas, UNEG working groups are updating or developing new guidance where gaps exist, informed by the practical experience of UNEG members and global good practices.

The 2016 UNEG Norms and Standards will be subject to periodic review and updating by UNEG members.

"We resolve, between now and 2030, to end poverty and hunger everywhere; to combat inequalities within and among countries; to build peaceful, just and inclusive societies; to protect human rights and promote gender equality and the empowerment of women and girls; and to ensure the lasting protection of the planet and its natural resources. We resolve also to create conditions for sustainable, inclusive and sustained economic growth, shared prosperity and decent work for all, taking into account different levels of national development and capacities." A/Res/70/1 - 2015

The adoption of the 2030 Agenda for Sustainable Development raises the bar for global evelopment. This has profound implications for the evaluation functions of United Nations agencies and for the United Nations evaluation system as a whole. The updated *Norms and Standards* are forward-looking, providing an aspirational and progressive framework to contribute to the improvement of all United Nations evaluation functions.

The United Nations system consists of a variety of entities with diverse mandates and governance structures. This is reflected in the size, resources and capacities encompassed by UNEG members and influences what is appropriate — or indeed possible — in terms of alignment with the *Norms and Standards* in practice.

Notwithstanding this diversity, to fulfil their common mission of contributing to greater effectiveness for the good of the world's peoples, all UNEG members commit to implementing progressively the norms and standards outlined in this document in order to bring a consistent and harmonized approach to the continual improvement of the United Nations evaluation system over time. UNEG members will continue to undertake reviews in recognition of the opportunities they present for benchmarking and reflection on alignment with the 2016 Norms and Standards.



Definition of Evaluation

- 1. An evaluation is an assessment, conducted as systematically and impartially as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institutional performance. It analyses the level of achievement of both expected and unexpected results by examining the results chain, processes, contextual factors and causality using appropriate criteria such as relevance, effectiveness, efficiency, impact and sustainability. An evaluation should provide credible, useful evidence-based information that enables the timely incorporation of its findings, recommendations and lessons into the decision-making processes of organizations and stakeholders.
- 2. The purposes of evaluation are to promote accountability and learning. Evaluation aims to understand why and to what extent intended and unintended results were achieved and to analyse the implications of the results. Evaluation can inform planning, programming, budgeting, implementation and reporting and can contribute to evidence-based policymaking, development effectiveness and organizational effectiveness.

General Norms for Evaluation

NORM 1: Internationally agreed principles, goals and targets

3. Within the United Nations system, it is the responsibility of evaluation managers and evaluators to uphold and promote, in their evaluation practice, the principles and values to which the United Nations is committed. In particular, they should respect, promote and contribute to the goals and targets set out in the 2030 Agenda for Sustainable Development.

NORM 2: Utility

4. In commissioning and conducting an evaluation, there should be a clear intention to use the resulting analysis, conclusions or recommendations to inform decisions and actions. The utility of evaluation is manifest through its use in making

relevant and timely contributions to organizational learning, informed decision-making processes and accountability for results. Evaluations could also be used to contribute beyond the organization by generating knowledge and empowering stakeholders

NORM 3: Credibility

5. Evaluations must be credible. Credibility is grounded on independence, impartiality and a rigorous methodology. Key elements of credibility include transparent evaluation processes, inclusive approaches involving relevant stakeholders and robust quality assurance systems. Evaluation results (or findings) and recommendations are derived from — or informed by — the conscientious, explicit and judicious use of the best available, objective, reliable and valid data and by accurate quantitative and qualitative analysis of evidence. Credibility requires that evaluations are ethically conducted and managed by evaluators that exhibit professional and cultural competencies.

NORM 4: Independence

- 6. Independence of evaluation is necessary for credibility, influences the ways in which an evaluation is used and allows evaluators to be impartial and free from undue pressure throughout the evaluation process. The independence of the evaluation function comprises two key aspects — behavioural independence and organizational independence. Behavioural independence entails the ability to evaluate without undue influence by any party. Evaluators must have the full freedom to conduct their evaluative work impartially, without the risk of negative effects on their career development, and must be able to freely express their assessment. The independence of the evaluation function underpins the free access to information that evaluators should have on the evaluation subject.
- 7. Organizational independence requires that the central evaluation function is positioned independently from management functions,



carries the responsibility of setting the evaluation agenda and is provided with adequate resources to conduct its work. Organizational independence also necessitates that evaluation managers have full discretion to directly submit evaluation reports to the appropriate level of decision-making and that they should report directly to an organization's governing body and/or the executive head. Independence is vested in the Evaluation Head to directly commission, produce, publish and disseminate duly quality-assured evaluation reports in the public domain without undue influence by any party.

NORM 5: Impartiality

- 8. The key elements of impartiality are objectivity, professional integrity and absence of bias. The requirement for impartiality exists at all stages of the evaluation process, including planning an evaluation, formulating the mandate and scope, selecting the evaluation team, providing access to stakeholders, conducting the evaluation and formulating findings and recommendations.
- 9. Evaluators need to be impartial, implying that evaluation team members must not have been (or expect to be in the near future) directly responsible for the policy setting, design or management of the evaluation subject.

NORM 6: Ethics

10. Evaluation must be conducted with the highest standards of integrity and respect for the beliefs, manners and customs of the social and cultural environment; for human rights and gender equality; and for the 'do no harm' principle for humanitarian assistance. Evaluators must respect the rights of institutions and individuals to provide information in confidence, must ensure that sensitive data is protected and that it cannot be traced to its source and must validate statements made in the report with those who provided the relevant information. Evaluators should obtain informed consent for the use of private information from those who provide it. When evidence of wrongdoing is uncovered, it must be reported discreetly to a competent body (such as the relevant office of audit or investigation).

NORM 7: Transparency

11. Transparency is an essential element of evaluation that establishes trust and builds confidence, enhances stakeholder ownership and increases public accountability. Evaluation products should be publicly accessible.

NORM 8: Human rights and gender equality

12. The universally recognized values and principles of human rights and gender equality need to be integrated into all stages of an evaluation. It is the responsibility of evaluators and evaluation managers to ensure that these values are respected, addressed and promoted, underpinning the commitment to the principle of 'no-one left behind'.

NORM 9: National evaluation capacities

13. The effective use of evaluation can make valuable contributions to accountability and learning and thereby justify actions to strengthen national evaluation capacities. In line with General Assembly resolution A/RES/69/237 on building capacity for the evaluation of development activities at the country level, national evaluation capacities should be supported upon the request of Member States.

NORM 10: Professionalism

14. Evaluations should conducted with be professionalism and integrity. Professionalism should contribute towards the credibility of evaluators, evaluation managers and evaluation heads, as well as the evaluation function. Key aspects include access to knowledge; education and training; adherence to ethics and to these norms and standards; utilization of evaluation competencies; and recognition of knowledge, skills and experience. This should be supported by an enabling environment, institutional structures and adequate resources.

NORM 11 Enabling environment

15. Evaluation requires an enabling environment



Institutional Norms for Evaluation in the United Nations System

that includes an organizational culture that values evaluation as a basis for accountability, learning and evidence-based decision-making; a firm commitment from organizational leadership to use, publicize and follow up on evaluation outcomes; and recognition of evaluation as a key corporate function for achieving results and public accountability. Creating an enabling environment also entails providing predictable and adequate resources to the evaluation function.

NORM 12 Evaluation policy

16. Every organization should establish an explicit evaluation policy. Taking into account the specificities of the organization's requirements, the evaluation policy should include a clear explanation of the purpose, concepts, rules and use of evaluation within the organization; the institutional framework and roles and responsibilities; measures to safeguard evaluation independence and public accountability; benchmarks for financing the evaluation function that are commensurate with the size and function of the organization; measures to ensure the quality and the use of evaluations and post-evaluation followup; a framework for decentralized evaluations, where applicable; and provision for periodic peer review or external assessment. The evaluation policy should be approved by the governing body and/ or the executive head to ensure it has a formally recognized status at the highest levels of the organization. References to evaluators in the policy should encompass staff of the evaluation function as well as evaluation consultants.

NORM 13 Responsibility for the evaluation function

17. An organization's governing body and/or its executive head are responsible for ensuring the establishment of a duly independent, competent and adequately resourced evaluation function to serve its governance and management needs. The evaluation budget should be commensurate to the size and function of the organization.

- 18. The governing body and/or the executive head are responsible for appointing a professionally competent head of evaluation and for fostering an enabling environment that allows the head of evaluation to plan, design, manage and conduct evaluation activities in alignment with the UNEG Norms and Standards for Evaluation. The governing body and/ or the executive head are responsible for ensuring that evaluators, evaluation managers and the head of the evaluation function have the freedom to conduct their work without risking their career development. Management of the human and financial resources allocated to evaluation should lie with the head of evaluation in order to ensure that the evaluation function is staffed by professionals with evaluation competencies in line with the UNEG Competency Framework.
- 19. Where a decentralized evaluation function exists, the central evaluation function is responsible for establishing a framework that provides guidance, quality assurance, technical assistance and professionalization support.

NORM 14 Evaluation use and follow-up

- 20. Organizations should promote evaluation use and follow-up, using an interactive process that involves all stakeholders. Evaluation requires an explicit response by the governing authorities and/ or management addressed by its recommendations that clearly states responsibilities and accountabilities. Management should integrate evaluation results and recommendations into its policies and programmes.
- 21. The implementation of evaluation recommendations should be systematically followed up. A periodic report on the status of the implementation of the evaluation recommendations should be presented to the governing bodies and/or the head of the organization.

STANDARD 1: Institutional framework

Standard: 1.1 Institutional framework for evaluation

The organization should have an adequate institutional framework for the effective management of its evaluation function.





Standards for evaluation

- 22. A comprehensive institutional framework for managing the evaluation function and conducting evaluations is crucial to ensure an effective evaluation process.
- 23. The institutional framework should concretely address the following requirements in order to ensure that:
 - Institutional and high-level management have an understanding of and support for theevaluation function's key role in contributing to the effectiveness of the organization;
 - Evaluation is part of the organization's governance and management functions;
 - Evaluations are independent, credible and useful;
 - Evaluations make essential contributions to managing for results;
 - The evaluation function is independent of other management functions in order to facilitate an independent and impartial evaluation process. The head of evaluation should report directly to the governing body and/or the executive head of the organization;
 - There are sufficient and earmarked financial and human resources for evaluation, commensurate with the nature and size of the organization, in order to allow for efficient and effective delivery of services by a competent evaluation function and to enable evaluation capacity strengthening; and
 - Partnerships and cooperation on evaluation within the United Nations system and with other relevant institutions are encouraged.

Standard 1.2: Evaluation policy

Organizations should establish an evaluation policy that is periodically reviewed and updated in order to support the evaluation function's increased adherence to the UNEG Norms and Standards for Evaluation.

24. The governing body and/or the executive head of the organization should approve an evaluation policy that is in line with both the *UNEG Norms and Standards for Evaluation* and with the organization's

goals and strategies. The evaluation policy should include a clear explanation of the:

- Purpose, concepts, rules and use of evaluation within the organization;
- Institutional framework and roles and responsibilities of evaluation professionals, senior management and programme managers with regard to evaluation;
- Organization's disclosure policy for the dissemination of evaluation results:
- Measures to safeguard evaluation independence and public accountability;
- Benchmarks to ensure that evaluation function resources are commensurate with the size and function of the organization; resources for the evaluation function should allow for the conduct of high-quality evaluation activities to meet organizational needs for learning and accountability;
- Measures to ensure the quality and the use of evaluations in post-evaluation follow-up;
- Framework for decentralized evaluations, where applicable;
- Framework for evaluation capacity development, where applicable; and
- Provisions for peer or external review.
- 25. In determining the range of funding for evaluation, small organizations will generally need to spend more in relative terms than larger organizations. Factors to be considered when determining the range of funding include the organization's mandate and size; the types of evaluations to be considered; and the role of the evaluation function in institutionalization and support to strengthening decentralized evaluation, national capacities for evaluation and evaluation partnerships. With respect to financial benchmarking, the United Nations Joint Inspection Unit (JIU/REP/2014/6) concluded that organizations should consider a range of funding that is between 0.5 per cent and 3.0 per cent of organizational expenditure.

Standard 1.3 Evaluation plan and reporting

Evaluations should have a mechanism to inform the governing



body and/or management on the evaluation plan and on the progress made in plan implementation.

- 26. The evaluation plan should be based on an explicit evaluation policy and/or strategy, prepared with utility and practicality in mind and developed with a clear purpose, scope and intended use for each evaluation (or each cluster of evaluations). In order to ensure maximum utility, plan preparations should include adequate consultations with stakeholders especially the intended users. The plan should be supported with adequate human and financial resources in order to ensure the quality of evaluations conducted under the framework.
- 27. There should be a mechanism for the organization's governing body and/or management to review and endorse the evaluation plan.
- 28. There should also be an appropriate mechanism to inform the governing body and/or management of the progress made in plan implementation.
- 29. Many organizations need to respond to ad hoc requests for evaluations that were not included in the initial plan (e.g. those requested by funding partners or joint evaluations proposed by other organizations). The evaluation plan should have established, clear guidelines to manage such requests. The guidelines should contain measures to ensure the quality of and financing for such ad hoc evaluations.

Standard 1.4: Management response and follow up

The organization should ensure that appropriate mechanisms are in place to ensure that management responds to evaluation recommendations. The mechanisms should outline concrete actions to be undertaken in the management response and in the follow-up to recommendation implementation.

- 30. The organization's management is responsible for providing a formal management response to each evaluation. The management response provides management's views of the evaluation recommendations, including whether and why management agrees or disagrees with each recommendation. The management response should detail specific actions to implement those recommendations that were agreed to by management. These actions should be concrete, objectively verifiable, time-bound and clear on the responsibilities for implementation.
- 31. The organization should have an oversight

- mechanism to ensure that there are management responses to evaluations, that the actions contained in management responses are adequate to substantially address agreed recommendations and that the recommendations are appropriately implemented.
- 32. The organization should have a mechanism to oversee the implementation of the actions provided in management responses, such as follow-up reports or tracking systems. Ensuring follow-up is the responsibility of the management. Follow-up should be overseen by the governing body or, for those actions to be undertaken by units within the organization, by management itself.

standard 1.5: Disclosure policy

The organization should have an explicit disclosure policy for evaluations. To bolster the organization's public accountability, key evaluation products (including annual reports, evaluation plans, terms of reference, evaluation reports and management responses) should be publicly accessible.

- 33. A disclosure policy should ensure that the public has easy access to evaluation reports. This requirement is fundamental to fulfilling evaluations' public accountability purpose.
- 34. Depending on the nature of the evaluated organization's work, some cases may require an exception to the disclosure rule (e.g. when protection of stakeholders' private information is required). In such cases, the disclosure policy should specify the conditions under which an exception can be granted. These conditions should be a priori agreed by the governing body.

STANDARD 2: Management of the Evaluation Function

Standard 2.1: Head of evaluation

The head of evaluation has the primary responsibility for ensuring that UNEG Norms and Standards for Evaluation are upheld, that the evaluation function is fully operational and duly independent, and that evaluation work is conducted according to the highest professional standards.

- 35. The institutional framework should clearly define the responsibilities of the head of evaluation, who should ensure that:
 - An evaluation policy is implemented that adheres to UNEG Norms and Standards and applies the latest evaluation practices;
 - The governing body/executive head of the



organization is adequately informed and advised on the need to review or update the evaluation policy;

- An evaluation plan is appropriately developed and implemented;
- The evaluation budget is efficiently managed;
- Robust and appropriate evaluation methodologies that reflect the highest professional standards are adopted, developed and updated frequently;
- Evaluations are conducted in a timely manner and with a focus on intended use for key stakeholders/users;
- Timely and appropriate communication of evaluation results support organizational learning, including publishing evaluation products on the organization's website;
- An adequate follow-up mechanism on the implementation of actions committed to within the management response is in place and supported; and
- Evaluation findings, lessons and recommendations are distilled and disseminated as appropriate to enhance learning and organizational improvement.

Standard 2.2: Evaluation guidelines

The head of evaluation is responsible for ensuring the provision of appropriate evaluation guidelines.

- 36. The head of evaluation is responsible for ensuring the provision of evaluation guidelines within the organization both for evaluations conducted by the central evaluation function and for decentralized evaluations.
- 37. Evaluation guidelines should follow the UNEG Norms and Standards and incorporate its relevant elements. Although guidelines may need to be prepared for different types of evaluations or for different types of users, the guidelines should generally cover:
 - The roles and responsibilities in setting up, managing, conducting, quality controlling, reporting and disseminating evaluations;
 - The process of evaluation;
 - Stakeholder involvement;
 - Guidance on methodologies and quality control and
 - Reporting, dissemination and the promotion

of learning.

38. For decentralized evaluations, the guidance should cover overall planning and resourcing.

Standard 2.3: Responsiveness of the evaluation function

The head of evaluation should provide global leadership, standard setting and oversight of the evaluation function in order to ensure that it dynamically adapts to new developments and changing internal and external needs.

- 39. The management of the evaluation function should include:
 - Raising awareness and/or building evaluation capacity;
 - Facilitating and managing of evaluation networks;
 - Designing and implementing evaluation methodologies and systems;
 - Ensuring the maintenance of institutional memory through user-friendly mechanisms;
 and
 - Promoting the systematic compilation of lessons.

Standard 3: Evaluation Competencies

40. All those engaged in designing, conducting and managing evaluation activities should aspire to conduct high-quality work guided by professional standards and ethical and moral principles. This includes heads of evaluation offices/units, evaluation office staff, decentralized evaluation staff, evaluation managers and external evaluators.

Standard 3.1: Competencies

Individuals engaged in designing, conducting and managing evaluation activities should possess the core competencies required for their role in the evaluation process.

- 41. Evaluation competencies refer to the qualifications, skills, experience, educational background and attributes required to carry out roles and responsibilities within an evaluation process as a means to ensure the credibility and quality of the process.¹
- 42. Evaluators, evaluation managers and evaluation commissioners should continually seek to maintain and improve their competencies in order to provide the highest level of performance in producing and



- using evaluations within evolving institutional, national, regional and global contexts and needs. This may require continuing professional development and capacitybuilding initiatives.
- 43. Those responsible for the design, conduct and management of evaluation are required to have core competencies related to:
 - Knowledge of the United Nations System;
 - Knowledge of United Nations principles, values, goals and approaches, including human rights, gender equality, cultural values, the Sustainable Development Goals and results-based management;
 - Professional foundations (evaluation norms, standards and ethical guidelines and the relevant organizational evaluation policy); and
 - The promotion of an evaluation culture of learning and continuous improvement.
- 44. Evaluators and staff whose primary responsibility is the management or conduct of an evaluation are required to possess additional professional and technical competencies related to:
 - Professional foundations that include reflective practice and the ability to apply evaluation standards and ethics in practice;
 - Technical evaluation skills;
 - Evaluation management skills;
 - Communication and interpersonal skills; and
 - The promotion of evidence-based learning through the application of a utilization focused approach and the engagement of users and beneficiaries.
- 45. The heads of evaluation offices or units should possess additional competencies beyond those listed above related to:
 - Technical and professional skills, including a stronger knowledge base on evaluation to enable providing substantive guidance on global issues and evaluation trends;
 - Mastery of evaluation ethics within complex contexts:
 - Management skills, including: overseeing coordination; providing supervision;

- facilitating networking; mentoring and coaching evaluators, promoting a positive work environment and conveying a deeper understanding of how to foster learning; and
- Enhanced communication and interpersonal skills and the ability to promote an organizational learning culture.
- 46. The commissioners of evaluation should possess competencies related to the following areas:
 - Sufficient knowledge of ethics, human rights and gender equality in order to assess the knowledge of evaluators who are being commissioned to undertake an evaluation:
 - The ability to take a leadership role in maintaining the integrity of the selection process when engaging evaluators;
 - Sufficient technical skills and knowledge to be able to assess the technical quality of a proposal submission; and
 - The ability to support the use of evaluations for learning and accountability.
- 47. Those using evaluations and evaluation evidence also require support. Efforts are required to ensure that evaluation users understand the value of evaluation and to create an environment where evaluations are appropriately and productively used.

Standard 3.2: Ethics

All those engaged in designing, conducting and managing evaluations should conform to agreed ethical standards in order to ensure overall credibility and the responsible use of power and resources.

- 48. Ethical principles for evaluation include obligations on the part of evaluators to behave ethically in terms of:
 - Intentionality: giving consideration to the utility and necessity of an evaluation at the outset;
 - Conflict of interest: exercising the commitment to avoid conflicts of interest in all aspects of their work, thereby upholding the principles

¹The UNEG Evaluation Competencies for the UN System provides further details on specific evaluation competencies and their use (available at: www.unevaluation.org/document/detail/1915).



- of independence, impartiality, credibility, honesty, integrity and accountability;
- Interactions with participants: engaging appropriately and respectfully with participants in evaluation processes, upholding the principles of confidentiality and anonymity and their limitations; dignity and diversity; human rights; gender equality; and the avoidance of harm;
- Evaluation processes and products: ensuring accuracy, completeness and reliability; inclusion and non-discrimination; transparency; and fair and balanced reporting that acknowledges different perspectives; and
- Discovery of wrongdoing: discreetly reporting the discovery of any apparent misconduct to a competent body.²

Standard 4: Conduct of Evaluations

Standard 4.1 Timeliness and intentionality

Evaluations should be designed to ensure that they provide timely, valid and reliable information that will be relevant to the subject being assessed and should clearly identify the underlying intentionality.

- 49. The rationale for conducting an evaluation should be clear from the outset. The evaluation plan, scope and design should be determined with a view to generating the most relevant, useful and timely information that will meet the needs of intended users and will be relevant to decision-making processes.
- 50. Timeliness is thus an important factor in ensuring evaluation utility.
- 51. In the context of limited resources, it is important to carefully plan evaluations in order to ensure optimum utility and cost-effectiveness.
- 52. Having a clear intention implies knowing whose decisions (and the type of those decisions) the evaluation intends to influence. This should lead to the identification of relevant evaluation questions, the appropriate scope of evaluation, the design of stakeholder engagement

to promote ownership, the appropriate formulation of recommendations, an effective dissemination plan and a successful learning strategy.

Standard 4.2: Evaluability assessment

An assessment of evaluability should be undertaken as an initial step to increase the likelihood that an evaluation will provide timely and credible information for decision-making.

- 53. Ensuring evaluability is a duty of management and those responsible for programme design and results frameworks. For evaluators, the evaluability assessment implies verifying if:
 - There is clarity in the intent of the subject to be evaluated:
 - Sufficient data are available or collectable at a reasonable cost; and
 - There are no major factors that will hinder an impartial evaluation process.
- 54. If evaluability is not established, the evaluator must take measures to address the problem, such as reconstructing the theory of change, readjusting the evaluation scope or timing or consulting the evaluation commissioner in order to revise the expectations.
- 55. Evaluability assessment can also promote evaluation readiness among those managers whose activities will be the subject of evaluation.

Standard 4.3: Terms of reference

The terms of reference should provide the evaluation purpose, scope, design and plan.

- 56. The terms of reference should include, inter alia:
 - The evaluation context and purpose;
 - A description and a clear definition of the subject to be evaluated;
 - The scope of evaluation;
 - The evaluation objectives with key evaluation questions and/or criteria;
 - Evaluation methodology;

²The UNEG Ethical Guidelines for Evaluation (available at: www.unevaluation.org/document/detail/102) and UNEG Code of Conduct for Evaluation in the UN System (available at: www.unevaluation.org/document/detail/100) provide more details on the ethical principles to be upheld and specific guidance on how to do so.



- Management arrangements;
- Expected deliverables; and
- The evaluation process and timetable.
- 57. Changes to the terms of reference during the conduct of the evaluation should be reviewed and, if agreeable, approved by the commissioning party.
- 58. The clarity of purpose is important in ensuring the intentionality of evaluation. The subject to be evaluated should be described in terms of what it aimed to achieve, how the designers thought that it would address the identified problem (e.g. theory of change), implementation modalities and any intentional or unintentional changes in implementation. It is useful to provide an appropriate indication of the size and magnitude of the subject to be evaluated.

Standard 4.4: Evaluation scope and objectives

Evaluation scope and objectives should follow from the evaluation purpose and should be realistic and achievable in light of resources available and the information that can be collected.

- 59. The evaluation purpose provides the underlying rationale, why the evaluation will be undertaken and how it will be used. Following from the purpose, the scope and objectives concretely explain what the evaluation is expected to cover and achieve. They should be clear and agreed upon by key stakeholders.
- 60. The evaluation scope determines the boundaries of the evaluation, tailoring its objectives to the given situation. It should also make the coverage of the evaluation explicit (i.e. the period, phase in implementation, geographical area and the dimensions of stakeholder involvement being examined). The scope should also acknowledge the limits of the evaluation.
- 61. Objectives should be elaborated into evaluation questions. This allows identifying the questions that need to be investigated in order to achieve the objectives, thereby formulating the methodology to be adopted.
- 62. The scope and objectives are thus critical

references to determining the evaluation methodology and required resources.

Standard 4.5: Methodology

Evaluation methodologies must be sufficiently rigorous such that the evaluation responds to the scope and objectives, is designed to answer evaluation questions and leads to a complete, fair and unbiased assessment.

- 63. Methodologies should be chosen with a clear intent to provide credible answers to the evaluation questions. The methodology should ensure that the information collected is valid, reliable and sufficient to meet the evaluation objectives and that the analysis is logically coherent and complete (and not speculative or opinion-based). Triangulation principles (utilizing multiple sources of data and methods) should be applied in order to validate findings.
- 64. Methodologies provide what information should be collected, from which source(s) it should be collected, for what purpose it should be collected and how the collected data will be analysed in order to answer the evaluation questions. The methodology should not be confused with the data collection strategy. The methodology must also indicate, in analysing data, what benchmarks will be used in making the assessment for each evaluation criteria or question.

Standard 4.6: Stakeholder engagement and reference groups

Inclusive and diverse stakeholder engagement in the planning, design, conduct and follow-up of evaluations is critical to ensure ownership, relevance, credibility and the use of evaluation. Reference groups and other stakeholder engagement mechanisms should be designed for this purpose.

65. Processes should be in place to secure the participation of individuals or parties who may be affected by the evaluation, are able to influence the implementation of recommendations or who would be affected in the long term. Stakeholders should be consulted in the planning, design, conduct and follow-up of evaluations.



- 66. A variety of mechanisms can be used to consult with a broad range of stakeholders (e.g. consultation meetings on evaluation design, validation workshops on preliminary findings and post-evaluation learning workshops). In addition, different types of stakeholder groups could be formed for their continued engagement (reference groups, learning groups, steering groups and advisory groups).
- 67. Reference groups: Reference groups are composed of core groups of stakeholders of the evaluation subject who can provide different perspectives and knowledge on the subject. The reference groups should be consulted on the evaluation design in order to enhance its relevance; on the preliminary findings to enhance their validity; on the recommendations to enhance their feasibility, acceptability and ownership; and at any point during the evaluation process when needed. The use of reference groups enhances the relevance, quality and credibility of evaluation processes.
- **68. Learning groups:** Learning groups could be established with stakeholders to focus on the use of evaluation. Learning groups generally have a smaller role in quality enhancement or validation of findings than reference groups.
- **69. Steering groups:** When appropriate, some key stakeholders could be given a stronger role as members of the steering group to ensure better ownership. Steering groups not only advise, but also provide guidance to evaluations.
- 70. Advisory groups: Advisory groups are composed of experts on evaluation or the subject matter. Because group members generally do not have a direct stake in the subject matter to be evaluated, they can provide objective advice to evaluations. Using these groups can enhance the relevance, quality and credibility of evaluation processes through guidance, advice, validation of findings and use of the knowledge.

Standard 4.7: Human rights-based approach and gender mainstreaming strategy

The evaluation design should include considerations of the extent to which the United Nations system's commitment to the human-rights based approach and gender mainstreaming strategy was incorporated in the design of the evaluation subject.

- 71. United Nations organizations, guided by the United Nations Charter, have a responsibility and mission to assist Member States to meet their obligations towards the realization of the human rights of those who live within their jurisdiction. Human rights treaties, mechanisms and instruments provide United Nations organizations with a guiding frame of reference and a legal foundation for ethical and moral principles; these vehicles should guide evaluation work. Consideration should also be given to gender equality issues and hard-to-reach and vulnerable groups.
- 72. The evaluation design might also include some process of ethical review of the initial design of the evaluation subject. More specifically, the evaluation terms of reference should:
 - Indicate both duty bearers and rights holders (particularly women and other groups subject to discrimination) as primary users of the evaluation and specify how they will be involved in the evaluation process;
 - Spell out the relevant human rights and gender equality instruments or policies that will guide evaluation processes;
 - Incorporate an assessment of relevant human rights and gender equality aspects through the selection of the evaluation criteria and questions;
 - Specify an evaluation approach and methods of data collection and analysis that are human rights-based and gender-responsive;
 - Specify that evaluation data should be disaggregated by social criteria (e.g. sex, ethnicity, age, disability, geographic location, income or education);
 - Define the level of expertise needed among the evaluation team on human rights and gender equality, define responsibilities in this regard and call for



a gender-balanced and culturally diverse team that makes use of national/regional evaluation expertise.³

Standard 4.8: Selection and composition of evaluation teams

The evaluation team should be selected through an open and transparent process, taking into account the required competencies, diversity in perspectives and accessibility to the local population. The core members of the team should be experienced evaluators.

- 73. Commensurate with the public accountability role of evaluation, the evaluators or the evaluation teams must be selected through a transparent and competitive process. The core members of the evaluation team must be experienced evaluators with appropriate methodological expertise. When selecting external evaluators, practices that would lead to biases should be avoided, such as having those with a strong professional opinion on the subject matter. When the service of subject-matter experts who may have strong views is required, it is more appropriate to have them in advisory roles and their views should be triangulated.
- 74. In composing an evaluation team, care should be taken to achieve an appropriate gender balance and geographical diversity so that different perspectives are reflected. Where possible, professionals from the countries or regions concerned should be selected in order to achieve better understanding of the national and regional context and perspectives and in order to enhance the acceptability by local populations. When an evaluation requires access to the local population, factors to consider when recruiting local consultants include local language skills, cultural and gender sensitivities, ethnic or tribal affiliation and potential conflicts of interest.

Standard 4.9: Evaluation report and products

The final evaluation report should be logically structured and contain evidence-based findings, conclusions and recommendations. The products emanating from evaluations should be designed to the needs of its intended users.

- 75. The evaluation report should be presented in a way that allows intended readers to access relevant information in the clearest and simplest manner. It should not be overloaded with information that is not directly relevant to the overall analysis. Evaluation readers should be able to understand:
 - What was evaluated and why (purpose and scope);
 - How the evaluation was designed and conducted (evaluation questions, methodology and limitations);
 - What was found and on what evidence base (findings and evidences);
 - What was concluded from the findings in relation to main evaluation questions asked, and how such conclusions were drawn (conclusions);
 - What was recommended (recommendations); and What could be learned from the evaluation if any (lessons learned).
- 76. Depending on the purpose of evaluation and its intended readers, evaluation reports could take different styles and formats while keeping the above logic and elements. Evaluation managers should pay attention to the design of products emanating from the evaluation to cater to different types of intended readers. For example, the products could be composed of short, summarizing reports for executive decision makers and general readers, complemented by studies containing evidence and analysis for those who wish to take a closer look. Supplementary products, such as briefs, workshop presentations, videos and web articles could be produced for lessons

³See the UNEG guidance and handbook, *Integrating Human Rights and Gender Equality in Evaluations* (available at: www.unevaluation. org/document/detail/1616) and *UNEG UN-SWAP Evaluation Performance Indicator Technical Note and Scorecard* (available at: www.unevaluation.org/document/detail/1452), for more details on how these principles could be integrated into evaluations.



learning purposes or for particular groups of stakeholders.

Standard 4.10: Recommendations

Recommendations should be firmly based on evidence and analysis, clear, results-oriented and realistic in terms of implementation.

- 77. Recommendations should be firmly based on evidence and analysis (not be opinionbased) and should follow from the evaluation findings and conclusions.
- 78. Recommendations should be formulated with their use in mind. Depending on the subject of the evaluation, recommendations could indicate strategic directions or be more focused on operational matters.
- 79. Recommendations should be clear on who needs to implement them. In formulating recommendations, it is good practice to consult the likely implementers of the recommendations in order to secure their acceptance and feasibility.
- 80. Recommendations should not be overly prescriptive. However, it may be helpful to include operational details and proposals for practical actions for implementation in order to enhance the understanding, ownership and commitment of those who will respond.

Standard 4.11: Communication and dissemination

Communication and dissemination are integral and essential parts of evaluations. Evaluation functions should have an effective strategy for communication and dissemination that is focused on enhancing evaluation use.

81. Key evaluation messages should be clearly communicated to relevant stakeholders and to any potential users of the information and knowledge generated. Evaluations should be actively disseminated. Proactive and effective communication and dissemination contribute to the use of evaluation, not only for public accountability purposes but also for knowledge building and sharing, cross-fertilization of lessons learned and the promotion of good practices.

- 82. Effective evaluation communication informs, explains, involves, makes proposals for change, facilitates participation and engages partnerships. Evaluators should communicate to stakeholders how the evaluation results may affect them as individual entities or groups. Messages should seek to secure productive stakeholder participation in evaluation processes and to maximize the use of evaluation results and recommendations. Messages should be presented in simple and easily understandable formats tailored to the specific needs of different audiences.
- 83. Messages to communicate include:
 - Key findings and recommendations from evaluations;
 - Relevance and contribution of evaluations to the effectiveness of the organization andits operations;
 - Successes and good practices identified by evaluations, including the uptake of findings and recommendations for improvement;
 - The organization's evaluation experience and technical capability;
 - Any outstanding evaluation innovations or products; and
 - The evaluation progress.

Standard 5: Quality

Standard 5.1: Quality assurance system

The head of evaluation should ensure that there is an appropriate quality assurance system.

84. Typically invoked at the design and finalization stages of evaluation, an appropriate quality assurance mechanism looks at both the evaluation process and its products. Depending on the construct of the evaluation function, the mechanism can be operated with internal peer review or external review. In either case, the head of evaluation should ensure the objectivity of the review. Alternatively (or additionally), quality assurance could be provided by an internal or external expert providing guidance and oversight throughout the evaluation process.



Standard 5.2: Quality control of the evaluation design **Quality should be controlled during the design stage of evaluation.**

- 85. At the design stage of evaluation, the quality should be controlled⁴ by examining whether:
 - The terms of reference are clear and contain all the necessary elements;
 - The scope and methodology fit within the allocated budget and time;
 - The methodology is appropriate to achieving the evaluation's objectives;
 - The methodology ensures the collection of robust and triangulated data and lead to credible analysis and findings;
 - Evaluation design adequately reflects human rights and gender equality standards;
 - The evaluation processes are sufficiently consultative to ensure its relevance and usefulness;
 - The evaluation team has an appropriate range of expertise;
 - The process of selecting evaluators ensures the recruitment of the best-possible candidates and is devoid of conflicts of interest and other ethical issues.

Standard 5.3: Quality control at the final stage of evaluation

Quality should be controlled during the final stage of evaluation.

- 86. Quality should be controlled during the final stage of evaluation⁵ by examining whether:
 - The evaluation was conducted according to quality-assured methodologies and processes and that divergence from them were appropriately addressed;
 - Data was collected from sufficient and appropriate sources to ensure credibility;

- The findings are based on valid analyses;
- The findings, conclusions and recommendations are logically coherent;
- Sufficient consultations were undertaken to ensure the evaluation's accuracy, validity, relevance and usefulness;
- The evaluation adequately addressed human rights and gender equality considerations and other relevant United Nations Principles and Standards;⁶
- The recommendations are not impractical or excessively prescriptive, are likely to be accepted and implemented and do not imply negative consequences to subjects outside the scope of the evaluation;
- The report responds to the terms of reference and answers all evaluation questions; and
- The report follows appropriate editorial style and structure.

⁵ The UNEG Quality Checklist for Evaluation Reports is available at: www.unevaluation.org/document/ detail/607; the UNEG UN-SWAP Evaluation Performance Indicator Technical Note and Scorecard is available at: www.unevaluation.org/document/detail/1452.

⁶ The Integrating Human Rights and Gender Equality in Evaluations (available at: www.unevaluation.org/ document/detail/1616) provides



more details to enhance quality through the integration of human rights and gender equality in evaluation processes.

⁴The UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports (available at: www. unevaluation.org/document/detail/608) provides a more detailed checklist to conduct quality control of the evaluation design.



ANNEX – Relation to other oversight functions

A.1. There are other forms of assessment being conducted in the United Nations system. They vary in purpose and level of analysis and may overlap to some extent. Evaluation is to be differentiated from the following:

- **Appraisal:** A critical assessment of the potential value of an undertaking before a decision is made to implement it.
- **Monitoring:** Management's continuous examination of any progress achieved during the implementation of an undertaking in order to track its compliance with the plan and to take necessary decisions to improve performance.
- Review: The periodic or ad hoc, often rapid assessment of an undertaking's performance that does not apply the due process of evaluation. Review tends to emphasize operational issues.
- Inspection: A general examination that seeks to identify vulnerable areas and malfunctions and to propose corrective actions.
- **Investigation:** A specific examination of a claim of wrongdoing and the subsequent provision of evidence for possible use in prosecution or disciplinary measures.
- Audit: An assessment of the adequacy of management controls in order to ensure: the economical and efficient use of resources; the safeguarding of assets; the reliability of financial and other information; the compliance with regulations, rules and established policies; the effectiveness of risk management; and the adequacy of organizational structures, systems and processes.
- Research: A systematic examination designed to develop or contribute to knowledge.
- Internal management consulting:

Consulting services to help managers implement changes that address organizational and managerial challenges and that improve internal work processes.

A.2. Evaluation is not a decision-making process per se, but rather serves as an input to provide decision makers with knowledge and evidence about performance and good practices. Although evaluation is used to assess undertakings, it should provide value-added for decision-oriented processes to improve present and future activities, projects, programmes, strategies and policies. Thus, evaluation contributes to institutional policymaking, development effectiveness and organizational effectiveness.



Annex 12: UN-Habitat Standard outline for evaluation report

UN-HABITAT STANDARD FORMAT FOR EVALUATION REPORTS

Major Requirements: The Standards for Evaluation Reports are underpinned by two major requirements:

- 1. Comprehensiveness, and
- 2. Clarity.

Virtually evaluations are presented as written reports and one of the tasks after the evaluation is completed is to disseminate its results to potential users. It is essential, however to have already ascertained that the evaluation has produced credible information and well-founded recommendations. UN-HABITAT recommends a standard format for evaluation reports. The format is intended both to facilitate writing reports by evaluators and checking reports by evaluation managers and others. The format is not compulsory, but it should be used unless there is a good reason for doing otherwise.

Report structure

1. Title page to include:

- Name of programme/project to be evaluated;
- Date of the evaluation report;
- Location of programme

2. Table of contents to include:

3. Acronyms

4. Executive Summary

The Executive Summary should contain, summary of evaluation with emphasis on :

- Purpose and scope; methodology used, data collection and analysis methods used; major limitations;
- Main findings;
- Conclusions;
- Lessons learned;
- And recommendations.

5. Introduction

The Introduction should contain, in not more than one page:

- Purpose of the report;
- Scope of the programme/project;
- Scope of the evaluation and evaluation questions
- Structure of the report;

6. The evaluated intervention (Policy, institution, programme/project description)

The programme/project description including:

- Economic, social and cultural dimensions, history, logic in relation to organizational work
- Stakeholders involvement;
- Issues to be addressed:
- Linkages to other objects;
- References to relevant documents and mandates;
- What results were expected to be achieved;
- Other information (phases, timeline, budgets etc.);

7. Evaluation profile

The evaluation profile should cover,

- Reason for carrying out the evaluation;
- Design of the evaluation/justification of the methodology used;
- Description of methodology:
- Data sources used;
- Data collection and analysis methods used;
- Major limitations;
- Evaluation team;
- Performance expectations (indicators);
- Participation/stakeholders' contribution;
- Specifics for addressing evaluation questions;

8. Evaluation findings

The evaluation findings should include:

 Factual evidence relevant to the questions asked by the evaluation and interpretation of such evidence Findings regarding resources used;





- Findings about outputs;
- Findings about outcomes and impact where possible;
- Progress compared with initial plans (achievements/challenges);
- Findings on unintended effects;
- Issues of effectiveness, efficiency and relevance

9. Evaluative conclusions

- Add value to the findings (sum of findings = conclusions);
- Focus on issues of significance related to key questions of performance relative to the expectations;

10. Lessons learned

- Replicate/upscale;
- Prevent mistakes;

Contribute to general knowledge

11. Recommendations

- Contain suggestions to improve future performance;
- Be supported by evidence and findings;
- Be adequate in terms of the TOR;
- Facilitate implementation;

12. Annexes

- TOR:
- Evaluation Work Plan
- Evaluation work plan;
- Data collection instruments;
- List of important documentation;
- Etc,



Annex 13: UN-Habitat End Of Project Summary Report

	UN-Habitat- END OF	F PROJECT SUMMA	RY REPORT
1.	Title of Project / Programme (State the formal title based on the approved documents):		
2.	Project Manager:	3. Repo	orting Date::
4.	Region/ Country / Location of Project:	5. UN-l	Habitat Implementing Branch/Section/Unit:
6.	Other UN Agency Implementing partner:	7. Proje	ect Duration (start and end date):
8.	Total Project Approved Budget (U\$):	9. Fund	ling Source:
10.	Project Main Objective(s):		
11.	High-level Project Strategy Description:		
12.	UN-Habitat Strategic Plan EAs and Work Programme Output links		
13.	Gender Issues Addressed and Strategy. (Briefly describe the gender issues, preferably using sex-disaggregated data and gender analysis that prompted the programme strategy. What changes or results were/are envisioned in relation to the gender issues?).		
		-	,
14.			
	in relation to the gender issues?).	e targeted to benefi	
14. 15.	in relation to the gender issues?). Key Local/National Implementing Partners. Target beneficiaries (Briefly describe those who ar	et create for the ben	t directly from the eficiary communities and/or institutions
15.	in relation to the gender issues?). Key Local/National Implementing Partners. Target beneficiaries (Briefly describe those who ar project – institution and/or community). What impact/changes/benefits did/will the project (Briefly describe, sex-disaggregated where available).	et create for the benole).Describe Progred.	eficiary communities and/or institutions as and/Achievements towards project i)
15. 16.	in relation to the gender issues?). Key Local/National Implementing Partners. Target beneficiaries (Briefly describe those who ar project – institution and/or community). What impact/changes/benefits did/will the project (Briefly describe, sex-disaggregated where availabe EAs ii) Objectives and iii) gender issues addressed Sustainability and Replicability (Briefly describe ho	et create for the benole).Describe Progred. I. we the project will ken the project). In the project).	eficiary communities and/or institutions and/Achievements towards project i) seep and sustain the gains made by the audio-visual materials produced from the
15. 16.	in relation to the gender issues?). Key Local/National Implementing Partners. Target beneficiaries (Briefly describe those who ar project — institution and/or community). What impact/changes/benefits did/will the project (Briefly describe, sex-disaggregated where availabe EAs ii) Objectives and iii) gender issues addressed Sustainability and Replicability (Briefly describe ho project and the potential replicability/upscaling of Knowledge Products from the Project (List publications).	et create for the benole).Describe Progred. I. we the project will ken the project). In the project will ken the project will ken the project will ken the project will ken the project with their web-links; very web-links	eficiary communities and/or institutions and/Achievements towards project i) seep and sustain the gains made by the audio-visual materials produced from the who are target users of each of these).



HS/034/17E



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