Final Evaluation of the Implementation of the United Nations Human Settlements Programme Strategic Plan 2014-2019

Evaluation Report 5/2020

UN@HABITAT
FOR A BETTER URBAN FUTURE

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DISCLAIMER

Acknowledgements

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ABBREVIATIONS AND ACRONYMS

ASUD	Achieving Sustainable Urban Development
CPR	Committee of Permanent Representatives
EA	Expected Accomplishment
ECOSOC	United Nation Social and Economic Council
GC	Governing Council
GLTN	Global Land Tool Network
GWOPA	Global Water Operators' Partnerships Alliance
HQ	UN-Habitat Headquarters
IMDIS	Integrated Monitoring and Document Information System
JIU	Joint Inspection Unit
MDGs	Millennium Development Goals
MTR	Mid-term Review
MTSIP	Mid-Term Strategic and Institutional Plan
NUA	New Urban Agenda
OIOS	United Nations Office of Internal Oversight Services
PAAS	Project Accrual and Accountability System
PAG	Project Advisory Group
PILaR	Participatory and Inclusive Land Readjustment
PRC	Project Review Committee
PSC	Project Steering Committee
PSUP	Participatory Slum Upgrading Project
ROAF	Regional Office for Africa
ROAP	Regional Office for Asia and Pacific States
ROAS	Regional Office for Arab States
ROLAC	Regional Office for Latin America and the Caribbean
SDGs	Sustainable Development Goals
TOR	Terms of Reference
UN	United Nations
UN-Habita t	United Nations Human Settlements Programme
UNDAF	United nations Development Assistance Framework
UNEG	United Nations Evaluation Group
UNON	United Nations Office at Nairobi
Urban-LEDS	Urban Low Emission Development Strategies
USA	United States of America

EXECUTIVE SUMMARY

Introduction

This report documents an evaluation of the United Nations Human Settlement Programme's (UN-Habitat's) Strategic Plan 2014-2019. The evaluation assessed the achievements of UN-Habitat against the 2014-2019 Strategic Plan in terms of achievements of expected results, as well as the relevance, effectiveness, efficiency, coherence, sustainability, and likely impact of the implementation of the Strategic Plan. Its design also sought to strengthen accountability mechanisms through increased discussion and communication between key stakeholders. The evaluation also investigated UN-Habitat's management practices, monitoring, reporting and learning mechanisms. This evaluation was driven by accountability and learning purposes, particularly drawing lessons from the 2014-2019 Strategic Plan period to inform the implementation of the new UN-Habitat Strategy 2020-2023. Its intended audience is the newly formed UN-Habitat Executive Board, UN-Habitat management and staff, donors and other key partners.

The Strategic Plan 2014-2019 was approved by the UN-Habitat Governing Council (GC) in April 2013. A rapidly changing global context including the adoption of the Sustainable Development Goals (SDG) in 2015, the New Urban Agenda in 2016, combined with the results from a mid-term evaluation in 2017, led to revision of the Strategic Plan.

The results achieved were assessed in the context of the Sustainable Development Goals (SDGs), especially SDG 11. The New Urban Agenda (NUA), and the integration of cross-cutting issues of gender, human rights, youth and climate change as well as partnership and capacity-building. The evaluation was conducted by independent consultants, Dr. Dorothy Lucks and Mr. Joshua Bwiira, from March to August 2020.

The findings, lessons and recommendations are intended to inform management and programmatic decisions during the implementation of the new Strategic Plan 2020-2023. The target audiences of the report are the management and staff of UN-Habitat, its governing bodies, (including the Executive Board and the Committee of Permanent Representatives), donors and other key UN-Habitat partners. The report could be useful to organizations that assess UN-Habitat's performance, such as the United Nations (UN) Office Internal Oversight Services (OIOS), the UN Joint Inspection Unit (JIU), development evaluators and professionals interested in UN-Habitat's work.

Overview of the Strategic Plan 2014 − 2019

UN-Habitat has a broad mandate to "promote socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all."[1] The Strategic Plan 2014-2019 had seven substantive focus areas (subprogrammes): (i) Urban Legislation, Land and Governance; (ii) Urban Planning and Design; (iii) Urban Economy; (iv) Urban Basic Services; (v) Housing and Slum Upgrading; (vi) Risk Reduction and Rehabilitation; and (vii) Research and Capacity Development. Programme budgets during the Strategic Plan period were structured under the seven focus areas. In addition, UN-Habitat worked with its key partners, including national governments, local authorities, non-governmental organizations and private sector organizations, to deliver policies, strategies, advisory services, advocacy work, capacity building, projects and programmes. The strategic plan was delivered through the biennial work programmes and budgets of 2014-2015, 2016-2017 and 2018-2019.

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1   United Nations Office of the Secretary-General's Envoy on Youth. UN-Habitat: United Nations Human Settlements programme. Available at: https://www.un.org/youthenvoy/2013/08/un-habitat-united-nations-human-settlements-programme/

Structure The Strategic Plan was implemented through seven subprogramme branches, UN-Habitat's structure over the 2014-2019 period included the Executive Direction Management, Programme Division, Management and Operations Division, External Relations and Partnership Division, three Liaison Offices, and four Regional Offices (ROs) as enablers for effective implementation of the Strategic Plan. This structure focused on resource management, partnerships risk management, results-based planning, budgeting, monitoring, reporting, evaluation, auditing, legal, enhanced accountability and transparency

Governance and Management

During the period 2014-2019, UN-Habitat was governed by the governing council (GC of 58 United Nations Member States with four-year rotation of representation. The GC met only every two years to approve UN-Habitat's work programmes, set organizational policy guidelines and provide guidance. This resulted in delayed decisions in some cases. The Committee of Permanent Representatives (CPR) under the GC reviewed the work programmes and budgets and prepared draft resolutions for consideration by the GC. The complexity of this governance structure combined with the dual accountability system that necessitated adherence to United Nations Secretariat's rules and regulations and to abide by decisions of UN-Habitat's Governing bodies, donors and other partners was a significant inefficiency for UN-Habitat during the Strategic Plan period[2].

A long-proposed reform process became a priority in 2018 when a new Executive Director, Ms. Maimunah Mohd Sharif joined the organization. During the biennium 2018-2019, UN-Habitat carried out an organizational change process through eight priority change area actions. By end of December 2019, UN-Habitat had evidenced delivered on its new reform process with a new governance structure, through resolution A/RES/73/239 of December 2018, which dissolved the GC and replaced it with a UN-Habitat Assembly composed of the 193 Member States, an Executive Board of 36 Members and a Committee of Permanent Representatives. A new organizational structure resulted

from the restructuring process and became effective as of 1 January 2020. A new strategic plan for the period 2020-2023 was prepared and approved by the first session of the UN-Habitat Assembly in May 2019.

Funding of the Strategic Plan. The implementation of the Strategic Plan was financed through five major sources of funding: (i) Regular budget, (2) Foundation general purpose (non-earmarked funding), (3) Foundation special purpose (earmarked funding), (4) Technical cooperation for operational activities at country and regional levels, and (5) Programme support costs. . The strategic plan, through the work programmes and budgets was estimated and approved to be implemented at a cost of US$1,391 million but actual income over the period was US$1,116 million; 75 percent of the estimated contributions. The regular budget remained a stable income for UN-Habitat but only accounted for 7 percent of total income. Non-earmarked, foundation general purpose funds accounted for the small proportion of total income.

Accountability Framework

Performance measurement, evaluation and reporting were essential elements of the Strategic Plan. The work programme and budgets provided detailed information on activities, outputs, expected accomplishments and the required resources. The UMOJA system was gradually introduced over the period for financial accountability and approvals. However, this introduction has been challenging because it has not been fully fit-for-purpose to the decentralized nature of operations. Yet, feedback received from partners and staff is that the system is now operational and despite continuing bottlenecks, the level of documentation and accountability has substantially improved. Monitoring of activities and projects was carried out at the outputs and expected accomplishment levels through the Project Accrual and Accountability System (PAAS) and the Integrated Monitoring and Document Information System (IMDIS). UN-Habitat's inadequate financial and human resources limited the organization's capacity to generate and report quality information and results, including through designated evaluation functions.

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2.   United Nations General Assembly, 2017, Report of the High-Level Independent Panel to Assess and Enhance the Effectiveness of UN-Habitat.

Evaluation Approach and Methodology

The evaluation had a global scope, covering all regions and countries of UN-Habitat operations. It was conducted in line with the United Nations Evaluation Group (UNEG) norms and standards for evaluation[3]. The evaluation mainly focused on the corporate and programme level and employed a mix of approaches, including a *results-based approach;* a *systematic review approach;* a *context variation approach,;* and *complexity aware approach* which involved being cognizant of the integrated nature of much of UN-Habitat's interventions and the existence of multi-sectoral programs approaches. The main sources of data were existing annual report, evaluations and other results data. A systematic synthesis of project data was not possible within the timeframe and resources, but data was validated through interviews with staff and stakeholders. The methodology included a systematic document review, active involvement of stakeholders through consultations and interviews of 74 stakeholders, comprising Executive Board members, Member States, financing and operational partners and UN-Habitat management and staff. A survey was administered to UN-Habitat implementing partners but yielded a low response rate which is not unusual in unsolicited surveys.

Limitations faced included a comprehensive scope across the whole organization and all programme areas; yet it was conducted by a small, experienced team within a relatively short timeframe and with constrained resources. Access to detailed primary data from implementing partners and beneficiaries of UN-Habitat interventions was affected due to the COVID-19 pandemic preventing face to face interviews and travel to operational locations. Nonetheless, the key findings were generated through triangulation of data sources and the evaluation review process is designed to ensure credibility.

Main Evaluation findings

Achievement of planned results

The Strategic Plan results-framework consisted of the UN-Habitat strategic result and seven subprogramme strategic results. The specified indicators of achievements for organizational strategic result were: (a) percentage of people living in slums (b). percentage of urban population with access to adequate housing (c) 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 (d) number of city, regional and national authorities that have implemented urban policies supportive of local economic development and the creation of decent jobs and livelihoods (e) number of city and regional authorities that have implemented sustainable urban plans and designs that are inclusive and respond to urban population growth adequately.

There is some general and emergent outcome-related data but effective and credible trend data in relation to UN-Habitat's strategic result indicators is sparse. For instance, the SDGs Report 2019[4] states that there are 23.5 percent of the urban population living in slums, compared with 23 percent in 2014. It concludes that the growth in the number of slum dwellers was a result of urbanization and population growth, which are outpacing the construction of affordable housing. It also notes while water and sanitation services are improving, 2 billion people were without waste collection services and 3 billion people lacked access to controlled waste disposal facilities. A positive finding was that 150 countries had developed national urban plans, which would help cities grow in a more sustainable and inclusive manner. UN-Habitat plays an important role in these trends but analysis of the causal pathways and UN-Habitat's contribution to positive change remains a gap. This may be due to the broad and global nature of strategic indicators which makes assessment of UN-Habitat's contribution to achievement difficult. UN-Habitat has been recently working on improved data streams and analysis, particularly in relation to SDG 11 indicators but further efforts and resources are required.

3. Available at: http://www.unevaluation.org/document/detail/1914

4. https://unstats.un.org/sdgs/report/2019/The-Sustainable-Development-Goals-Report-2019.pdf

Most of the expected results were achieved but undermined by weaknesses in monitoring, evaluation and reporting systems. Policies, systems and procedures for data collection and reporting on UN-Habitat's activities have been defined but there is weak capacity to operationalize planned processes. There are major gaps in how UN-Habitat collects and analyzes information on its programmes resulting in difficulties in assessing, reporting on and more widely communicating overall performance. There is weak consolidated monitoring capacity and no coherent centralized system for knowledge management. Despite these weaknesses in data, UN-Habitat is assessed as largely delivering on expected results. Stakeholder interviews suggest that poor results data can be attributed to poor monitoring systems rather than lack of performance. Some improvements in results systems were seen in 2018-2019 but this is still perceived as having room for improvement.

Achievements by Subprogramme at Expected Accomplishment level

The results framework consisted of seven subprogramme strategic results with associated 21 Expected Accomplishments (EAs), 29 indicators of achievements, and 43 targets. Overall, the 2014-2019 strategic plan achieved the expected accomplishments (EAs) at a satisfactory level. However, not all targets were met. As of December 2019, targets for all indicators of all EAs were 62%, met, 10% partially met and 28% of indicator targets were not met. Results were achieved across all the subprogrammes with subprogramme two on urban planning and design noted to have fully achieved all Expected Accomplishments.

The main reasons for non-achievement recorded by branches[5] were changes in context and security, delays beyond the control of UN-Habitat, bureaucratic challenges in forging agreements with partners and particularly, insufficient core funding to support critical functions. For instance, in subprogramme 1, under the safer cities programme, implementation budgets were cut, staff transferred without replacement and posts were frozen. Most funding was earmarked for specific workplans on operational projects; leaving limited resources for strategic work including institutional management and coordination functions. This lack of strategic capacity also significantly affected the ability of the organization to support global advocacy, communication, monitoring and quality assurance, reporting risk management and evaluation.

Assessment based on Evaluation Criteria

Relevance

UN-Habitat's mandate is relevant in the current context. UN-Habitat is seen as a leader on urban issues within the UN and in some circumstances, more widely. The New Urban Agenda (2016) reaffirmed UN-Habitat's role as focal point for sustainable urbanization, and human settlements in collaboration with other UN system entities, recognizing the linkages between sustainable development, disaster reduction, climate change, housing, etc., that are becoming increasingly prominent as a global, national and local priorities.

UN-Habitat supported countries towards SDG 11 and other urban related goals. UN-Habitat interventions at global, regional and country levels were assessed as positive and appear to be aligned with Member States needs and priorities. Key stakeholders endorsed UN-Habitat's relevance through its global initiatives and convening power of the World Urban Forum, the World Cities Day, the urban Basic Services Trust fund, the Global Land Tool Network, the Global Water Operators's Partnerships Alliance, the Achieving Sustainable Urban Development Programme, the Cities and Climate Change Initiative, the Safer Cities Programme, the Participatory Slum Upgrading Programme, the National Urban Policy Programme, the City Prosperity Index and the Global Urban Observatory . In general, project screening, through the PAG, was effective, with activities demonstrating relevance to the mandate and results framework. However, core staff shortages affected the extent of prior review on cross-cutting issues and the quality of specific monitoring and evaluation plans.

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5. Overview of self–assessment report for implementation of the strategic plan

UN-Habitat's expertise is acknowledged as relevant, vital and of substantial value in technical assistance and advisory services. The data generated through the evaluation consistently demonstrated the added value of the technical cooperation projects and the generation of normative products. Generally, project and programmes were confirmed to be appropriate to context and to focus on objectives that were aligned to global, national and local priorities. However, there is room for improvement in documenting and publishing the actual results/ benefits delivered to beneficiaries to build a stronger case for relevance across countries and programmes.

Strongest relevance was perceived through partners to be in longer-term, integrated, and progressive relationships that directly support national priorities. Most of UN-Habitat's interventions have a focus on national benefits through partnerships and networks which are of substantial value for the organization. In longer term relationships, achievements extended beyond direct implementation to positively influence policies, procedures, capacity development processes and attention to cross-cutting issues.

UN-Habitat has a critical and expanding niche that is relevant for all countries, especially for informal settlements, and inequity in cities. UN-Habitat has a high level of knowledge and skills in sustainable city policies, planning and practices was acknowledged by all stakeholders as a fundamental and unique role of UN-Habitat. The organization needs to ensure it is better equipped to capitalize on this specialization. It has also demonstrated tangible outcomes in terms of improving the living conditions of vulnerable and marginalized groups in post-conflict urban contexts and in new settlement areas for displaced persons. These are all highly relevant in the current global and national contexts.

Effectiveness

The strategic plan was implemented in a matrix structure in which branches worked closely with regional offices in implementing projects and programmes to reduce a previously siloed programming approach. UN-Habitat is assessed to have been effective to some extent with this model. It achieved some progress in streamlining, planning and implementation of projects, however, there were gaps in integration of approaches between subprogrammes. There is potential to integrate expertise, for instance between town planning and urban basic service but efforts at country level tended to be dispersed rather than focused on complementing expertise. This is now being addressed through the new Strategic Plan but still faces challenges in implementation.

UN-Habitat contributed effectively to improve collaboration with the UN system agencies on a range of normative frameworks. The normative work of the organization was assessed as important, but generally under resourced. For instance, subprogramme 7 had to scale down its global indicators programme and reduce its depth of its World Cities Reports because of insufficient financial and human resources. The reduced posts in the subprogramme inhibited UN-Habitat's ability to work with Member States and other UN agencies and partners to collect and analyze data and distill knowledge to support the implementation of global agendas.

The greatest results of UN-Habitat activities are achieved where normative and operational activities are linked. Investment in normative products such as standards and guidelines has produced positive benefits. Yet, greatest benefits for both key stakeholders and local communities were noted when practical good practices have also been identified from existing operations and documented to share knowledge. Alternatively, strong results were seen where normative products have been contextualized based on knowledge generated through in-field pilots or from project learning, then scaled up to reach a wider population. For example, the second phase of the Cities and Climate Change Initiative learnt from lessons and experiences from the first phase and

has disseminated, replicated and scaled up its good practices amongst UN-Habitat's regional and global network of partners. However, a number of challenges to optimizing integration between the two workstreams persisted, including a largely siloed approach to programming, insufficient understanding of the value of normative work and low levels of core funding. This resulted in a tension between the work streams and an increasingly operational nature of programming for UN-Habitat. This is a critical factor that can be addressed to create more transformational results.

UN-Habitat's systems are not adequately integrated and embedded. There is still no robust process for systemic indicator development in design, data collection and data quality assessment within UN-Habitat. In both strategic and specific designs, outcome indicators are weak and do not adequately demonstrate the broad levels of achievement across the organization. For instance, all expected accomplishments in subprogramme two: Urban Planning and Design were achieved, with some targets surpassed in terms of quantitative indicators. However, these do not capture all the qualitative results achieved at the global, regional, and country level. Furthermore, UN-Habitat has leveraged considerable additional resources through effective partnerships, some of which are based on comparative advantages. However, there was little evidence of how UN-Habitat monitors and assesses it contributions to results achieved through partnerships. The number of institutions is counted, but the capacity built is not measured, and there is limited information on how the cities involved are implementing urban planning, management due to gaps in performance data on PAAS. This makes performance reporting of results challenging and has compromised effective capturing and demonstration of results. The new Strategic Plan is already addressing some of these issues but there is a need to invest in practical and integrated systems, combined with strong leadership to raise the capacity and effectiveness of management systems.

Efficiency

UN-Habitat delivers value for money in terms of results achieved but there are potential areas for improvement. Evidence from evaluations and other results documents shows that the use and management of funds in implementation are largely efficient. Similarly, stakeholder interviews confirm that operations are seen as timely and in line with agreed budgets. There are some exceptions reported in project evaluations, where undue bureaucracy or external circumstances beyond the control of UN-Habitat prevail and contribute to delays. Unpredictable and insufficient funds that were available for UN-Habitat core functions underpinned its weaknesses and reduced efficiency.

UN-Habitat's funds were mainly earmarked over subprogrammes, weakening the organization's ability to meet the wider mandate. UN-Habitat voluntary contributions have been predominately earmarked. Consequently, UN-Habitat activities were focused on specific agreed outputs with the donor funding, giving less flexibility for the organization to prioritize core functions and wider findings from operational work. This has limited UN-Habitat's ability to make strategic programming decisions and to implement approved corporate work programmes. This is especially evident in normative areas, which attract lower levels of funding than operational activities. Furthermore, insufficient non-earmarked resources to devote to core functions, including monitoring, evaluation, reporting and communication constrains the overall efficiency of feedback and learning mechanisms for the organization

During the implementation of the strategic plan , resource concerns persisted. Owing to insufficient core funding, the organizational structure that was aligned with the substantive focus areas had unfilled key posts throughout the period of implementation. Out of the 130 approved foundation general purpose posts, only 61 were filled in the 2014-2015 work programme, decreasing to 52 during the 2016-2017 workprogramme and to 36 posts for the period that covered by 2018-2019 work programme.

Introduction of new systems improved transparency, accountability and to some extent efficiency but further improvements are required. The integration of financial and management systems into the UMOJA system, deployed in 2015, resulted in a satisfactory level of compliance with UN rules and regulations and improvements towards management requirements. However, achieving compliance required a significant resource investment and represented a large burden to UN-Habitat as a small organization. The approval processes hindered flexibility and responsiveness to local conditions, particularly in rapidly changing contexts such as humanitarian response. Some interviewed staff indicated that applying UMOJA to UN-Habitat's structure has been complex. Allocation of funds could not happen in a systematic way due to irregular inflow of unearmarked funds from donors. This meant continuous adjustments of budgets in the system, which reduced operational efficiency, especially at regional and country level operations.

Governance reform has improved efficiency through reduced oversight complexity, but challenges persist. The complexity of UN-Habitat's three tier governance structure combined with a dual accountability system represented a significant draw on efficiency during the Strategic Plan period[6]. This governance structure was previously not optimum for efficiency, accountability, and timely decision-making[7]. Similarly, decentralization of decision-making with appropriate accountability measures has not yet occurred, awaiting final implementation of the approved restructure at the field level. The establishment of the Executive Board and other aspects of the ongoing restructure have substantially improved oversight and substantive engagement with Member States. However, without ongoing and increased funding, the restructure cannot be completed as intended. Furthermore, feedback from interviews was that the decision-making processes are still not as efficient as required. The quality and timeliness of information provided for review for committee members is insufficient and communications are considered to still be below optimum. These need to be more concise, timely and tailored to the needs of the decision-makers.

Coherence

Positive aspects of UN-Habitat's coherence can be found in relation to work with other UN actors and global frameworks. UN-Habitat is to be commended for ongoing and increasing coherence with global frameworks given the drastically changing international context of development during the study period. UN-Habitat's activities are closely aligned with both the 2030 Agenda for Sustainable Development and the New Urban Agenda. Similarly, UN-Habitat's tendency to collaborate with other UN agencies where possible is a positive example of coherence and increases efficiency. Partnership was a cornerstone of UN-Habitat's delivery model and the organization was efficient in making partnerships. Interviewees consistently affirmed UN-Habitat's efforts to engage in global processes, although visibility and leadership was noted to be below expectations.

Gaps and lack of integration in programming has led to a lack of coherence in some of UN-Habitat's activities. This is improving but still requires attention. UN-Habitat's need to leverage funding is often in contradiction to the organizational mandate of addressing underlying causes of unsustainable urbanization as more resources are applied to specific projects rather than system change. UN-Habitat's pivot towards an integrated approach to sustainable urbanization was not fully achieved during the 2014-2019 period due to a relatively siloed approach within each of the seven subprogrammes. Furthermore, a lack of a strategic approach and system between normative and operational work streams undermines organizational coherence and progress towards impact. Input from stakeholders during the evaluation suggested that interventions that involved both operational and normative work were most highly valued because they align with both immediate needs and longer-term policy or legal improvements.

6.   United Nations General Assembly, 2017, Report of the High-Level Independent Panel to Assess and Enhance the Effectiveness of UN-Habitat.

7.   United Nations General Assembly, 2017, Report of the High-Level Independent Panel to Assess and Enhance the Effectiveness of UN-Habitat.

Sustainability

UN-Habitat's contribution to sustainable urban development is significant but is hindered by lack of focus on the most strategic and longer-term outcomes through replication and scaling up of good practices. UN-Habitat has a proven blueprint for sustainable outcomes when all available tools are implemented correctly. Such tools include capacity building activities, integration of sustainable urbanization considerations into policies and plans, solution focused activities and community engagement. The data on performance is generally positive from specific project and programme reports; however, the impacts of these activities are not sufficiently analyzed and recorded. Lack of a strategic focus on what constitutes sustainable impact and insufficient advocacy in this regard constrains progress towards replication and scaling up of the good results achieved. For this reason, sustainable successes are not reaching their potential and have largely remained as isolated examples due to the fragmented 'project' approach of UN-Habitat. With a tighter focus and more explicit advocacy to donors to invest in sustainable approaches, UN-Habitat has the potential to build more sustainable change with partners.

Impact

UN-Habitat has a powerful impact model but gaps in integration and scale of achievements constrains potential of full impact. There is extremely high potential for positive benefit from UN-Habitat activities towards more sustainable, better functioning and more equitable cities. UN-Habitat is demonstrating relevant strategic approaches towards this potential but has faced, and continues to face, challenges in delivery of the most relevant approaches mainly due to a financial crisis.

More attention and resources are needed to be devoted to building stronger evidence base on outcomes and impact. It was difficult to determine actual outcomes and results associated with specific interventions given the limited evaluative evidence. Reporting was generally focused on activities and outputs rather than actual outcomes and impact. However, the evaluation noted that UN-Habitat was now investing in impact evaluations. By the time of this evaluation, there was an ongoing impact evaluation of the UN-Habitat Housing Approach to adequate, affordable housing and poverty reduction.

Assessment of integration of cross-cutting issues

During the evaluation period, there were improvements in integrating cross-cutting issues in planning and design of projects Yet, feedback from interviews indicated that there is still substantial potential for improvement, that integration of cross-cutting issues in project is still largely in the planning stages and that there is insufficient technical support to ensure that good practices are being developed and applied in implementation, and still major gaps in data gathering and analysis to improve global practice on cross-cutting issues for sustainable urbanization. One positive aspect noted across interviews was that the enhanced focus on the environment and climate change through the new Strategic Plan, rather than treating the theme as a cross-cutting issue was bring substantial shifts and benefits to UN-Habitat's approach and that this was appreciated by stakeholders.

UN-Habitat's ability to embed cross-cutting issues is characterized by some good practice examples but is not mainstreamed in all activities. Integration of gender considerations has improved, for example, some projects focused on benefits to women in urban contexts, an increase in gender-related assessments as part of project design and/or sex-disaggregated data gathering. Similarly, some projects have resulted in extremely positive results for youth and there is evidence of youth being integrated into planning processes for example in land participation through GLTN. However, gender and youth considerations are still not effectively embedded throughout the organization due to insufficient numbers of staff with relevant expertise across the organization. Human rights action is perhaps the most positive example of mainstreaming as the basic human rights related to access to affordable housing and advocacy for land rights has been seamlessly integrated into many strategic, operational and normative aspects of UN-Habitat's work. Yet, due to its integral nature, the full prominence and profile in achievement that could be given is not promoted by UN-Habitat.

Transformational change

UN-Habitat has demonstrated the possession of key building blocks to achieve transformational change if good practices are implemented with coherence and coordination in programming and resourcing. The 2014-2019 strategic plan period was characterized by disjointed programming, tensions between operational and normative workstreams and insufficient resources for ongoing engagement and expansion of the good practices and results achieved. This lack of internal coherence and coordination undermined UN-Habitat's ability to achieve transformational change. Insufficient stakeholder engagement beyond key partners, data capture, analysis, and reporting also contributed to a fractured and disjointed approach to programming. Yet, there are indications that with continued engagement with stakeholders, coherent and integrated programming and concerted steps towards replication and upscaling of good practices, transformational change can and does occur.

UN-Habitat's core strength in normative products is achieving significant and transformational results, yet the low profile of successful activities inhibits future potential. UN-Habitat has a proven ability to work with partners to achieve transformational change. The organization has produced some exceptional normative products, which are widely used and appreciated by beneficiaries and stakeholders, including publications on norms, standards and guidelines; for example, municipal financing guidelines that assisted eight municipalities in Afghanistan to collect revenue for servicing their communities. When the normative and operational work streams have been complementary, UN-Habitat has proven its ability to contribute to transformational change. Such positive results are being facilitated and promoted by institutional strengthening and internal system improvements. However, challenges associated with reputation, funding, reporting and internal collaboration have the potential to inhibit and undermine successes.

Lessons learned

Strategic lessons from this evaluation highlight UN-Habitat's need for a clear message and point of advantage to reaffirm the organization's leadership position, regain confidence, and leverage funds. UN-Habitat's key message has been somewhat diluted by a need to 'chase' funds and address all aspects of sustainable urbanization. UN-Habitat needs to both internally and externally be clear on the organization's core purpose in relation to human settlements, affordable housing and quality of life in sustainable cities as stated in its mandate. This mission should include a combination and collaboration of normative and operational work as well as consequential and transformational impact. Such a clear message would assist UN-Habitat to leverage funds, improve transparency, increase donor confidence and improve advocacy efforts.

UN-Habitat has several critical risks that require urgent attention. UN-Habitat is demonstrating good performance from a technical perspective and has made good progress on accountability and transparency, but a reputational legacy lingers resulting in current and potential partners being tentative about engaging more deeply with UN-Habitat. Funding gaps are undermining core staffing levels, particularly in communications, knowledge management and monitoring and reporting. These are core functions that are essential for the organization to be able to create sufficient stability of tenure for staff. Loss of the expertise that UN-Habitat is well-recognized for would lead to eroding technical confidence and capacity. These risks are exacerbated by previous underlying issues of credibility and clarity of purpose. Most of these issues are being addressed by improved accountability and institutional reform,

UN-Habitat's current financial position is exacerbated by poor internal systems which in turn further impacts on the organization's ability to attract funds. Limited funding within the organization has a multitude of impacts including i) difficulty in retaining the high quality of expertise that UN-Habitat is respected for, ii) hindering organizational ability to replicate and expand good practice, and iii) contributing to an inability to complete a necessary institutional restructure to improve efficiency and align with UN requirements. In addition, low core funding results in fewer administrative and coordination staff which decreases organizational efficiency and coherence and inhibits reporting processes. Insufficient reporting of results undersells UN-Habitat's effectiveness and potential for impact which further detracts funding potential.

Conclusions

UN-Habitat has a proven ability to achieve results and contribute to transformational change which is improving further in line with strengthening organizational mechanisms. Expected results were satistifactorily achieved across all seven areas of UN-Habitat's work. The organization has produced some exceptional normative products which are widely used and appreciated. When the normative and operational work streams have collaborated, UN-Habitat has proven its ability to contribute to transformational change. Such positive results are being facilitated and promoted by institutional strengthening and internal system improvements. UN-Habitat's new Strategic Plan makes strides towards consolidating these strengths and promotes system wide change towards improved results and increased transformational change.

However, UN-Habitat's level of success, was undermined by several key challenges and risks. The new Strategic Plan has acknowledged many of the key issues facing UN-Habitat and brings a refreshed approach. Yet legacy issues such as shortfalls in reputation, credibility and profile, indecision relating to strategic focus and internal gaps in coherence continue to undermine progress. Critical funding shortages, a business model that was not fit-for-purpose and insufficient reporting mechanisms also contributed to challenges during the period of review. UN-Habitat's current level of activity and impact, as well as institutional restructuring and strategic repositioning processes are positive and much needed but are at risk because of a lack of financial resources, especially

core and unearmarked funding. In order to address the lack of unearmarked funding, UN-Habitat needs to be proactive towards better communication with current and potential donors, better presentation of results both in terms of effective outputs and outcome achievements towards impact. The path ahead needs to be clearly focused with a few key priorities and integrated with a comprehensive risk management process to ensure commitments can be achieved to avoid any loss of credibility.

Recommendations

UN-Habitat needs to capitalize on its strength and overcome chronic challenges and risks in a strategic and prioritized way in close coordination with the Executive Board. Solutions can be facilitated through action in relation to seven key recommendations that have arisen from the evaluation. Demonstrated achievement in each area of priority, in addition to maintaining the current technical strength of programmes, will assist with raising the confidence of Member States regarding the value and contribution of UN-Habitat. Safeguarding the trust and confidence of partners is at the center of improved institutional outcomes for UN-Habitat and should remain a focus when implementing the recommendations. This will also highlight the potential of further investment in UN-Habitat's work and longer-term strategic growth for achievements in sustainable urbanization. Each recommendation can be pursued as a priority but will be most effective in strengthening the organization if implemented in an integrated manner, mutually reinforcing solutions in a progressive way as shown in Figure 1.

Capitalize on strengths and leadership role

1.1. Consolidate discussions of UN-Habitat's mandate into clear and easily communicable core statements. UN-Habitat's mandate in relation to human settlements and housing provide the focus for engagement across the many strategic areas of engagement. Consolidating this focus and identifying key messages of where current activities add the most value and contribute to the greatest impact in this regard will strengthen UN-Habitat's unique contribution. More emphasis should be on appropriate planning and ensuring that the specific technical regional and country-level projects and activities contribute to UN-Habitat mandate.

1.2. **Harness UN-Habitat's leadership and good practices for promotion at the global level.** The Executive Board and management need to take a more proactive approach to communicate UN-Habitat's role and global contribution to a wider audience to gain support. This will require high level engagement on global platforms and clearer communication of UN-Habitat's expertise and successful operational results. It will require promotion of existing normative products and generating relevant and attractive knowledge products to showcase UN-Habitat's ongoing work. Such articulation will increase UN-Habitat's influence on global processes, particularly towards SDG 11. See Figure 1: Integrated recommendations towards improved systems and increased impact.

Figure 1. Integrated recommendations towards improved systems and increased impact
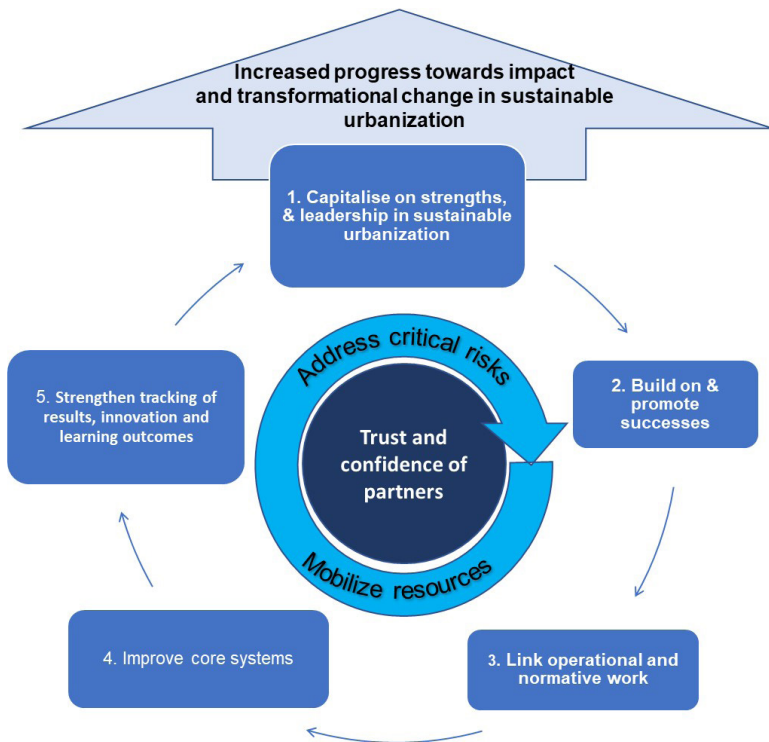
1. Communicate Successes for wider influence

2.1. Celebrate and promote successes in relation to the core mandate. Concerted efforts are required at headquarters, regional and country level to identify good practices with the highest potential for replication. A strategic and systematic communication campaign in the short term would provide a boost to UN-Habitat's profile. This would require a short term, specific advocacy project that would showcase a few headline success stories that exemplify the work and contribution of UN-Habitat. This campaign could be offered to preferred donors to demonstrate the value of their support and contribution to global development. The campaign would require specific funding and expertise in communications, advocacy and marketing. In the longer term, this can be combined with a strengthened approach to knowledge management that combines promotion, good public relations, and fundraising, with contribution to knowledge across the sector. This phased approach would promote UN-Habitat, encourage uptake of good practices, and help secure resources to efficiently increase the scope of benefits achieved.

2.2. Build confidence of Member States and other key partners in the work of UN-Habitat. UN-Habitat must follow through on the promises made in the Strategic Plan 2020-2023 via transparent and accessible reporting processes and mechanisms or risk further eroding donor and key partner confidence levels. Within the new governance and organizational structures, there is a need to engage with key stakeholders, including the Executive Board on specific issues UN-Habitat is facing in post-disaster and conflict area. Broadening donor base and mobilizing them to provide non-earmarked funding to enable UN-Habitat's prioritization to implement its work. More effort can be made to leverage funds from demonstrating the value of existing programs and seeking multi-year funding, engaging stakeholders to contribute complementary funding, wider fund raising from potential non-traditional partners, as is already being pursued through the private sector strategy.

2.3. Build a catalogue of 'champions' amongst partners and in key networks. There are many stakeholders with a positive perception of UN-Habitat's work. They can become emissaries and influencers for UN-Habitat, identifying 'trigger points' for action and dissemination of core message and good practice examples. It would be important to have champions both within Member States and in current networks. Developing such a league of champions would create an 'arena for action' strengthening partnerships and networks and advocating for UN-Habitat.

2. Link normative and operational programming for greater impact

3.1. Showcase examples where programmes have achieved positive outcomes by combining normative and operational work to achieve significant impact. Select several good practice examples of where normative products have been effectively piloted and replicated, and where operational work has generated normative products that have been upscaled beyond direct project investments. Use these examples to make stronger representation to donors that programming should contain both normative and operational components.

3.2. Develop 'packages' that link normative and operational activities to achieve higher impact and transformational change. More emphasis should be on ensuring the specific technical, regional and country-level projects and activities that are consistent with the UN-Habitat mandate and test solutions to priority normative processes. This approach not only achieves tangible results, but also focused on advancing normative work that will contributes to transformational change. In line with enhancing UN-Habitat's promotional approach, examples where these good practice packages could be applied, replicated and scaled up could assist in raising UN-Habitat's profile, convincing donors of the value of linked normative and operational work and contributing to more strategic programming and greater results.

3.3. Recognize the value of existing networks to increase uptake of pivotal instruments for wider impact. Currently the potential of existing normative products is hindered by insufficient attention and resources to understanding the value of key knowledge products generated through programmes and projects. More strategic Identification of the value of products and dissemination through networks will help to expand existing networks and provide avenues for replication and upscaling.

3. Improve core systems

4.1. Invest in communications. A greater focus on efficient and effective communications would greatly facilitate improved governance and stronger relationships with the Executive Board and other key partners and stakeholders through faster and improved communications. This requires strengthening of the communications role and resourcing. A specific communications plan and funding package could be prepared to fast-track improved communications both internally and externally. Of greatest importance are the communications systems that will underpin the implementation of efforts to raise the strategic profile and streamlined functioning of UN-Habitat.

4.2. Mobilize resources to strengthen core business systems and stabilize core staffing positions. Package and promote critical organizational activities as short-term projects to leverage the required funding and address critical gaps (e.g. upgrading monitoring and reporting, improving public relations, taking opportunities to raise profile, completing decentralization in line with UN Reform). This should include contribution to core staffing requirements for implementing these short term, outcome focused initiatives to complete the staffing reform approach and in improved public relations for fund-raising and relationship management.

4.3. Acknowledge organizational risks and implement a prioritized and targeted risk management plan to minimize the likelihood and impact of risk occurrence. UN-Habitat does not currently implement a comprehensive system for risk management. The Executive Board needs to be regularly appraised of the most critical risks facing the organization and how these can best and realistically be addressed, particularly reputational risks, the need for excellence in stakeholder management and public relations, loss of key expertise through staff over-load, dispersed efforts due to fragmented programming, amongst others, critical bureaucratic processes that block processes, amongst others. This will help to focus the strategic action of the UN-Habitat leadership on the highest priority actions. It will also keep the leadership more informed on how risks can be prevented and mitigated.

4. Strengthen measurement and tracking of results and learning outcomes

5.1. Strengthen processes and systems for integrated, outcome-focused design, monitoring and evaluation. UN-Habitat should strengthen its monitoring and evaluation work in a systematic manner. In addition, the organization should fully operationalize management information systems that have already been formulated such as the Project Accrual and Accountability System (PAAS) to ensure consistent, good quality information that is comparable between programmes level and between countries and regions. This requires a more standardized "classification" of indicators that demonstrate causal linkages to corporate outcomes and clearer guidelines on fewer but more strategic outcome indicators. Internal commitment, leadership support and internal follow-up would result in more rigorous tracking of results. Preparation of a specific "project" on systems integration could be developed demonstrating the value and potential substantial impact of a donor investing in institution-wide improved systems. Seeking specific support, including an acknowledgement package for the donor could create a short-term boost to bring systems in line with the new strategic plan and tighten internal tracking mechanisms. This would then enable the allocated funds within projects to planning, design, monitoring and evaluation to be used to better effect.

INTRODUCTION

5.2. Continue to strengthen knowledge management. Knowledge management is one of the most effective tools for advocacy, technical assistance and capacity development. Current programmes should be strengthened through a greater focus on collection, documentation, dissemination and promotion of information use. Improved guidelines and training for staff on how to effectively capture information of knowledge for use would be of assistance. Better systems for knowledge repository, analysis and synthesis would enhance the generation of knowledge products and add value to operational and normative work.

5.3. Revise reporting processes to focus on intended audience and ease of understanding to facilitate transparency and accountability. Reporting mechanisms and processes require improvement to increase the effectiveness of communication efforts. Additional expertise is required to adjust reporting to the specific audience when developing report and documentation outputs. Information to decision-makers needs to be concise and solution-focused to facilitate good and responsive decision-making. This is especially important in the context of the new governance structure and the increased regularity of Executive Board meetings. These meetings require standing agenda items to facilitate communication of UN-Habitat's successes. External publications need to be generated in a contemporary manner, concise, easy to access, straightforward language that presents clear key messages, dynamic graphics. Communications need to be tailored for the intended audience to enhance understanding and positive response to UN-Habitat products.

6. Engage with key stakeholders, including the Executive Board, on improving efficiency and effectiveness of UN–Habitat in key programs, particularly in emerging areas of importance for UN–Habitat's mandate. The implementation of the Strategic Plan has shown that Un-Habitat operates in an evolving context and it is important to remain relevant, flexible and adaptable to changing needs. There are several important areas of changing contexts that require attention.

6.1. Consolidate UN-Habitat's role in Humanitarian settlement issues for improved impact. UN-Habitat's work in humanitarian contexts can be better recognized and good practices documented. These should be aligned with global humanitarian standards and demonstrated for different forms and contexts. This will require UN-Habitat to be active in humanitarian networks and present a clearer picture of the roles that it can and is unable to play in emergency contexts. A specific short-term and medium term strategy would help in this regard to ensure that UN-Habitat works in a manner that is commensurate with its current expertise and resources.

6.2. UN-Habitat needs to be more engaged in relation to the UN Reform process. The UN Reform process, with the Common Country Analysis (CCA) and UN Sustainable Development Cooperation Framework (UNSDCF) is a critical process for any UN agency operating at the country level. UN-Habitat can engage with the process, even without country presence by remotely presenting their expertise as part of the CCA, commenting on draft CCA's in countries that it is already working, or considering working in. It can also work with agency partners to advocate on behalf on UN-Habitat where there are opportunities for engagement. By ensuring recognition of UN-Habitat in a UNSDCF process will open new opportunities for operations and access to resources.

This report documents the findings from an evaluation of the implementation of the United Nations Human Settlement Programme's (UN-Habitat's) Strategic Plan 2014-2019 (Strategic Plan). The evaluation assessed the achievements of UN-Habitat against the 2014-2019 planned results and its performance in terms of relevance, effectiveness, efficiency, coherence, sustainability and impact. In addition, the evaluation assessed UN-Habitat's ability to mainstream the cross-cutting issues of youth, gender, human rights and climate change throughout the implementation of the 2014-2019 Strategic Plan as well as strategic enablers for results, communication, partnerships and capacity building. The evaluation also investigated UN-Habitat's management practices as well as monitoring, evaluation, reporting and learning mechanisms against the backdrop of organizational change processes over the study period.

Purpose and objectives.

The Strategic Plan was approved by the, the Governing Council (GC) (UN-Habitat's intergovernmental decision-making body, in April 2013, with the evaluation framework of mid-term and final evaluations. This final evaluation builds on the mid-term evaluation that was carried out in 2017, annual progress reports on the implementation of the plan, other evaluations and reviews, and assessments that were conducted during the Strategic Plan period. This evaluation assesses the level of achievement of UN-Habitat in relation to the Strategic plan 2014-2019 in order to identify areas of success and areas for improvement. The evaluation was conducted between March and August 2020 and was conducted by independent consultants: Dr. Dorothy Lucks and Mr. Joshua Bwiira.

The evaluation was driven by accountability and learning purposes. This report summarizes achievement of planned outputs, outcomes and impacts as outlined in the 2014-2019 Strategic Plan in order to provide accountability to UN-Habitat governing bodies, including the newly formed UN-Habitat Executive Board, the Committee of Permanent Representative (CPR)) and UN-Habitat Assembly and donors. It also has a focus on formative learning for UN-Habitat Management and staff, and partners; drawing lessons from the implementation of the 2014-2019 Strategic Plan that can inform the implementation of the new UN-Habitat Strategy 2020-2023. The report is useful to organizations that assesses UN-Habitat's performance including the United Nations Office Internal Oversight Services (OIOS), the United Nations Joint Inspection Unit (JIU), development evaluators and professions interested in UN-Habitat's work.

Scope.

The evaluation covers the time-period 2014-2019 and has a global scope, covering all regions and countries of UN-Habitat operations. The evaluation is mainly focused on the corporate and programme level as outlined in the evaluation terms of reference (TOR) available in Annex 1. Review of individual projects was beyond the scope of this evaluation to maintain a strategic approach and avoid bias towards interventions. However, some individual projects were identified as examples of good practice and transformative change. Where possible, the desk review incorporated review of available impact assessments where there is a record of feedback from direct beneficiaries or where beneficiary contact was included as part of partner or project review.

DEVELOPMENT AND OVERVIEW OF THE STRATEGY

UN-Habitat is the lead United Nations (UN) agency responsible for sustainable urbanization and human settlements. The programme is mandated by the UN General Assembly (UNGA), the UN Social and Economic Council (ECOSOC) and internal UN-Habitat resolutions as outlined in Box 1.

Box 1: UN-Habitat's Mandate and Mission

UN-Habitat is mandated as a focal point for sustainable urbanization and human settlements, in collaboration with other United Nations system entities[8].

"promote socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all." [9]

In line with this mandate the mission of the 2014-2019 strategic plan was:

"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."

In 2005, the UN Office of Internal Oversight Services (OIOS) conducted an in-depth evaluation of UN-Habitat. The evaluation called for reform of UN-Habitat with the specific goal of sharpening its programmatic focus to have impact. This led to the formulation and implementation of the first six-year plan called the Mid-Term Strategic and Institutional Plan (MTSIP) 2008-2013, structured on six focus areas[10].

The subsequent Strategic Plan, 2014-2019, UN-Habitat restructured its substantive work around seven Focus Areas as below corresponding to seven subprogrammes, forming the basis of the structure of biennial work programme and budgets.

- **Focus Area 1:** Urban Legislation, Land and Governance

- **Focus Area 2:** Urban Planning and Design

- **Focus Area 3:** Urban Economy and Municipal Finance

- **Focus Area 4:** Urban Basic Services

- **Focus Area 5:** Housing and Slum Upgrading

- **Focus Area 6:** Risk Reduction, Rehabilitation and Urban Resilience

- **Focus Area 7:** Research and Capacity Development

The 2014-2019 Strategy represented a strategic pivot for UN-Habitat with an increased emphasis on the integrated and multifaceted nature of sustainable urban development[11]. With adoption of 2030 Agenda in 2015 and the New Urban Agenda (NUA) in 2016, UN-Habitat works and supports Member States with the monitoring the implementation of the NUA and achieving urban dimension of the Sustainable Development Goals (SDGs) outlined in the 2030 Agenda. The programme has a particular emphasis on SDG 11, "making cities and human settlements inclusive, safe, resilient and sustainable".

The process for achieving the mission of the 2014-2019 strategic plan (Box 1) is outlined in the institutional theory of change diagram (Figure 2) that shows the seven pillars of the subprogramme each contributing to the goal of **sustainable urban development**.

8.   HSP/GC/26/6/Add.3: Revised UN-Habitat Strategic plan 2014-2019.
9.   United Nations Office of the Secretary-General's Envoy on Youth. UN-Habitat: united Nations Human Settlements programme. Available at: https://www.un.org/youthenvoy/2013/08/un-habitat-united-nations-human-settlements-programme/
10.   UN-Habitat, 2007, Medium-term Strategic and Institutional Plan for UN-Habitat for the period 2008-2013.
11.   UN-Habitat, 2013, United Nations Human Settlements Programme Strategic Plan 2014-2019.

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The strategic plan was implemented through three biennial work-programmes and budgets (2014-2015, 2016-2017 and 2018-2019) which provided detailed information on activities, outputs, expected accomplishments and the required resources. Implementation was supported by policies, strategies, advisory services, advocacy work, capacity building programmes and projects developed and executed by UN-Habitat and its partners. The results framework associated with the Strategic Plan had a total of 5 strategic-level indicators, 21 expected accomplishments (EAs), 29 indicators of achievement and 43 baselines and targets. Monitoring, evaluation and reporting of Strategic Plan activities was supported through the Project Accrual and Accountability System (PAAS) and the Integrated Monitoring and Documentation Information system (IMDIS). In general, monitoring of activities and projects was to be done on a regular basis to verify whether the delivery of outputs and expected accomplishment were delivered according to plan and in accordance with the allocated budget. Delivery of projects and programme were to be monitored at country, regional and global levels.

Governance and Management.

UN-Habitat had a dual system of governance during the implementation of the Strategic Plan with accountability to both the rules and regulations of the UN system as well as to its governing bodies, donors and partners. UN-Habitat's governance system is reflective of historic organizational changes from a primarily technical center for human settlements towards a full-fledged programme, implementing various interventions across all aspects of sustainable urbanization, including those in humanitarian areas.

During the period 2014-2019, UN-Habitat was governed by three different bodies. The governing council (GC) is a subset of the United Nations General Assembly (UNGA) and served as the intergovernmental decision-making body of UN-Habitat. The GC was comprised of 58 UN Member States meeting every two years to approve UN-Habitat's work programmes, set organizational policy guidelines and provide guidance where required. The Committee of Permanent Representatives (CPR) was a subset of the GC and served as an inter-sessional body to review and monitor the implementation of approved

work programmes and decisions of the GC. The CPR also reviewed the draft work programme and budget of UN-Habitat and prepared draft decisions and resolutions for consideration by the GC.

The Project Advisory Group (PAG), (following the restructure, renamed the Project Review Committee (PRC)) was responsible to ensuring that projects and programmes were aligned to UN-Habitat's mandate, the Strategic Plan and biennial work programme results framework before being approved for implementation.

A reform process for UN-Habitat organizational governance was initiated during the implementation of the previous strategic plan: The Mid-term Institutional and Strategic Plan (MTSIP) 2008-2013. Finalizing the reform process became a priority in 2018 when a new Executive Director, Ms. Maimunah Mohd Sharif joined the organization. The newly established UN-Habitat governance structure consisting of a large UN-Habitat Assembly and a smaller Executive Board in place of the GC was designed to improve governance and management efficiency by streamlining decision-making processes.

Figure 2. UN–Habitat Theory of Change Strategic Plan 2014–2019

Goal: Just, safe, healthy, accessible, affordable, resilient and sustainable cities and other human settlements with adequate infrastructure and universal access to employment, land and basic services, including housing, water, sanitation, energy and transport

Strategic Result: Environmentally, economically and socially sustainable, gender-sensitive and inclusive urban development policies implemented by national, local and other subnational authorities have improved the standard of living of people living in poverty and enhanced their participation in the socio-economic life of the city

Impact

Improved equitable sustainable urban development through the formulation and adoption of enabling legislation, increased access to land and the strengthening of systems of decentralized governance for improved safety and service delivery (urban legislation)

Long term outcomes

Improved 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 (urban planning)

Improved urban strategies and policies that promote inclusive economic development, sustainable livelihoods and enhanced municipal finance (urban economy)

Increased equitable access to urban basic services and the standard of living of the urban poor (urban basic services)

Improved access to adequate and sustainable housing, improve the standard of living in slums and curb the growth of new slums in an inclusive manner (housing and slum upgrading)

Increased the resilience of cities to the impacts of natural and human-made crises and undertake rehabilitation in ways that advance sustainable urban development (risk reduction)

Improved knowledge on sustainable urbanization issues and capacity for the formulation and implementation of evidence-based policies and programmes at the local, national and global levels (urban research)

Expected Accomplishments (EAs) or Outcomes

EA1: Increased capacity of local and national governments and other Habitat Agenda partners to implement urban legislation in the areas of urban extension, densification, urban planning and finance

EA2: Increased capacity of partner local and national governments and other Habitat Agenda partners to implement programme that improve security of tenure for all including for vulnerable groups, women, young people and indigenous people

EA3: Increased capacity of partner local and national governments and other Habitat Agenda partners to develop and adopt or adapt policies, plans and strategies that strengthen decentralized governance and inclusive urban management and safety

EA1: Improved national urban policies or spatial frameworks for compact, integrated and connected, socially inclusive cities and for planned urban expansions adopted by partner metropolitan, subnational and national authorities

EA2: Improved policies, plans and designs for compact, integrated and connected, socially inclusive cities and neighbourhoods and for planned urban expansions adopted and implemented by partner cities

EA3: Improved capacity of partner cities to implement plans or strategies for improved urban and municipal finance

EA1: Improved capacity of partner cities to adopt strategies supportive of inclusive economic growth

EA2: Enhanced capacity of partner cities to adopt urban policies or programmes supportive of improved employment and sustainable livelihoods with focus on urban youth and women

EA3: Improved capacity of partner cities to implement plans or strategies for improved urban and municipal finance

EA1: Improved policies and guidelines on equitable access to sustainable urban basic services implemented by partner local, subnational and national authorities

EA2: Enhanced enabling environment for promoting investments in urban basic services in partner countries with a focus on the urban poor

EA3: Increased coverage of sustainable urban basic services in targeted communities

EA1: Improved housing policies, strategies or programmes in line with the Global Housing Strategy principles and the promotion of the realization of the right to adequate housing as a component of the right to an adequate standard of living

EA2: Improved slum upgrading and prevention policies, strategies or programmes

EA3: Enhanced capacity of slum communities of partner with national and local authorities implementing policies or

EA1: Improved urban risk reduction policies, strategies and programmes adopted for greater resilience of cities and other human settlements

EA2: Improved settlements recovery and reconstruction interventions for long-term sustainability in cities and other human settlements

EA3: Improved shelter rehabilitation programmes in crisis responses contributing to sustainable and resilient cities and other human settlements

EA1: Improved monitoring of global urbanization conditions and trends

EA2: Improved knowledge of sustainable urbanization issues at the local, national and global levels for evidence-based formulation

EA3: Improved capacity of national and local authorities and partners to implement plans or strategies for sustainable urbanization

Outputs

Deliverables or offerings (services and products) for achieving the expected accomplishments/outcomes in the areas of 1) urban legislation, land and governance; 2) urban planning and design; 3) urban economy and municipal finance, 4) urban basic services, 5) housing and slum upgrading, 6) risk reduction, rehabilitation and urban resilience and 7) urban research and capacity development. They include a combination of normative and operational work for raising awareness, providing evidence-based policy advice, building capacities, developing norms and standards and implementing demonstration and other projects.

Assumptions.

- To achieve global impact:
- Global, regional and national political support for addressing sustainable urbanization issues remains strong
- Availability of quality data and evidence continues to increase to support decision-making
- To achieve long term objectives:
- Capacity and political commitment are adequate for sustained use of products and services as well as for scaling up of new approach to sustainable urbanization and capitalizing on the benefits
- Humanitarian and other crises do not overwhelm capacity
- To achieve results
- Stakeholders are receptive to new approach to sustainable urbanization
- Products and services delivered by UN-Habitat are used by beneficiaries
- Advocacy and communication
- Monitoring systems
- To deliver outputs:
- Sustainable urbanization issues are clearly reflected in national development plans
- Expenditure is prioritized in favour of sustainable development issues
- Enabling environment provides the necessary conditions for UN-Habitat to deliver services/products

Over a two-year period from January 2018 until December 2019, UN-Habitat carried out an organizational change process to make UN-Habitat fit for purpose, that could maximize its added value to UN system-wide efforts and effectively support Member States to tackle challenges of sustainable urbanization. The organization identified eight priorities to foster the anticipated change. By end of December 2019, UN-Habitat had delivered on its new reform process with:

- A newly established UN-Habitat governance structure, through the General Assembly of the United Nations resolution A/RES/73/239 of December 2018, which dissolved the GC and replaced it with a UN-Habitat Assembly composed of the 193 Member States, an Executive Board of 36 Members and a Committee of Permanent Representatives.

- An internal change process to improve transparency and accountability.

- An organizational restructuring to better enable the organization to support Member States and development partners in the implementation, monitoring and review of the SDGs and the New Urban Agenda. The new organizational structure was effective as of 1 January 2020.

- A new strategic plan for the period 2020-2023 that was approved by the first session of the UN-Habitat Assembly in May 2019.

Organizational Structure.

Over the Strategic Plan period, UN-Habitat's structure contained divisions and offices built around the seven focus areas: the Executive Direction Management (EDM), the Programme Division (PD) the Management and Operations Division, External Relations and Partnership Division, three Liaison Offices, and four Regional Offices (ROs). This structure was designed to enable effective implementation of the seven thematic subprogrammes that align to the substantive focus areas as illustrated in the Theory of Change (see Figure 2. UN-Habitat Theory of Change Strategic Plan 2014-2019). Other areas of

note include allocated staff for resource mobilization and with a communications strategy developed in 2016. The new organizational structure, adopted in January 2020, is aligned with the new Strategic Plan 2020-2023. While the restructuring is still on ongoing, the process has placed a greater attention on partnerships, cross-cutting issues and monitoring, evaluation, and reporting.

The Programme Division coordinated UN-Habitat's project portfolio, overseeing both regional offices and the thematic subprogrammes. The division directed the full project management cycle, from project strategy development, resources, formulation, and approval to implementation and monitoring. The Management and Operation Division (MOD) provided administrative, financial and programme support for the agency through coordinating, controlling and managing the agency's finances, resources, business processes; and providing knowledge information and information technology support. It worked closely with the United Nations Office at Nairobi (UNON) in ensuring procedures and processes were in accordance with the UN rules and regulations.

The External Relations Division (ERD) organized into two branches, the Partners and Inter-Agency Coordination Branch (PIACB) and the Advocacy, Outreach, and Communication Branch (AOC), implemented UN-Habitat's communication strategies and create awareness about the organization, its mandate, and activities. The branch was also tasked with organizing events like World Urban Forum (WUF), campaigns like World Urban Campaign (WUC), World Cities Day (WCD) and production of publications, press and public relations activities. The Partners and Inter-Agency Coordination Branch fostered relationships with partners, governments, and local authorities as well as other UN agencies to create synergy on projects and to guarantee efficient and streamlined cooperation. These core functions are essential to enable the UN-Habitat operations, advocacy and knowledge dissemination efforts.

Accountability Framework and Processes.

The evaluation framework for the Strategic Plan specified its mid-term and final evaluations. Progress towards expected achievements were reported more regularly in Annual Progress Reports and a series of project, programme, strategy, thematic, policy, institutional, country portfolio and cluster evaluations.[12] Data in relation to project progress was recorded in the Project Accrual and Accountability System (PAAS) and the Integrated Monitoring and Document Information System (IMDIS). The implementation of evaluation recommendations was monitored regularly through the on-line Evaluation Recommendation Tracking System. By December 2019, UN-Habitat was monitoring the implementation of 417 recommendations of which 72.7 percent were implemented, 21.7 percent in progress and 5.6 percent not started.

Monitoring of activities and projects was carried out at the outputs and expected accomplishment levels through the Project Accrual and Accountability System (PAAS). The UMOJA system was gradually introduced over the period for financial accountability and approvals. However, this introduction experienced some challenges because the system was not fully fit-for-purpose to the decentralized nature of operations. Yet, feedback received from partners and staff is that the system is now operational and despite continuing bottlenecks, the level of documentation and accountability has substantially improved.

Funding for the Strategic plan.

Implementation of the Strategic Plan was financed through three consecutive work programmes from four major sources of funding as summarized in Figure 3. The strategic plan was estimated to be implemented at a cost of US$1,391 million but actual income over the period was equal to US$1,116 million; 75 percent of the estimated contributions. The regular budget remained a stable income for UN-Habitat but only accounted for 7 percent of total income. Non-earmarked, foundation general purpose funds accounted for the smallest proportion of total income.

Figure 3. Est. approved budgets & actual income ($US million) 2014–2019 by funding source[13]

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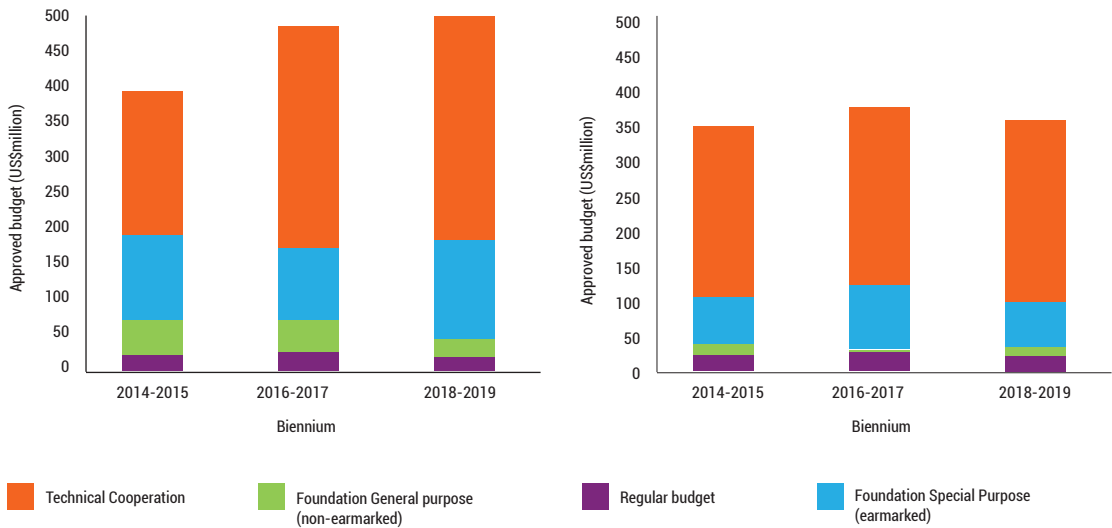
12.   Evaluations can be found at: www.unhabitat.org/evaluatio
13.   Estimates based on HSP/GC/24/L16, HSP/GC/26/CPR.5 and HSP/GC/25/ Add.1

UN-Habitat depended on a small number of donors for its extra-budgetary resources. Over the period, top donors contributed 55 percent of the total contributions (Table 1).

Table 1: UN–Habitat's top donors for the period 2014–2019 (US$ million)

Donor	Top 10 Donor Contributions over Strategic Plan Period (US$ million)						
	2014	2015	2016	2017	2018	2019	2014-2019
Japan	8.04	52.33	21.86	15.37	22.39	23.3	143.29
European Union	33.72	15.8	15.42	20.72	27.03	24.75	137.45
USA	5.35	5.37	54.52	3.34	10.37	-	78.94
Sweden	2.93	-	18.09	12.04	4.42	-	37.48
German	3.5	-	-	18.61	5.44	6.96	34.51
Norway	8.09	5.52	6.82	5.04	3.11	5.59	34.18
Switzerland	3.36	10.5	-	-	18.19	-	32.05
United Kingdom	1.42	1.36	8.32	-	8.34	8.52	27.96
Saudi Arabia	25.48	-	-	-	-	-	25.48
Netherlands	-	6.76	-	-	10.9	-	17.66
Total	91.89	97.64	125.03	75.12	110.19	69.12	569

Human Resources for Strategic Plan implementation.

UN-Habitat attracted staff from a wide range of professional backgrounds. However, the organizational structure had unfilled key posts throughout the implementation of the strategic plan and particularly after the restructure process. Table 2 shows the Human Resource decline and the gaps in the approved 130 foundation general purpose posts.

Table 2: 2014–2019 Human Resources Trend and Gaps

Type of Post	2014-2015	2016-2017	2018-2019
Filled Posts	61	52	36
Vacant Posts	69	78	34
Frozen posts	0	0	60
Total approved posts	130	130	130

Strategic Plan Timeline.

The Strategic Plan covered a period of significant institutional and global change including the launch of the 2030 Agenda in 2015. During this period, UN-Habitat was recognized as a custodian particularly in relation to SDG 11 "sustainable cities and communities" as well as other cities-related targets and indicators. Habitat III, the United Nations Conference on Housing and Sustainable Urban Development was held in 2016. This resulted in the adoption of the New Urban Agenda (NUA) which documents a shared global vision for human settlements and sustainable urbanization as a driver of sustainable development. UN-Habitat was identified as having a key role to play in supporting Member States with monitoring the implementation of the NUA and achieving urban dimensions of the SDGs.

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The Member States, through the GC requested, UN-Habitat to adjust the 2014-2019 Strategic plan based on the 2017 mid-term evaluation of the plan, the SDGs and the New Urban Agenda. During the period, a series of other related strategies were also developed for gender equality, climate change, partnerships, communications.

Other global changes during the period include the adoption of the Paris Climate Agreement in 2015 and the Sendai Framework for Disaster Risk Reduction also endorsed in 2015. These key milestones among others over the strategic plan period are illustrated in Figure 4.

Figure 4: Timeline of milestones in the Implementation Strategic Plan 2014–2019
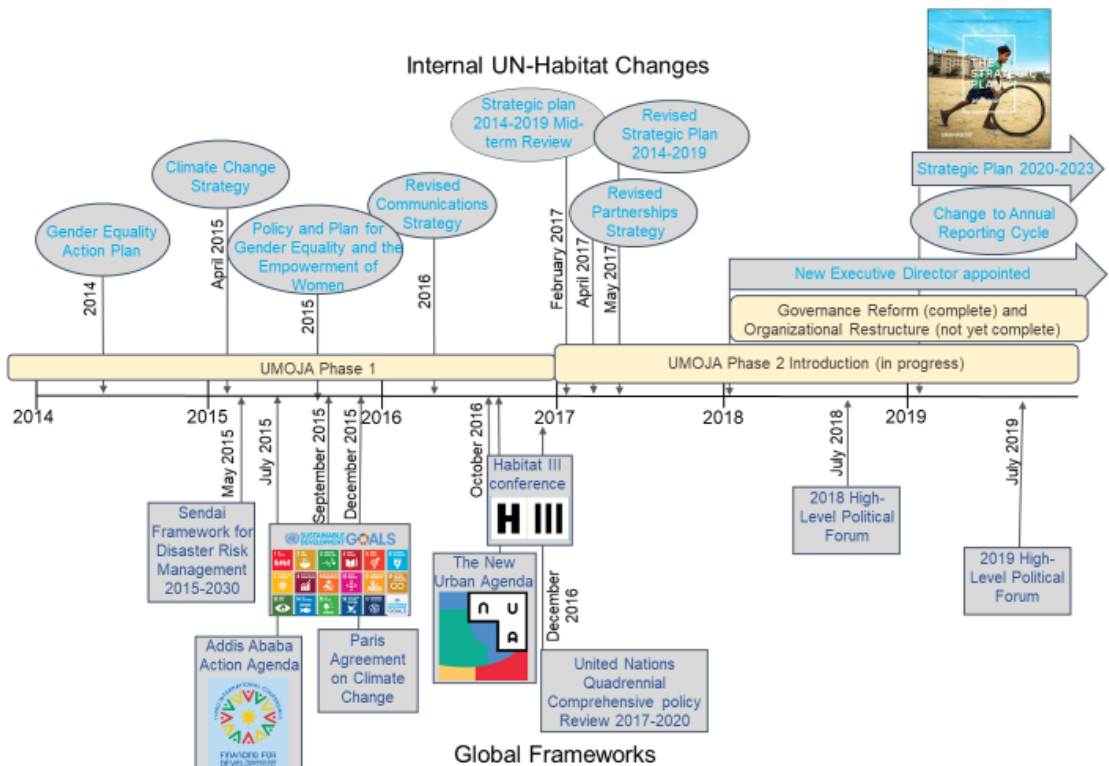
EVALUATION APPROACH AND METHODOLOGY

Evaluation period

This evaluation was conducted between March and August 2020. The consultation period for the evaluation coincided with the COVID-19 pandemic so the methodology was sensitive to the prevailing Coronavirus situation.

Approach and Analysis Frameworks

The evaluation gathered evidence across all strategic and thematic areas of operations, and cross-cutting issues as well as management processes. A systematic review of available data sources was conducted. The assessment acknowledged the complexity of UN-Habitat's work as well as the likelihood of change based on external factors.

Systematic review   The evaluation framework approach included assessment of relevance, effectiveness and efficiency at the activity, output, and outcome level across all programme areas. This evaluation initially analyzed data across all strategic and programme areas in line with the evaluation criteria. A list of documents reviewed is available in Annex 6.

Theory of Change approach The analysis followed a theory of change (TOC) approach in order to measure the success of implementation efforts against UN-Habitat's planned outputs, outcomes and impact. The TOR for this evaluation emphasized the application of the TOC as an evaluation tool, to provide a useful framework around which evaluation design and questions could be structured and to map causal pathways showing how the intended implementation of strategy was intended to achieve results, within the context. The evaluation assessed the extent to which expected results were achieved and tested the validity of the causal pathways and assumptions illustrated in the ToC (Figure 2) as well as built understanding about impact drivers. Based on the initial findings from the document review, key stakeholder interviews tested emerging key findings as a form of triangulation and fact-checking. This analysis

assisted in gathering data towards answering evaluation question 5 in relation to contribution to transformational changes and contributed to the UN-Habitat Impact model that was used in the analysis as illustrated in Figure 9

Context variation approach   The evaluation assessed the impact of external factors on levels of success by utilizing a context variation approach, for instance understanding patterns of performance data across different regions. This approach included assessment of UN-Habitat ability to align with the Global agreements as they were adopted during the Strategic Plan period. Lessons on UN-Habitat's ability to rapidly absorb, respond to, and capitalize on changes in context were captured to inform assessment of the agency's agility. In particular, this evaluation has been conducted during the COVID-19 period. This added depth to the analyses of UN-Habitat's capability to address rapid change and provide lessons to help improve and institutionalize UN-Habitat's flexibility and relevance to context.

Complexity-aware approach   The strategic nature of UN-Habitat's work required the evaluation to be complexity-aware. This involved being cognizant of the integrated nature of much of UN-Habitat's work and the existence of multi-sectoral programs. In these instances, the evaluation identified where there are systemic programs or complexities that are in line with the theory of change but do not align closely with a single programmatic area. This was particularly important in relation to cross-cutting areas.

Evaluation criteria and questions

Evaluation questions used in this evaluation were developed in line with the United Nations Evaluation Group (UNEG) evaluation criteria as outlined in Table 3. A complete evaluation matrix including planned linkages between evaluation questions and data collection tools is available in Annex 3.

Table 3: Overview of Key Evaluation Questions

Evaluation Criteria*	Evaluation Question
Performance in terms of results achieved	1. To what extent has UN-Habitat achieved its target results formulated in the strategic plan for the period of 2014-2019, including results framework?
Relevance	2. To what extent did UN-Habitat align its targeted programme results, outputs, and activities with the overall goal of the strategic plan and attainment of its objectives, contributing to sustainable urbanization during the implementation of the Strategic Plan 2014-2019?
Effectiveness	3. What transformational changes did the implementation of the strategic plan 2014-2019 achieve?
	4. To what extent were the results achieved inclusive, supporting the realization of gender equity, human rights, youth inclusion and other equity considerations?
	5. What were the key factors influencing the achievement or non-achievement of results?
Efficiency	6. How efficiently has UN-Habitat harnessed its resources (financial, human and partnerships) to achieve planned results in the Strategic Plan 2014-2019?
Coherence	7. How clear have UN-Habitat policies and other strategies been in terms of clarity and coherence of linkages between agency's operational and normative work streams at global, regional and country levels?
	8. To what extent did UN-Habitat implement the strategic plan in coherence and synergy with other interventions and global agendas?
Sustainability	9. Did strategic programmatic, structural management adjustments improve performance towards the implementation of the Strategic Plan 2020-2023 to optimize synergy and overcome gaps in implementation?
	10. To what extent results achieved under the Strategic Plan 2014-2019 are likely to be maintained, replicated, and scaled in 2020-2023?
Impact	11. What changes have occurred as a result of implementation of the Strategic Plan 2014-2019 that may contribute to SDGs targets, poverty reduction, economic growth, social benefits, environment improvements, social cohesion or other transformational changes?
Cross-Cutting Issues	12. How were cross-cutting issues of gender, human rights, youth, and climate change integrated into the implementation and measurement of achievements of the strategic plan?

The sequence of some key questions has been changed from the terms of reference to facilitate flow.

Consultation

The evaluation utilized a two phased approach to stakeholder consultation. The first phase involved consultation with senior and strategic stakeholders including those in key management positions and Member State Representatives across the organization and in the regional offices. The second phase involved consultation with other organizational staff. In reality, these phases overlapped due to respondent availability.

Primary qualitative data was gathered through direct contact with UN-Habitat staff, board representatives, key stakeholders and implementing partners as identified jointly by the evaluation team and UN-Habitat. Selected partners were identified in collaboration with the operational departments. Partner interviews were initially expected to be conducted face to face during a mission to UN-Habitat Headquarters. However, this was not possible, (see limitations below) so interviews have been conducted remotely. This did not significantly impact on response rate with almost 55% of identified stakeholders interviewed. A summary of response rate by stakeholder group is available in Annex 4 and a list of stakeholders consulted is available in Annex 2.

Limitations

This evaluation had a large scope, covering the whole organization and all programme areas and was conducted within a relatively short timeframe with finite resources. As such the main limitations were:

• Reliance on secondary data that was of variable quality across each programme area.

• Difficulty in access to detailed primary data. Availability was particularly low during the early years of the strategy and so trend analysis was difficult

• A survey to be distributed to staff and stakeholders was considered. However, given the extent of staff surveys previously conducted, in the self-assessment of the implementation of the strategic plan and the COVID-19 situation contributing to low partner response, the evaluation relied on available data and direct consultation.

• COVID–19 effects required interviews to be conducted remotely. There may have been a slight reduction in qualitative data quality than would have been gathered if face to face interviews were possible. However, overall, the response was comprehensive and detailed.

• Staff movement both within UN-Habitat and partner organizations and governments meant some interviews were not possible.

MAIN FINDINGS

Summary of overall Performance

Performance in terms of results achieved (Key Evaluation Q1) To what extent has UN-Habitat achieved its target results formulated in the strategic plan for the period of 2014-2019, including results framework?

UN-Habitat's performance at the global level is crucial and recognized. UN-Habitat's mandate is of high relevance because matters relating to sustainable urbanization are still of high importance globally. UN-Habitat's appointment as custodian of SDG 11 and related indicators is a clear indication of the level of recognition and credibility in terms of results that UN-Habitat has at the global level. Furthermore, its major role in major processes and events such as Habitat III and the development of the New Urban Agenda show that UN-Habitat is engaged with prominent and relevant global processes related to sustainable urbanization.

Progress towards Strategic Indicators in the Results Framework is not well articulated or demonstrated. The Strategic Plan results-framework identified five strategic indicators to assess performance of UN-Habitat. However, there is limited data in relation to achievement against these objectives (See Box 2). This may be due to the broad, global nature of these indicators which makes progress difficult to attribute to UN-Habitat activities, does not account for contextual events beyond the scope of UN-Habitat and is also a factor of UN-Habitat's focus on project monitoring and evaluation rather than corporate monitoring systems.

Kalobeyei – UN-Habitat Advisory Development Plan Participatory Planning Process. © UN-Habitat/Julius Mwelu

Box 2. Progress towards Strategic, Organizational Indicators of progress towards global goals are hard to measure but UN-Habitat is actively working to address continuing issues.

•

The Strategic Plan results-framework identified five strategic indicators:

1. Percentage of people living in slums, disaggregated by gender

2. Percentage of urban population with access to adequate housing

3. Percentage of people residing in urban areas with access to safe drinking water, adequate sanitation, and regular waste collection services, clean domestic energy and public transport, disaggregated by gender

4. Number of city, regional and national authorities that have implemented urban policies supportive of local economic development and creation of decent jobs and livelihoods

5. Number of city and regional authorities that have implemented sustainable urban plans and designs that are inclusive and respond to urban population growth

Data on current status of indicators (Note: little trend or contribution data for UN-Habitat available)

• 23.5 percent of the urban population was living in slums in 2018, compared to 23% in 2014. The growth number of slum dwellers was assessed to be as a result of both urbanization and population growth that are outpacing the construction of affordable housing;

• 330 million urban households that lived in substandard housing or stretch to pay housing costs that exceed 30 percent of their income percent of urban population had access to adequate housing;

• 2.7 billion people had safe drinking water; but still lack basic sanitation;

• 2 billion people were without waste collection services and 3 billion people lacked access to controlled waste disposal facilities.

• 53% of urban residents in 227 cities in 78 countries have access to public transport

• 150 countries develop national urban plans that are designed to help cities to grow in a more sustainable and inclusive manner.

The Theory of Change approach provides a basis to understand the contribution of subprogrammes to Strategic Plan outcomes and strategic results; yet monitoring and evaluation systems are weak. (See Figure 2. UN-Habitat Theory of Change Strategic Plan 2014-2019) Overall, global-level data available through UN-Stats[14] in relation to strategic indicators demonstrates that needs have increased rather than decreased. Yet, UN-Habitat does, through its Theory of Change, demonstrate how each subprogramme addresses these issues. Consequently, the lack of

data for strategic indicators can be compensated to some extent by assessing the level of performance by subprogramme. Data at the level of outputs and specific outcomes are available for accountability to funders and for effective project and programme management. At the same time, the staff and stakeholder consistently raised a continuing concern with the lack of monitoring data to verify and track performance at the strategic outcome level. This is a significant weakness that undermines and understates the performance of the agency and is largely caused by lack of corporate monitoring and

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14. Unstats.un.org– official website of the United Nations providing information on the development and implementation of indicator framework on review of the 2030 Agenda

performance review systems and insufficient budget to allocate more analytical and systematic indicator design, monitoring, impact assessment and corporate evaluation activities.

Overall, implementation of the Strategic Plan achieved the subprogramme level expected accomplishments (EAs) at a satisfactory level. In general, the work of UN-Habitat through its programmes was acknowledged by stakeholders interviewed during the evaluation, to be uniformly positive, with stakeholders affirming that programmes were closely aligned to their interests and priorities and largely delivered expected results. The work carried out, particularly in vulnerable communities was seen as vital, particularly when integrated programming occurred. In tracking performance, there were 21 expected accomplishments (EAs) associated with subprogramme level activities encompassing 29 indicators of practice and 43 targets. At the EA level, 62% of EAs were met, a further 28% were partially met and 10% of EAs were not met. At the level of detailed targets, almost one third of indicator targets were not met as of December 2019. The extent of achievement across all seven subprogrammes is illustrated in Table 4.

Table 4. Overall Achievement of Expected Accomplishments (EAs) per Subprogramme

Key	Achieved	Partially Achieved	Not achieved	
Subprogramme	% of EAs achieved	% of EAs partially achieved	% of EAs not achieved	
1: Urban Legislation, Land and Governance	67%	33%	0%	
2: Urban Planning and Design	100%	0%	0%	
3: Urban Economy	67%	0%	33%	
4: Urban Basic Services	33%	67%	0%	
5: Housing and Slum Upgrading	33%	67%	0%	
6: Risk Reduction and Rehabilitation	67%	33%	0%	
7: Research and capacity Development	67%	0%	33%	
Total	**62%**	**28%**	**10%**	

Assessment of evaluation criteria by focus area confirms overall positive performance but notes gaps in efficiency. The assessment illustrated in the following sections summarizes both the achievement across each of the programmes through review of data for specific indicators, and triangulates deeper data sources from review of documents and stakeholder interviews. The assessment was qualitative and indicative. An assessment of impact was not included due to insufficient data. Nonetheless, good examples of impact were available across all subprogrammes as discussed in section 4.7. An assessment of cross-cutting issues (gender, human rights, youth and climate change) is included but it should be noted that assessment of each cross-cutting issue was different. A more detailed explanation is available in section 4.9.

Relevance

Relevance (Key Evaluation Q2) To what extent did UN-Habitat align its targeted programme results, outputs, and activities with the overall goal of the strategic plan and attainment of its objectives, contributing to sustainable urbanization during the implementation of the Strategic Plan 2014-2019?

UN-Habitat's emphasis on "sustainable urbanization" as the core of the 2014-2019 Strategy was relevant during the period. Several factors contributed to a high degree of relevance of the Strategic Plan including an increasingly urban population and associated challenges of the urbanization of poverty, and increasing demand for land, housing, economic activities and urban services. Furthermore, the Strategic Plan coincided with a global focus on sustainable development due to a growing profile for urbanization and sustainable development through the SDGs and the NUA. UN-Habitat and Member States have a crucial role to play to address challenges and turn urbanization into opportunities. While there are other organizations taking active roles in aspects of sustainable urbanization, UN-Habitat is mandated as the UN focal point.

The integration of sustainable urbanization in associated strategic policies and procedures was appropriate and consistent with the Strategic Plan. The key statements in the Strategic Plan were interwoven into key institution-wide strategies. This included the development of supporting strategies and policies such as the UN-Habitat Policy and Plan for Gender Equality and the Empowerment of Women in Urban Development and Human Settlements 2014-2019.[15] Similarly, the Communications Strategy in 2016 noted objectives such

as 'to advance the understanding of sustainable urban development as a tool for sustainable development that must be prioritized'[16] UN-Habitat's country and regional strategies also drew links between specific interventions and areas of sustainable urbanization. Recent UN-Habitat strategic documents tended to be increasingly explicit about sustainable urbanization and the required paths towards achieving the strategic objective.

High relevance of major programmes and networks. UN-Habitat's strategic relevance has improved over the study period and the 'greater structural alignment to its corporate results targets' and 'key policies to help steer itself towards the results targeted in 2014-2019' were noted to be key for the organization's relevance.[17] The relevance of UN-Habitat's individual projects and programmes to UN-Habitat's strategic objectives and certain aspects of sustainable urbanization was checked through the internal Project Advisory Group (PAG), (now the Project Review Committee (PRC)). Projects have demonstrated relevance through contribution to particular areas of sustainable urbanization such as in the Global Land Tool Network (GLTN) Phase II, which was identified in a previous evaluation as demonstrating 'relevance to urban legislation, land, and governance objectives'.[18]

15. UN-Habitat, 2015, GPP: UN-Habitat Policy and Plan for Gender Equality and the Empowerment of Women in Urban Development and Human Settlements 2014–2019.
16. UN-Habitat. 2016, Updated Communication Strategy 2016.
17. OIOS, 2018, Audit of the United Nations Human Settlements Programme in Barcelona (pg. 2).
18. UN-Habitat, 2018. End-of-Phase-Evaluation: Global Land Tool Network (GLTN) – Phase 2.

Box 3. UN-Habitat: A Story of Increasing Global Relevance

UN-Habitat as the UN focal point for human settlements and the coordinator of human settlement activities within the UN system has an integral role in sustainable urbanization globally[19]. The global demand for assistance and expertise with human settlements is rapidly increasing. This is evident through the emphasis on cities and human settlements in global frameworks including the 2030 Agenda for Sustainable Development, particularly SDG 11, and the development of The New Urban Agenda. The relevance of UN-Habitat's activities relating to informal settlements, migration, growing urban populations, and sustainable urbanization has particularly heightened in the global development landscape.

The attendance at the World Urban Forums, convened by UN-Habitat shows that attendee numbers have steadily grown from 1,200 in 2002 to 23,000 in 2018. This signals the increasing level of interest and commitment to sustainable urbanization. During the evaluation, most stakeholders noted the importance of UN-Habitat's role in general, and many mentioned the WUF as a global highlight of UN-Habitat's visibility and relevance in sustainable urbanization.
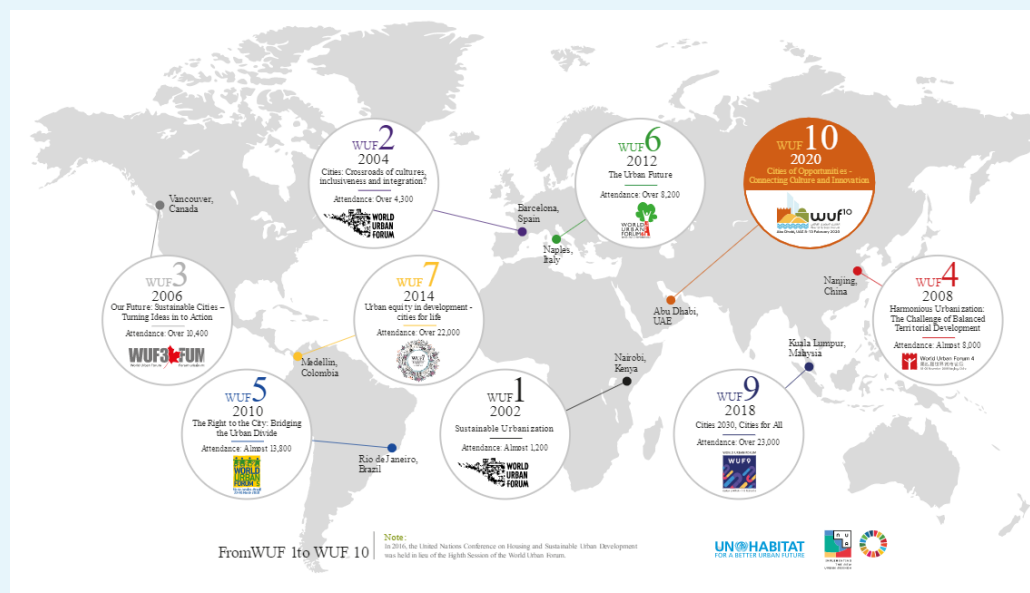
A better balance between normative and operational work streams maximized relevance. UN-Habitat's original mandate highlighted both normative and operational functions as core business of the organization. However, currently within the organization there is tension between the required emphasis on operational or normative work. A balance between these approaches which maximizes the effectiveness of both areas would result in an overall higher level of organizational relevance to the mandate (Figure 9).[20]

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19.   United Nations General Assembly, 2002, Resolution 56/206.
20.   United Nations General Assembly, 2017, Report of the High–Level Independent Panel to Assess and Enhance the Effectiveness of UN–Habitat.

Box 4. Relevance at the Regional Level: The ROAS Example

The Regional Office for Arab States (ROAS) regional strategy developed in 2016 noted the links between the regional level activities and the institutional strategic objectives outlined in the strategic plan as well as global frameworks such as the sustainable development goals. In demonstrating this relevance ROAS noted particular aspects of sustainable urbanization which require extra attention in the region, namely, inclusive governance and both natural and conflict resilience.

This relevance with regional emphasis is illustrated in ROAS's vision to:

"Support the development of integrated, inclusive and sustainable cities and human settlements capable of providing adequate standard of living to children, youth, women and men, being well governed and resilient to shocks."

Aspects of this regional vision speak directly to the institutional level vision, mission and goal. For example, the emphasis at the regional level of "well governed" cities and settlements directly supports UN-Habitat's overarching vision to "promote the stronger commitment of national and local governments" in cities and human settlements. Secondly, the acknowledgement by ROAS of the various social groups within cities and human settlements and the elevation of these groups into the regional vision statement supports the vision outlined in the 2014-2019 strategic plan of "socially inclusive" cities and settlements as well as UN-Habitat's mission which identifies cities as "inclusive centers

Some concerns have arisen that UN-Habitat was drifting away from the intended mandate. A lack of clarity regarding UN-Habitat's core function has led to some questioning the ongoing relevance of activities to UN-Habitat's original mandate. Housing and settlements, UN-Habitat's original mandate, was still prevalent in the 2014-2019 strategic plan as Focus Area 5, Housing and Slum Upgrading. However, some internal and external stakeholders feel that the emphasis on these activities has been eroded over the period and that the new integrated approach to sustainable urbanization has somewhat diluted the focus on housing and human settlements.

Internal integration of strategic objectives was implicit rather than explicit. The concerns regarding institutional focus and mandate was compounded by the lack of clarity around UN-Habitat's reporting on its core function and strategic objectives. UN-Habitat's reporting did not always explicitly link activities and relevance to the overarching strategic objective of sustainable urbanization. At the same time, the consultation, particularly with partners, but also with internal stakeholders suggests that the core messages of UN-Habitat's strategic approach were not clearly articulated. This leads to insufficient understanding of its activities and contribution and a resultant lack of clarity on the value proposition of UN-Habitat.

Effectiveness

Overall performance (Key Evaluation Q3,4,5) What transformational changes did the implementation of the strategic plan 2014-2019 achieve? To what extent were the results achieved inclusive, supporting the realization of gender equity, human rights, youth inclusion and other equity considerations? What were the key factors influencing the achievement or non-achievement of results?

UN-Habitat is generally effective in terms of delivering operational outputs and makes substantive contributions towards most expected accomplishments. UN-Habitat's largest initiatives are largely effective in terms of delivering outputs.[21] UN-Habitat expertise and achievements was evidenced in increased technical cooperation projects, reflecting increased demand for the organizations advisory services technical assistance and capacity building support to regional, national and local governments. For example, the Urban Planning and Design Lab has been noted to be effective in aggregating international expertise to encourage the use of evidence in national urbanization policies. UN-Habitat's global programmes also demonstrated a high degree of effectiveness. For example, ASUD was implemented in an additional five countries (Rwanda, Mozambique, Egypt, Colombia and the Philippines), GLTN improved tenure security for 1.2 million people and GWOPA strengthened the service delivery capacity of 187 water operators.

UN-Habitat delivers results and produces important normative products many of which contribute towards transformative results; others are over-ambitious for the resources available. Activities have been noted to be most effective when they build on existing knowledge and experience and utilize partnerships efficiently. Examples of this approach have resulted in strategic shifts in the internal context. However, organizational reporting mechanisms often do not adequately describe these levels of success and therefore inhibit the potential for impact, replication and up-scaling. In contrast, other projects are identified as unlikely to achieve overall goals due to a disconnect between project design and project implementational context resulting in overly ambitious goals within short timelines.[22]

Transformational change.

UN-Habitat has all of the building blocks to achieve transformational change if implemented correctly and utilization is maximized. UN-Habitat's dual operational and normative mandate provides huge potential for the organization to achieve widespread and lasting transformational change. there are indications that where continued engagement with stakeholders, coherent and integrated programming and concerted steps towards replication and upscaling of good practices occurs, then transformational change can and does occur. The passion and expertise of UN-Habitat staff towards achieving such change further contributes to such potential. However, UN-Habitat did not fully capitalize on this during the 2014-2019 strategic plan period.

Box 5. Unrealized Potential for Transformational Change.

UN-Habitat has the mechanisms in place to contribute to widespread and lasting impact, but these are not utilized effectively. UN-Habitat's core mandate combined with the global relevance of the strategy as well as the expertise and knowledge held within the organization suggests that UN-Habitat is capable of creating significant transformational change. In addition to these internal factors, UN-Habitat has some strong global networks which represent an ideal avenue for impact. However, this potential for impact is not fully realized. A lack of coherence between operational and normative activities, as discussed in section 4.5, represents a missing foundation upon which to build toward transformational change. This results in a missed opportunity for the development of robust and contextualized tools which can be replicated and upscaled towards transformational change.

21.   UN-Habitat, 2016, UN-Habitat and Its Reform – Reform and Relevance Note.
22.   Stoquart, R & Majale, M, 2015, Mid-Term Evaluation of the Participatory Slum Upgrading Programme II.

Potential for transformational change was undermined by disjointed programming, internal divisions, insufficient stakeholder engagement and poor internal systems and procedures. The 2014-2019 strategic plan period was characterized by a siloed approach to programming, tensions between operational and normative workstreams and insufficient resources for ongoing engagement and expansion of good practices. This lack of internal coherence and coordination undermined UN-Habitat's ability to achieve transformational change, and good results. While isolated examples of localized transformational change can be found, these were not sufficiently captured, reported or promoted and have therefore not been replicated and upscaled to the point of transformational change. Such a fractured and disjointed approach to programming resulted in fragmented and isolated examples of transformational change.

Performance by Subprogramme.

There is variation in the level of effectiveness across UN-Habitat's Focus Areas and respective subprogrammes. A summary of achievement by thematic subprogramme is provided in Annex 5. In general, the levels of results achieved by UN-Habitat is commendable given there were substantial barriers to success. However, there is room for improvement in documenting the actual results/benefits delivered to beneficiaries in order to build a stronger case for relevance across countries and programmes. The following tables highlight performance on expected accomplishment (EA), achievements and challenges under each subprogramme.

Subprogramme 1: Urban Legislation, Land and Governance	
Strategic result: Improved equitable sustainable urban development through the formulation and adoption of enabling legislation, increased access to land and the strengthening of systems of decentralized governance for improved safety and service delivery	
EA 1: Increased capacity of local and national governments and other Habitat Agenda Partners to implement urban legislation in the areas of urban extension, densification, planning and finance.	Met
EA 2: Increased capacity of partner 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.	Met
EA 3: Increased capacity of partner local and national governments and other Habitat Agenda Partners to develop and adopt or adapt policies, plans and strategies that strengthen decentralized governance and inclusive urban management and safety.	Partially met

General Achievements: the successful implementation of two global programmes (ASUD and GLTN), the production of several key normative products, the delivery of training and technical advisory services are noted as achievements under this subprogramme. Further, high levels of participation of local governments in global conferences such as the World Urban Forums and Habitat III were recorded.[23]

23.   UN-Habitat, 2019, Presentation to the Joint Annual Consultations: Status of Implementation of UN-Habitat Strategic plan 2014–2019: Highlights of Results, Outcomes, Challenges, Lessons.

Subprogramme 1: Urban Legislation, Land and Governance

Key Achievements.

• 30 research studies were conducted contributing to how land tenure security contributing to development outcomes.

• 20 New land tools developed to support national and local governments in development and implementation of national land policies to address land, tenure security, land administration, land-based financing, land management and planning, land policy and legislation

• 101 institutions improved their knowledge and capacities to promote and improve pro-poor tools.

• Partnerships were core to implementation of land issues.

• The UrbanLex database of legal instruments on urban law has grown by 1,240 tools and 23,500 users

• 40 countries undertook urban legislation reform[24]

• Construction of Police and Prosecutor Offices in Sudan has improved safety for almost 50,000 people.[25]

• UN-Habitat supported a coalition of several UN agencies and local governments networks in localizing the SDGs, by creating awareness within local government.

• UN-Habitat worked with UNDP and UCLG to create awareness and develop tools and capacity building thanks to the elaboration of Training Modules and sharing experiences

Key Normative Products.

• Addressing Urban Issues in National Climate Change Policies – Cities and Climate Change Initiative[26]

• UN System-wide Guidelines on Safer Cities and Human Settlements

• Land Tenure in Asia and the pacific: Challenges, Opportunities and the Way Forward[27]

• Guiding Principles for City Climate Action Planning[28]

• Sustainable Cities Dialogue[29]

• The Urban Planning and Land Use for Law and Climate Change Toolkit

• Fit-for-Purpose Land Administration in a Post-Disaster Context

• Land Tenure and Climate Vulnerability[30]

• The United Nations Land and Conflict guidance note

Challenges: Some challenges noted in the implementation of activities under this subprogramme include the design of legal instruments that were not responsive to local context and capacities, insufficient funds, especially non-earmarked funding at the global level leading to an increased focus on national level work and a decrease in available resources for normative work as well as management and coordination functions. Some other staff in integral units to this subprogramme were transferred and a hiring freeze increased the number of vacant positions further constraining the achievement of results.[31]

24. UN-Habitat, 2019, Annual Progress Report 2019.
25. UN-Habitat, 2018, Working for a Better Urban Future: Annual Progress Report 2018.
26. UN-Habitat, 2014, Annual Progress Report 2014: Implementation of the Strategic Plan (2014–2019).
27. UN-Habitat, 2015, Annual Progress Report 2015: Implementation of the Strategic Plan (2014–2019).
28. UN-Habitat, 2017, Annual Progress Report 2016: Demonstrating Results of the Strategic Plan 2014–2019.
29. UN-Habitat, 2018, Working for a Better Urban Future: Annual Progress Report 2018.
30. UN-Habitat, 2019, Annual Progress Report 2019
31. the self assement report, 2019.

Subprogramme 2: Urban Planning and Design

Strategic result: Improved 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.

EA 1: Improved national urban policies and spatial framework for compact, integrated and connected, socially inclusive cities adopted by partner metropolitan, region, and national authorities.	Met
EA 2: Improved policies, plans and designs for compact, integrated and connected, socially inclusive cities and neighborhoods adopted by partner cities.	Met
EA 3: Improved policies, plans and strategies that contribute to the mitigation of and adaptation to climate change adopted by partner city, regional/subnational and national authorities.	Met

General Achievements: The adaption of global programmes to regional priorities as part of the implementation of this subprogramme was noted to encourage uptake of improved approaches. Furthermore, valuable training has been delivered as part of the implementation of this subprogramme with a design competition reaching 400 young planners and other training reaching 380 planners from over 100 cities.[32]

Key Achievements

- More than 80 cities have adopted plans and designs developed through the Lab and the Public Space Programme.

- 380 planners from over 100 cities have been trained in new methodologies and public space planning and 900 urban managers were trained on public space in 2019.

- 53 countries received UN-Habitat support to develop, implement and monitor National Urban Policies.

- More compact, connected and people-friendly cities across 48 local governments in Kenya, Mozambique and Uganda.

- Field projects including support to Kalobeyegi Refugee settlement, Johannesburg spatial development framework, planning city extensions in Ghana, Myanmar, Philippines among others.

- 17 cities in Saudi Arabia have been supported by urban planning and design Lab.

- New tools and methodologies developed by UN-Habitat in relation to participatory and sustainable planning practices have been implemented in 35 cities in 3 countries.

- 445,000 people benefitted from 22 public space upgrading projects across nine countries.[33]

- Climate change vulnerability assessments and actions plans have been conducted and developed in 50 areas across the Asia Pacific Region including pro-poor urban resilience actions in four countries.[34]

- The wide-spread adoption and adaption of policies and plans including Climate Change Action Plans in 50 locations and 70 new city plans and/or designs.

32   UN-Habitat, 2019, Presentation to the Joint Annual Consultations: Status of Implementation of UN-Habitat Strategic plan 2014-2019: Highlights of Results, Outcomes, Challenges, Lessons.

33.   UN-Habitat, 2019, Annual Progress Report 2019.

34.   UN-Habitat, 2019, Presentation to the Joint Annual Consultations: Status of Implementation of UN-Habitat Strategic plan 2014-2019: Highlights of Results, Outcomes, Challenges, Lessons.

Subprogramme 2: Urban Planning and Design

Key Normative Products

- International Guidelines on Urban and Territorial Planning[35] include an integrated human-based approach. The guidelines are becoming an effective tool and the guidelines have been polished in over 13 languages.

- Sustainability Toolbox for the Implementation of the Municipal Spatial Planning Support Programme[36]

- Block by Block Minecraft Methodology[37]

- First Global Report on National Urban Policy[38]

- How to Formulate a National Urban Policy and the National Urban Policy: A Guiding Framework[39]

- Development of guiding principles on urban-rural linkages brought together over 130 partners, including FAO, GIZ, IFAD, UNEP, WFP, WHO etc

Challenges: Challenges encountered under this subprogramme included inadequate political support on territorial approaches, and insufficient coordination between the headquarters and regional and country offices. Although policies were developed, resources for developing normative tools to support implementation of the policies were limited.

35.   UN-Habitat, 2014, Annual Progress Report 2014: Implementation of the Strategic Plan (2014-2019).
36.   UN-Habitat, 2015, Annual Progress Report 2015: Implementation of the Strategic Plan (2014-2019).
37.   UN-Habitat, 2017, Annual Progress Report 2016: Demonstrating Results of the Strategic Plan 2014-2019.
38.   UN-Habitat, 2018, Working for a Better Urban Future: Annual Progress Report 2018.
39.   UN-Habitat, 2019, Annual Progress Report 2019.

Subprogramme 3: Urban Economy	
Strategic result: Improved urban strategies and policies that promote inclusive economic development, sustainable livelihoods and enhanced municipal finance.	
EA 1: Improved capacity of partner cities to adopt strategies supportive of inclusive economic growth.	**Met**
EA 2: Enhanced capacity of partner cities to adopt urban policies or programmes supportive of improved and sustainable livelihoods with a focus on urban youth and women.	**Not Met**
EA 3: Improved capacity of partner cities to adopt policies, plans and strategies for improved urban and municipal finance.	**Met**

General Achievements: Achievements are also noted to be inclusive which especially evident in relation to the Urban Youth Fund and the One Stop Youth Resource Center Models.[40]

Key Achievements

- Over 5,000 jobs created as a result of the development of the Nyakwere open air market in Kenya, technically supported by UN-Habitat.

- 30 partner cities prepared local economic development plans in 2018 based on economic assessments

- 17 cities in Saudi Arabia developed local economic development plans in 2018, engagement of over 200 young men and 250 young women in participatory planning in 13 cities, using tools such as Minecraft.

- Established new One Stop Centres in South Sudan (2), Kenya (2) and Somalia (2)

- Capacity development activities delivered to 664 startup businesses in Mongolia via community engagement and enterprise development[41]

- 1,874 Somalian Youth trained through the One-stop Youth Resource Center in Mogadishu contributing to the establishment of 87 youth businesses

- UN-Habitat supported 30 partner cities to develop local economic development plans

- Assisted 8 Afghan municipalities to collect USD 13.1 million in revenues.

- Engaged 61 cities in urban youth development programmes through the Urban Youth Fund the One Stop Youth Resource centres[42], training over 100,000 young people

- Co-chaired the UN Inter-agency Network on Yotuh Development (2012, 2018); penholder for the UN Youth Strategy; gave substantive input to UN Security Council Resolution 2250 on Youth Peace and Security;

- Co-hosted the Asker Conference on Youth Engagement (2014, 2016, 2018); was secretariat for Youth 21 initiative to enhance engagement of youth in the UN system which led to the establishment of the Envoy on Youth to the Secretary General position (2015)

- A total of 47 local authorities provided with technical assistance for improving their revenue generating capacity

- Nine partner cities adopted policies and programmes for improved urban and municipal finance

40. UN-Habitat, 2019, Presentation to the Joint Annual Consultations: Status of Implementation of UN-Habitat Strategic plan 2014-2019: Highlights of Results, Outcomes, Challenges, Lessons.

41. UN-Habitat, 2018, Working for a Better Urban Future: Annual Progress Report 2018.

42. UN-Habitat, 2019, Annual Progress Report 2019.

Subprogramme 3: Urban Economy

Key Normative Products

- Rapid Own Source Revenue Analysis Toolkit

- 26 research and policy reports developed encouraging inclusive economic growth

- Global Municipal Finance Database

- Planning and Productive Policies Toolkit[43]

- Global

- Crosscutting Issues Progress Report (2015, 2016, 2017, 2018, 2019)

- Refugee Youth: Good Practices in Urban Resettlement Contexts

- Strengthening Policy for Young Women in the Changing World of Work, Case Study: Kampala Municipality, Uganda

- The Berlin Agenda on Urban Youth

- Youth Law and Legislative Frameworks Affecting Urban Youth

- Global State of Urban Youth Report 2015 / 2016: Urban Equity and Youth Development

- Youth and the City: Lessons from the 13 innovative projects funded by the Cities Alliance Catalytic Fund and the UN-Habitat Urban Youth Fund

- Indigenous Peoples and the City Declaration

- LGBTI Declaration on Sustainable Urbanization

- Youth DeclarACTION for the New Urban Agenda

- Youth and the New Urban agenda (5 languages)

- Developing Public Spaces and Land Value[44]

- Climate, Youth Peace and Security (General Assembly).

- Urban Youth Impact Podcast

- Promoting Entrepreneurship for Migrants and Refugee Youth in Cities.

Challenges: It has been noted that the results achieved under this subprogramme have been inhibited by resource availability, and lack of urban economic expertise in country and regional offices and lack of partnerships with relevant ministers of finances.[45]

43.   UN-Habitat, 2019, Annual Progress Report 2019.

44.   UN-Habitat, 2019, Presentation to the Joint Annual Consultations: Status of Implementation of UN-Habitat Strategic plan 2014–2019: Highlights of Results, Outcomes, Challenges, Lessons.

45.   UN-Habitat, 2019, Annual Progress Report 2019.

Subprogramme 4: Urban Basic Services	
Strategic result: Increased equitable access to urban basic services and the standard of living of the urban poor.	
EA 1: Improved policies and guidelines on equitable access to sustainable urban basic services implemented by local, regional and national authorities.	**Partially met**
EA 2: Enhanced enabling environment for promoting investments in urban basic services in partner countries, with a focus on the urban poor.	**Met**
EA 3: Increased coverage of sustainable urban basic services in targeted communities.	**Partially met**

General Achievements: Large increases in investments were witnessed as a part of this subprogramme. For example, The Urban Basic Services Trust Fund has raised 1 billion USD in matching grants for water and sanitation services in informal settlements and Global Water Operators' Partnerships Alliance (GWOPA) has mobilized 390 million USD in funds to increase capacity of local utilities and between 2014-2019, GWOPA added 181 additional water operator's partners to its network.

Key Achievements

- 169 partner cities are members of the global Waste Wise Cities Campaign.

- 31 local governments developed sustainable access and climate change action plans in 2019 with support from UN-Habitat.

- 65 cities from 35 African countries participate in the knowledge sharing 'African Clean Cities' platform.

- 6,500 people, including almost 2,000 living below the poverty line have improved access to safe water in Cambodia.

- In partnership, UN-Habitat supported the implementation of the national Water and Sanitation Masterplan in Nepal resulting in 100% national coverage for sanitation.

- Supported capacity building activities in Lao PDR which contributed to access to water for 26,420 people.

- 650 Kenyan practitioners and 350 practitioners from Côte d'Ivoire trained in sustainable energy options including energy efficiency in building and renewable energy technologies.[46]

- 840,000 urban residents in 15 towns of five East African Countries: Kenya, Uganda, Tanzania, Rwanda, Burundi benefited from safe drinking water, sanitation and waste management services.

- Pilot bike-sharing systems in Kenya and India have benefitted 46,000 people.

- 8,000 people benefitted from 57 locations from partners constructing flood resilient water and sanitation facilities in schools in Ghana in 2017.[47]

- African Clean Cities Platform (ACCP) was established for sharing knowledge on waste management and by 2019 this platform includes 64 cities from 35 counties

- 80 local governments joined the Waste Wise Cities Campaign.

46. UN-Habitat, 2019, Annual Progress Report 2019.
47. UN-Habitat, 2018, Annual Progress Report 2017.

Subprogramme 4: Urban Basic Services

Key Normative Products

- The Handbook on Sustainable Building Design for Tropical Countries.[48]

- The BEWOP Operational Tool series.

- Guidelines for the Application of Small-Scale, Decentralized Wastewater Treatment Systems: A Code of Practice for Decision Makers.

- Climate Proofing Toolkit for Basic Urban Infrastructure.

- Net Zero Carbon Village Planning Guidelines.

- A Manual on the right to Water and Sanitation developed together with COHRE.

- Handbook for Realizing the Rights to Water and Sanitation.[49]

- Progress on Wastewater Treatment: Piloting the Monitoring Methodology and Initial findings for SDG Indicator 6.3.1.

Challenges: factors affecting the achievement of results in this subprogramme included the limited technical and financial capacities of small but fast growing cities to plan and implement sustainable urban services and insufficient funding in UN-Habitat to support countries in implementing policies and frameworks.

48.   UN-Habitat, 2018, Annual Progress Report 2017.
49.   UN-Habitat, 2019, Presentation to the Joint Annual Consultations: Status of Implementation of UN-Habitat Strategic plan 2014-2019: Highlights of Results, Outcomes, Challenges, Lessons.

Subprogramme 5: Housing and Slum Upgrading	
Strategic result: Improved access to adequate and sustainable housing, improve the standard of living in slums and curb the growth of new slums in an inclusive manner.	
EA 1: Improved housing policies strategies or programmes in line with the principles of the Global Housing Strategy and the promotion of the realization of the Right to Adequate Housing as a component of the Right to an Adequate Standard of Living.	**Met**
EA 2: Improved slum upgrading and prevention policies, strategies or programmes.	**Partially met**
EA 3: 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.	**Partially met**
General Achievements: Activities and outputs relating to subprogramme 5 included the development of several influential knowledge product which have informed evidence-based advocacy in relation to the informal economy, housing rights, inclusive legislation and climate change adaption.	

Key Achievements

- 34 national housing policies, 21 national slum upgrading policies and prevention policies, and 32 city wide slum upgrading and prevention strategies adopted following policy advice from UN-Habitat

- Participatory Slum Upgrading Project (PSUP) has supported the development of 40 national and regional wide strategies for slum upgrading.

- 3,000 urban stakeholders were capacitated on participatory housing and slum upgrading

- 800,000 people were protected from evictions and were engaged in improving living conditions with the right to stay

- 28 countries avoided evictions.

- 2,000 urban stakeholders participated in capacity building activities.

- 3 countries used the Global Housing Strategy to 2025 to inform implementation of national housing policies and programmes.

- Technical support provided to 56 countries for the revision of policies and regulatory frameworks for slum upgrading.

- Activities in nine countries, including community-managed funds and pilot project implementation, affected 516,203 people.

- Over 30,000 people in Dakar have improved mobility options, security of tenure and access to microfinance through support from PSUP.[50]

- Pilot project in Burkina Faso improved sanitation for 6,115 households in 2015.

- 30 Namibian decision-making stakeholders participated in training activities regarding integrating residents into local housing solutions in 2015.[51]

- 7,500 people in a single slum in Burkina Faso were connected to a formal water supply in 2016.

- Improved sanitation and economic improvements provided to over 43,000 people in the Democratic Republic of the Congo in 2016.

- 42 countries received technical advice on conducting in-depth analysis of housing sector. Slum Situation Analysis conducted in Fiji in 2016 in response to natural disasters.[52]

- In 2017, over 160 cities across 40 countries were implementing slum upgrading activities in relation to PSUP.[53]

- The Participatory Slum Upgrading Programme (PSUP) reached out to 10.4 million people living in 39 ACP countries.

50.   UN–Habitat, 2019, Annual Progress Report 2019.
51   UN–Habitat, 2015, Annual Progress Report 2015: Implementation of the Strategic Plan (2014–2019).
52.   UN–Habitat, 2017, Annual Progress Report 2016: Demonstrating Results of the Strategic Plan 2014-2019.
53.   UN–Habitat, 2018, Annual Progress Report 2017.

Subprogramme 5: Housing and Slum Upgrading

Key Normative Products

- New Urban Agenda has prioritized the realization of the right to adequate housing. Paragraph 105 commits Member States to foster the progressive realization of the right to adequate housing as a component of the right to an adequate standard of living. This contributes to UN-Habitat's advocacy for improved housing. More than 100 countries have a constitutional provision on the right to adequate housing.

- UN-Habitat developed 52 provisions on housing rights.

- The New Global Housing Strategy address the challenge of slums, inadequate housing and urban poverty.

- 56 countries have formulated strategies at national and local levels.

- The Prevention of Homelessness as a component of the Right to Adequate Housing and Housing Migrants.

- Sherpa tool.

- Prevention of Homelessness report.

- Housing Migrants Report.[54]

- Various publications in financing for slum upgrading informal economy, inclusive legislation, integrated urban policies, climate change adaption, Slum Almanac 2015, financing for slum upgrading and affordable housing and incremental housing.

Challenges: An impact evaluation of UN-Habitat's Housing Approach found that the subprogramme achieved substantial results but that this was underreported due to some poorly formed indicators that did not attempt to properly quantify all aspects of outcomes achieved by the project, including influence. In addition, other challenges related to project design and results chain gaps have been identified.[55]

54.   UN-Habitat, 2019, Annual Progress Report 2019.
55.   the evaluation of the Strengthening National Capacities to Formulate and Adopt Housing and Slum Upgrading Strategies 2018,

Subprogramme 6: Risk Reduction and Rehabilitation

Strategic result: Increased resilience of cities to the impacts of natural and human-made crises and undertake rehabilitation in ways that advance sustainable urban development

EA 1: Improved urban risk-reduction policies, strategies and programmes adopted for greater resilience of cities and other human settlements.	**Partially met**
EA 2: Improved settlements recovery and reconstruction interventions for long-term sustainability in cities and other human settlements.	**Met**
EA 3: Improved shelter rehabilitation programmes in crisis responses contributing to sustainable and resilient cities and other human settlements.	**Met**

General Achievements: In relation to risk reduction and resilience the results of activities have focused on the development and utilization of tools and action plans. In contrast, efforts in relation to reconstruction, rehabilitation and recovery have resulted in a combination of physical outputs and learning. Resources include guidelines, handbooks, informative videos, online platform, thematic newsletters and global reports. The resources have been used to train 600 individuals. Examples of achievement from the implementation of subprogramme 5 include the provision of support to governments including urban risk reduction and management in the plans, to support construction of durable shelters in post-disaster settings, support to partner cities to implement reconstruction programmes, and assistance in facilitating learning and understanding around urban resilience among key stakeholders.[56]

Key Achievements

- 56 cities in 28 countries utilized the City Resilience Profiling Tool to measure and strengthen resilience and improve consideration of cross-cutting equity issues.

- More than 600 urban stakeholders trained in using resilience measurement and strengthening tools.

- 30 municipal stakeholders in Dakar, Senegal trained in urban data mapping.

- Over 47,000 people in Afghanistan have benefitted from changes identified following the implementation of the City Resilience Program.

- Support to the State Government of Kerala in India resulted in temporary housing reaching 5,000 homeowners.[57]

- 6,000 people in Iraq benefitted from rehabilitated houses following war damage.

- 170,000 people in Sudan benefitted from improved health facilities in Darfur.

- UN-Habitat's innovative methodologies contributed to the reconstruction of 35,000 properly serviced homes to benefit 200,000 people.[58]

- 4,500 cities are members of the 'Making Cities Resilient' campaign to make commitments to improve the resilience of their cities through actions and awareness raising.

- 4 cities have developed and are implementing Actions for Resilience strategies aligned with the SDGs.[59]

56. UN-Habitat, 2019, Presentation to the Joint Annual Consultations: Status of Implementation of UN-Habitat Strategic plan 2014-2019: Highlights of Results, Outcomes, Challenges, Lessons.
57. UN-Habitat, 2019, Annual Progress Report 2019.
58. UN-Habitat, 2018, Working for a Better Urban Future: Annual Progress Report 2018.
59. UN-Habitat, 2019, Presentation to the Joint Annual Consultations: Status of Implementation of UN-Habitat Strategic plan 2014-2019: Highlights of Results, Outcomes, Challenges, Lessons.

Subprogramme 6: Risk Reduction and Rehabilitation

Key Normative Products

- Urban Profiling for Better Responses to Humanitarian Crises.

- Supporting Safer Housing Reconstruction After Disasters.[60]

- The Trends in Urban Resilience report which has been downloaded over 500 times and is utilized by experts, academics and practitioners.[61]

- 2014 Launch of the Medellin Collaboration for Urban Resilience that brings together main resilient actors.

- 2016 Launch of Global Alliance for urban crises to increase awareness and effective response to urban crisis.

- 2017 Launch of the Making Cities Sustainable and Resilient Action – a joint initiative with UN-Habitat, UNDRR and EC -DEVCO. The initiative covered cities of Maputo in Mozambique; Asuncion in Paraguay; Port Vila in Vanuatu and Dakar in Senegal.

- Twenty learning resources of knowledge products to facilitate training and understanding around urban resilient among key stakeholders, including local governments, national governments, and civil society groups

Challenges: A lack of adequate financing to implement the City Resilience Profiling Tool in partner cities was considered major challenge of this subprogramme. There was also a need for a system approach to build resilience by consensus among key stakeholders.

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60.   UN-Habitat, 2019, Annual Progress Report 2019.

61.   UN-Habitat, 2019, Presentation to the Joint Annual Consultations: Status of Implementation of UN-Habitat Strategic plan 2014-2019: Highlights of Results, Outcomes, Challenges, Lessons.

Subprogramme 7: Research and Capacity Development

Strategic result: Improved knowledge on sustainable urbanization issues and capacity for the formulation of evidence-based policies and programmes at the local, national and global levels

EA 1: Improved monitoring of global urbanization conditions and trends.	**Met**
EA 2: Improved knowledge of sustainable urbanization issues at the local, national and global levels for evidence-based formulation.	**Not Met**
EA 3: Improved capacity of national and local authorities and partners to implement plans or strategies for sustainable urbanization.	**Met**

General Achievements: Capacity Development Unit delivered training programs and capacity building workshops in support of the localization of the SDG11 and the New Urban Agenda in cities of Asia, Africa and Latin America which targeted decision makers and technical cadre of national and local governments. By the end of 2019, the Global Urban Lectures and associated resources had reached more than 60,000 views.

Key Achievements

• 540 cities across 13 countries are implementing the City Prosperity Initiative for progress towards sustainable urbanization.

• 355 urban observatories are using UN-Habitat tools.

• 416 local governments have used UN-Habitat publications in decision making.

• 17 cities in Ethiopia have implemented the City Performance Monitoring Framework.

• 90 countries participated in regional workshops to support the development of tools and methodologies.

• 2000 people from 100 cities and 50 countries participated in training and capacity development activities related to monitoring.[62][63] By 2019, Global Urban Lectures and associated resources had reached more than 60,000 views

• An additional 47 countries used UN-Habitat's data collection methods and approaches

• An additional 26 partner national statistics offices produced urban data and indicators linked with the SDGs.[64]

Key Normative Products

• Global Flagship Reports: The World Cities Report (WCR) 2016

• State of Regional Cities reports

• State of National Cities Reports

• National Sample of Cities.

• City definition methodology.

• Slum area definition tools and methodologies.

• New Urban Agenda Implementation Guidelines.

• The Future of Asian and Pacific Cities 2019: Transformative Pathways Towards Sustainable Urban Development.[65]

62.   Self Evaluation 201

63.   UN-Habitat, 2019, Annual Progress Report 2019.

64.   UN-Habitat, 2019, Presentation to the Joint Annual Consultations: Status of Implementation of UN-Habitat Strategic plan 2014-2019: Highlights of Results, Outcomes, Challenges, Lessons.

65.   UN-Habitat, 2019, Annual Progress Report 2019.

Subprogramme 7: Research and Capacity Development

Challenges: The demand and requirement for technical assistance for human settlements statistics is greater than UN-Habitat and all other relevant stakeholders can provide with current resource limitations resulting in critical gaps in the availability of some data. In addition, insufficient core funding has resulted in a downsizing of staff and activities under focus area 7 and has particularly impacted the Global indicators Programme and the World Cities Report. Decreasingly available resources have resulted in an increased focus of project work and a decreased ability to fulfil the capacity building and knowledge management aspects of the mandate. The reduced posts in the subprogramme reduced UN-Habitat's ability to work with Member States and other UN agencies and other partners to collect and analyses data and distill knowledge to support the implementation of global agendas.

Other enabling and hindering factors affecting effectiveness.

Partnerships have been a key factor in the achievement of results under several subprogrammes. UN-Habitat partnered with the International Science Council and Institute of Urban Environment, UNECE, OECD, UCLG, Cities Alliance, Government of South Africa among others to develop NUPs. Through collaboration with UN-Water, UN-Energy and UN Regional Commission, advocacy efforts resulted in mainstreaming urbanization issues in the formulation of the SDGs targets for energy, sustainable transport, water and sanitation and waste management. Similarly, collaboration with UNEP and WHO, led to the Global Expanded Monitoring Initiative for water. The implementation of some activities in partnerships under subprogramme 7 assisted the achievement of results such as refining and testing the global CPI methodology for the development of performance indicators. UN- Habitat has leveraged considerable additional resources through effective partnerships and some of these partnerships are based on comparative advantages. However, the outcomes associated with these partnerships are difficult to assess due to insufficient progress monitoring data.

The availability of funds, especially non-earmarked funds, severely hindered UN-Habitat's ability to achieve results. Throughout the implementation of the strategic plan earmarked funding for specific purposes were higher than the non-earmarked funding for core activities. The voluntary non-earmarked funding was less than 10% of the approved non-earmarked budget and was inadequate to respond core functions and other organization priorities.

The reliance on tied (earmarked) funding for projects and programmes meant that organization's priorities was not financed in a balanced manner. Whereas the normative work of the organization was assessed as important, it was generally under resourced. For instance, subprogramme 7 had to scale down its global indicators programme and reduce its depth of its World Cities Reports because of insufficient resources.

Box 5. Urban Planning and Design Lab work in post-crisis contexts

UN-Habitat, in partnership, through the Urban Planning and Design Lab (The Lab) is achieving substantial results in post-crisis planning contexts, especially relating to refugee migration. For example, in Turkana, Kenya The Lab collaborated with several other international organizations and UN agencies towards a plan for a refugee settlement. In planning the settlement UN-Habitat adopted a cutting-edge approach which moved away from traditional camp style settlements toward an integrated and healthy settlement. This approach assisted with reduced tensions and conflict between the host community and the refugee settlement.[66]

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66.   UN-Habitat, 2019, Annual Progress Report 2019.

Other factors impacting on the level of achievement for UN-Habitat were administrative bottlenecks and uncertainty, lack of formal results recording mechanisms. The administrative and strategic restructuring undertaken by UN-Habitat in 2017 was noted to somewhat constrict UN-Habitat's effectiveness. Ongoing and pending governance reform has resulted in a period of sustained uncertainty for the organization and has inhibited the achievement of results.[67] However, the completion of the reform is hindered by insufficient funds to successfully implement the restructuring at all levels. The regional offices are yet to be restructured in line with recommendations because of insufficient funding. Administrative bottlenecks and a lack of formal reporting and learning mechanisms further hinder success.

Improvements in integration of programming were witnessed over the period but gaps still exist and are being driven by financial difficulties. UN-Habitat's need to leverage funding is often in contradiction to the organizational mandate of addressing underlying causes of unsustainable urbanization. UN-Habitat's pivot towards an integrated approach to sustainable urbanization was not fully achieved during the 2014-2019 period due to a relatively siloed approach in each of the seven subprogrammes. This siloed approach to programming has also impacted on the financial resources available to the organization and staffing levels. Such an approach has promoted project-specific, earmarked funding which cannot be utilized for core project requirements such as coordination and administrative staff. A shortage of such staff undermines the effectiveness of activities. Effectiveness is undermined by the lack of coherence and coordination of project activities. It also forces technical experts to take on administrative tasks resulting in an underutilization of expertise as illustrated in Figure 5.

Figure 5. Resource utilization of technical expertise
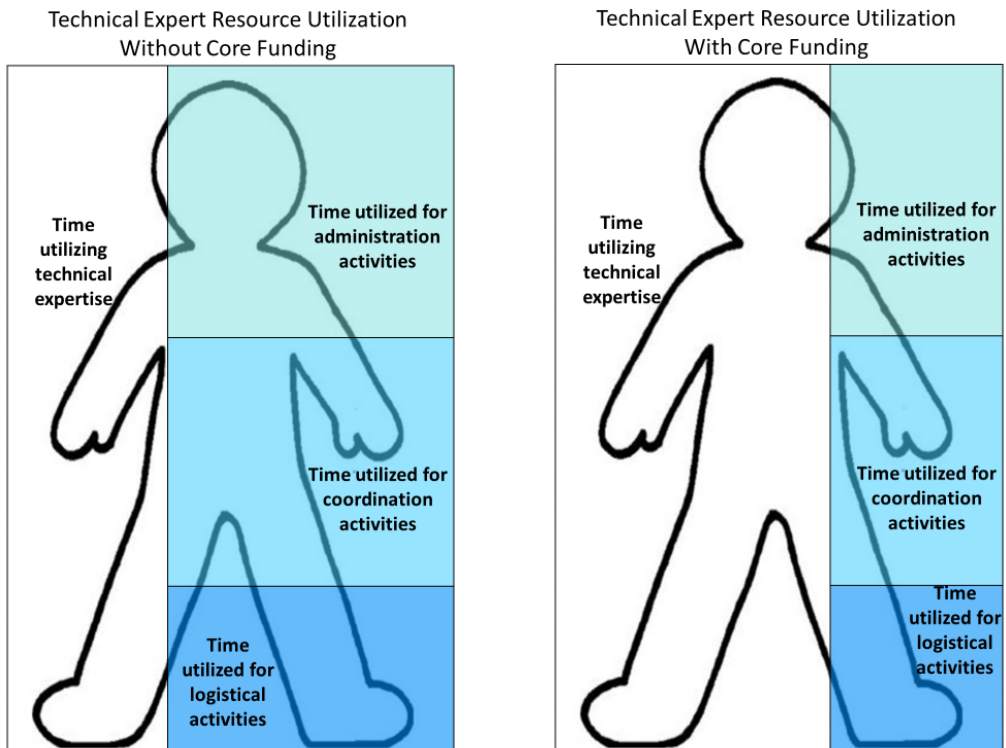
67. OIOS, 2015, Evaluation of the United Nations Human Settlements Programme.

UN-Habitat's recent governance reform has improved effectiveness and communication. The establishment of a new organizational governance and assembly structure including an Executive Board has facilitated a more even distribution of responsibilities across the organization. Feedback from stakeholders indicates that despite the recent nature of this reform improvements in communication between UN-Habitat and Member States is already being witnessed. As part of the recent organizational reform process, eight priority areas for focus were identified. Based on the document review and interviews at all levels of the organization, the evaluation team generated the following indicative assessment to demonstrate the progress across the eight priorities and a summary of key points arising in the evaluation. The assessment identified weaknesses in internal systems that undermined effectiveness across the organization. (see Figure 6).

The ability of the smaller Executive Board as a representative body of Member States to meet more frequently than previous board meetings facilitates this improved communication. Such communication provides Member States with more frequent and coherent information and has the potential to keep Member States more informed, engaged and involved with UN-Habitat's activities. As such, the new structure may also increase Member State's confidence and improve accountability and transparency as well as improve continuous feedback and troubleshooting processes. In addition to improving communication with Member States the reform has also facilitated improved internal communication. Increased information availability and circulation through town halls and newsletters as a result of the reform. Some internal stakeholders suggested this assisted them to feel more engaged ad connected with the organization. However, further consideration is required to ensure that field personnel have the same level of engagement and connection.

Figure 6. Change Management Priorities Performance Assessment

Change Management Process Priorities	Performance Assessment			
Overall assessment (assessment is based on triangulated data across evidence sources but is indicative only)	Substantial progress was achieved in addressing change management priorities but priorities 3 and 6 are still at critical levels and require urgent attention.			
	Low	Medium	High	Comment
Priority 1: Vision to foster values-driven approaches to achieve **shared vision and purpose**				The SP approach was too fragmented across too many priorities, leading to dispersed focus. The new SP helps to provide focus but is still broad and not easy to be understood. **Sharper focus and clear articulation of a few key priorities, including communication of core purpose is still required**.
Priority 2: To **deliver impact** at scale in all that the organization does to change lives for the better				Performance in projects is generally good, resulting in positive impact. UN-Habitat needs to have **more credible and visible in reporting** of successes. Also **increased scaling up** of positive results through normative and transformational approaches but these starts with well-designed achievable projects that can be monitored, evaluated and results reported...
Priority 3: To **regain trust** and confidence of donors to deliver UN-Habitat mandate				During the SP period, trust eroded, largely due to poor communication and insufficient response to MS interests. It has improved but legacy issues are difficult to overcome without strong systems and sufficient budget to **address communication gaps**.

Change Management Process Priorities	Performance Assessment			
Overall assessment (assessment is based on triangulated data across evidence sources but is indicative only)	Substantial progress was achieved in addressing change management priorities but priorities 3 and 6 are still at critical levels and require urgent attention.			
	Low	Medium	High	Comment
Priority 4: To **collaborate** effectively within UN system and externally to achieve more results				Collaboration is constrained by tied funding but is important for UN-Habitat to achieve its potential reach. It has been improved through the SDG custodian role, the GA, d growth of key networks but **more connection to UN Reform** and **global leadership processes** are required.
Priority 5: To create a safe and productive workplace where **talents thrive**				Staff caliber and talents are high, but morale is low. It increased during 2018-2019 but declined again mainly due to financial constraints in **operationalizing the restructure**.
Priority 6: To get **systems and processes right** for maximum efficiency				This is UN-Habitat's greatest weakness. Operational systems are too bureaucratic and hard to manage. Reporting is project and programme based, not integrated and not sufficiently integrated to **demonstrate accountability and results to stakeholders.**
Priority 7: Leadership to engage and empower people to collectively drive change				Leadership of UN-Habitat has strengthened given the prominence of focus on cities and associated concerns. The **improvement has been positive but there is far more potential** to be reached.
Priority 8: To comprehensively implement the New Urban Agenda to achieve the urban SDGs and **contribute better to** other **global priorities**.				The NUA and urban-related SDGs are strongly embedded into most of UN-Habitat's work and results are in line with global priorities. The main issues relate to **insufficient visibility** of UN-Habitat in its leadership role.

Efficiency

Efficiency (Key Evaluation Q6): How efficiently has UN-Habitat harnessed its resources (financial, human and partnerships) to achieve planned results in the Strategic Plan 2014-2019?

Financial efficiency.

UN-Habitat's funds were disproportionately earmarked undermining the organization's ability to meet the mandate and expected accomplishments. UN-Habitat voluntary contributions have been predominately earmarked, representing almost 90% of all available funds. .). Consequently, UN-Habitat activities were dictated by projectized funding giving less flexibility for the organization to prioritize strategic, intersectoral work. The paucity of unearmarked funds severely limits UN-Habitat's ability to make strategic programming decisions and to implement approved work programmes especially in normative areas, which attract lower levels of funding than operational activities. Financial pressures dictate more focus on operational activities and increases the risk of valuable normative work being lost because of attracting less funding.[68]

68. United Nations General Assembly, 2017, Report of the High-Level Independent Panel to Assess and Enhance the Effectiveness of UN-Habitat

Insufficient core resources constrained achievement of strategic plan targets and contributed to weaknesses in organizational systems. The composition of earmarked funding and non-earmarked resources has persisted over the entire strategy period as illustrated in Figure 8. As a result, UN-Habitat has been unable to invest in the development of core functions. Insufficient core funding significantly affected the ability of the organization. There has been investment in UMOJA and systems supporting governance and financial management. These are substantially improving efficiency. Broadening donor base and mobilizing them to provide non-earmarked funding to enable UN-Habitat's prioritization to implement its work. More effort can be made to leverage funds from demonstrating the value of existing programs and seeking mutli-year funding, engaging stakeholders to contribute complementary funding, wider fund raising from potential non-traditional partners, as is already being pursued through the private sector strategy.

Figure 7. UN–Habitat's Core and Earmarked Funding 2014–2019
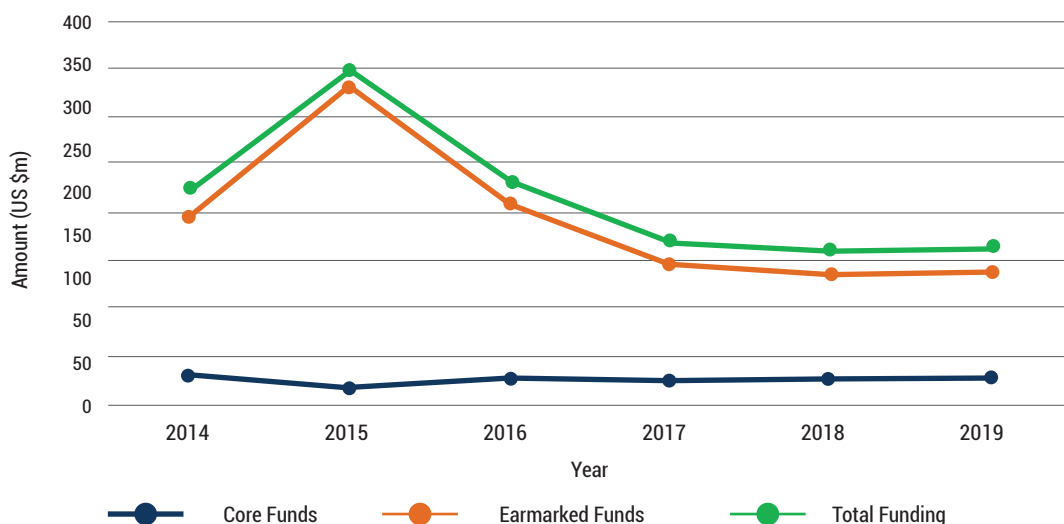
Unpaid contributions significantly impacted on UN-Habitat's ability to achieve results. As shown in 7 income from foundation general purpose (non -earmarked) is an important aspect of UN-Habitat's core income. The total approved budget for Foundation general purpose income, for 2014-2019 was US$117.3. However, the income was only US$28.3, 24% of the approved budget. This had a negative impact on the organization structure that had been planned to support the seven subprogrammes of the strategic plan. It had unfilled key post throughout the implementation of the strategic plan. For the 2018-2019 beinnium workprogramme, only 36 out of the approved 130 Foundation General Purpose posts were filled.

Core income received over the Strategic Plan period was insufficient to fund necessary systems and enablers of success. The ongoing and challenging nature of limited core resources led UN-Habitat to draw on other funding sources for maintaining core functions (Table 5). There are still substantial funding gaps in communication, monitoring and evaluation, quality assurance and risk management. These are critical core functions in any institution and the scarce resources mean that the organizational systems are unable to operate at optimal efficiency. As a result, the organisation has not been able to address critical gaps in core functions or develop these systems further for organisational progress and to enable achievement of results. Without enhanced commitment to contributions by Member States and other contributors to UN-Habitat's mandate and additional resources for core functions, there will be a need to continue to scale back operations.

Table 5. Core Income and Expenditure 2014–2019

Year	Core Income	Core Expenditure	Differential	Expenditure Rate
2014	$29,706,000	$31,799,000	-$2,093,000	107%
2015	$15,734,000	$13,432,000	$2,302,000	85%
2016	$25,139,895	$30,045,816	-$4,905,921	120%
2017	$24,375,918	$31,053,287	-$6,677,369	127%
2018	$26,752,104	$30,093,930	-$3,341,826	112%
2019	$26,332,026	$31,579,166	-$5,247,140	120%
Total 2014-2019	$148,039,943	$168,003,199	-$19,963,256	113%

Source: Project accrual and Accountability system (PAAS)

UN-Habitat implements and delivers value for money projects but encounters several challenges in delivering efficient projects. Project managers have adapted to changing political landscapes in countries and shifted to align projects to local priorities[69]. However, some challenges limit the efficiency of projects and programmes. Some stakeholder interviewed confirmed that operations of UN-Habitat being delivered timely within agreed budgets and timeframes but others said there were always delays in UN-Habitat's delivery. Unpredictable and insufficient funds that were available for UN-Habitat core functions underpinned its weaknesses and somehow reduced its efficiency. During the internal stakeholder interviews, staff voiced a concern about delays in project implementation attributed to, delays in approvals from governments and local authorities, denied access to some project areas, internal bureaucracy and some difficulties with the UMOJA system.

Systems and procedures

The introduction of new systems has improved transparency, accountability and efficiency but require further efforts to encourage use and make fit-for-purpose. The UMOJA system, introduced in 2015, increased compliance with UN rules and regulations and good practice of management requirements. The system has enhanced capacity for budgeting and is an integrated single platform for all financial transactions types. However, achieving compliance required a significant resource investment and represented a large burden to UN-Habitat as a small organization. The approval processes hinder flexibility and responsiveness to local conditions, particularly in rapidly changing contexts such as in humanitarian response. Some interviewed staff indicated that Umoja application to UN-Habitat structure has been complex. Allocation of funds could not happen in a systematic way due to irregular inflow of funds from donors. This meant continuous adjustments of budgets in the system, which reduced operational efficiency, especially at regional and country level operations. Furthermore, field staff felt that UMOJA was not appropriate for project implementation, so functionality and access challenges persist. For example, the Hargeisa Urban Water Supply Upgrading Project in Somalia that was scheduled to end in 2016 but had not been completed as of June 2019 attributing some delays to UMOJA system.

UN secretarial rules, procedures and bureaucracy burdens the organization, inhibits results achievement and further strains limited resources. UN-Habitat's governance and management structure functions prior to the restructuring process did not meet the organisation's need for efficiency and timely decision-making. The inflexibility and arduous nature of UN processes and procedures pose constraints to the organization's efficiency. For example, internal stakeholders indicated 80% of the agreements are extended because of centralized systems and UN-rules that delay the approval processes. Furthermore, UN systems do not adequately account for UN-Habitat's small size in comparison to other UN agencies when

69.   Achieving Sustainable Urban Development Evaluation Report, phase 1. 2017

allocating funding. This insufficient acknowledgement of UN-Habitat's size also constrains UN-Habitat's ability to compete with other UN agencies for funds, especially regular budget funds. To leverage resources UN-Habitat currently charges between 7-13% in Project Support Costs (PSC), which is high compared to other UN agencies. UN-Habitat field staff expressed their concern that in the context of competitionwith larger UN agencies 13% PSC charge places UN-Habitat at a disadvantage.

UN-Habitat does not have an efficient, integrated management information system to track its programme results. Once outputs are achieved, the mechanisms to track the contributions of each subprogramme to expected outcomes and impact at organizational level are not adequate. Knowledge management tools, such as the Project Accrual and Accountability System (PAAS), do not have updated data to generate monitoring reports and information related to implementing partners. Instead, staff maintained these documents outside the system[70]. UN-Habitat staff indicate that PAAS is not regularly updated by project managers inhibiting its usefulness as a data repository. Furthermore, the project management and strategic management modules that were supposed to enable roll out of UMOJA version II, are yet to be enabled in the system due to lack of resources.

Human resources

UN-Habitat's internal recruitment systems and procedures are inefficient. UN-Habitat utilizes the recruiting processes of the United Nations Office at Nairobi (UNON). However, UN-Habitat staff disclosed that the recruitment process takes an average of 90 days and requires different levels of approval for even basic human resourcing decisions. The length of this process increases project lead time and makes the recruitment process less efficient. Some internal stakeholders indicated that recruiting an international staff member through this process can take as long as the entire project. As a result, UN-Habitat staff opt for

faster recruitment alternatives such as the recruitment systems of UNDP and UNOPS. However, while faster, these processes are added costs to already yearly UNON paid costs and represent a less cost-effective option[71].

Low funding levels are having a detrimental impact on human resources within the organization. The stakeholder interviews consistently highlighted that the passion and expertise of UN-Habitat staff are one of the organization's greatest assets. Out of the approved 130 posts, only 36 were filled in 2019, down from 61 filled in 2014. Often staff take on additional responsibility for a project beyond their roles in attempts to fill some of the financial resource gaps. For instance, the GLTN project evaluation noted that the secretariat takes on a combined workload in the absence of funding to increase staff numbers. Staff shortages were noted to impact on efficiency and consequently effectiveness. High levels of multitasking and outsourcing means that staff members operate efficiently but are over-stretched and overburdened, risking loss of efficiency over the longer term. Decreasing staff numbers represents a significant threat to UN-Habitat. The Research and Capacity Development Branch (Subprogramme 7) and Economy Branch and Municipal Finance (Subprogramme 3) were mostly under resourced which impacted negatively on the quality and reliability of products[72]. One internal stakeholder noted that "the coordinators are the enablers" that make the organization work efficiently but with decreasing funding,staff members are leaving the organization. Similarly, country office representatives revealed reliance on partner ' project resources for monitoring activities because UN-Habitat's had insufficient funding for mobility. One country office was reported to have gone for four months without salaries and activities had to be halted for some time due to a lack of core resources. Furthermore, unfilled positions is leading to an increased reliance on external consultants, which in turn results in an internal expertise and expertise gap and loss of knowledge capital[73]. Such a cycle is a significant draw on staff morale and overall efficiency for UN-Habitat and is impacting on results achieved.

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70.   OIOS 2019, Audit of United Nations Human Settlement Programme on Regional Office of Africa
71.   Mid – Term Evaluation of the Implementation of UN–Habitat's Strategic Plan 2014 – 2019 (2017)).
72.   OIOS 2018, Research and Capacity Development Audit
73.   Ernest and Young 2019, Independent Financial and Review of UN–Habitat.

Partnerships

UN-Habitat made partnerships that are efficient but could be further harnessed to enable programme and project implementation and enhance its visibility.
As mentioned in the above section on effectiveness UN-Habitat effectively harnessed several partnerships to achieve intended results. The increased global relevance of UN-Habitat's mandate, publicized through the development of the NUA and national Urban Policies, has assisted UN-Habitat to attract new earmarked funds for particular projects, including normative activities. However, this further facilitated a shift away from UN-

Habitat priorities and the mandate towards projects of donor interest. During the interviews with UN-Habitat staff, they reported that project portfolios are expanding in country and this was attributed to political good will built by staff through their collaboration with partners. Such collaborations have also assisted UN-Habitat to respond to country priorities. UN-Habitat's long-term presence in a region and particular countries helped to build relations and trust with key partners and strengthened credibility. The efficiency of partnerships however was undermined by a lack of systematic monitoring.

Coherence

Coherence (Key evaluation Q7&8); How clear have UN-Habitat policies and other strategies been in terms of clarity and coherence of linkages between agency's operational and normative work streams at global, regional and country levels? To what extent did UN-Habitat implement the strategic plan in coherence and synergy with other interventions and global agendas?

Box 6. Progress Towards Global Coherence

The level of engagement of UN-Habitat with global agendas, including the SDGs, has increased, and broadened over the study period. Specific project documents increased the clarity of links between UN-Habitat activities and the wider range of SDGs.[74] There was a simultaneous strategic emphasis on global agendas throughout the levels of UN-Habitat illustrating UN-Habitat's alignment with the SDGs beyond SDG 11 suggesting that the organization could contribute to progress on "up to 40 out of the 169 targets".[75] Similarly, individual country offices and programmes have been shown to have considered UN-Habitat's activities across as many as five separate global agendas and frameworks in the development of specific tools.[76]
In addition, UN-Habitat's restructure has illustrated a stronger strategic alignment with the principles of the 2030 Agenda. For example, the establishment of the Human Rights and Social inclusion Unit improves

integration of the 'no-one left behind' principle of the 2030 Agenda and signifies UN-Habitat's commitment to coherence with global agendas and frameworks.

As the only UN agency with a specific focus on sustainable urbanization, UN-Habitat has strongly linked its implementation activities with the New Urban Agenda. This specialized role is acknowledged at the project level[77], as well as at the strategic level.[78] The integral relevance of the New Urban Agenda to UN-Habitat's activities resulted in clearer evidence regarding coherence to this global framework emerging more rapidly compared with other global agendas and frameworks. However, UN-Habitat's alignment with global frameworks has, in some cases, been somewhat undermined by a hesitancy by some partner organizations to address these frameworks in projects and outcome targets.[79]

74.   European Union, 2016, Initial Action Document for the Participatory Slum Upgrading Programme 3.
75.   UN-Habitat, 2016, UN-Habitat and Its Reform – Reform and Relevance Note.
76.   OIOS, 2018, Audit of the United Nations Human Settlements Programme in Barcelona.
77.   Melikyan, L, 2019, Mid-Term Evaluation Accelerating Climate Action Through the Promotion of Urban Low Emission Development Strategies (Urban-Leds II).
78.   UN-Habitat. 2016, Updated Communication Strategy 2016.
79.   OIOS, 2018, Audit of the United Nations Human Settlements Programme in Barcelona.

External coherence.

The extent of coherence of UN-Habitat's implementation with global frameworks and agendas has increased and changed drastically over time The strategic plan, covered a period of significant global change and as such UN-Habitat has had to adapt. This adaption has included attempts to engage with many global frameworks including the NUA, the 2030 Agenda, the Sendai Framework for Disaster Reduction, and the Paris Agreement on Climate Change. The integration of these frameworks and agendas into UN-Habitat's implementation activities varies but has become more pronounced over the strategy period. Early documentation, immediately following the global adoption of the 2030 Agenda and associated SDGs discussed the framework as a background and context within which UN-Habitat operates as opposed to UN-Habitat's direct contributions towards achievement of the goals.[80] Most early examples of contribution to the SDGs refer only to SDG 11 'sustainable cities and communities' as opposed to identifying UN-Habitat's broader contribution to the 2030 Agenda as a whole. This engagement has changed over the period but UN-Habitat is to be commended for ongoing and increasing coherence with global frameworks given the drastically changing international context of development as discussed in Box 7. The adoption of SDG 11 has supported this process and represents an important rallying point for the organization because it provides a strong and clear mandate. Further, the funding received from Norway and Sweden to assist in developing the new strategic plan 2020-2023 was greatly appreciated to take a participatory approach to developing a more coherent strategy and raise the profile of strategic objectives.

While limited in number, the partnerships and networks that UN-Habitat does possess are strong and can be utilized to progress the organization. The previously mentioned WUF and the first UN-Habitat General Assembly are important platforms for engagement and meaningful dialogue with external stakeholders. There are also many specific examples joint programme engagement such as with the World Bank and the Kenyan government to develop actions plans related to urban planning, slum upgrading and capacity building. Similar interventions were considered in Rwanda and Uganda.[81] In Rwanda UN-Habitat collaborated effectively with the Global Green Growth Institute towards the Green City's Concept and a second phase of the ASUD project.[82] Global networks are also important for building coherent approaches. A good example is the global collaboration through the Compact of Mayors that has over 10,000 members. There is a trend within UN-Habitat to establish networks, but these are often not maintained and nurtured as needed and so are not sustained. Furthermore, some partner governments during the evaluation stated that UN-Habitat has taken different non-aligned approaches within the same country, sometimes with operational activities being conducted without national governments being properly informed. This has led to confusion, reduced effectiveness and increased reputational risks. This may be a product of the disjointed nature of the organization between normative and operational work streams and the seven thematic pillars. However, these occurrences support a notion of incoherence between UN-Habitat as a whole and partners, both governments and implementing patrners.

UN-Habitat is largely considered to work coherently with other UN agencies. UN-Habitat ensures coherence with UN agencies through adopting mechanisms such as the United Nations Development Assistance Framework (UNDAF) during the Strategic Plan period – now the UN Country Sustainable Development Framework (UNCSDF) - and the UN System Wide Policy on Gender Equality and the Empowerment of Women. Both of these mechanisms are integrated into UN-Habitat's strategic documents including the Partnership strategy developed in 2011 and the Policy and Plan on Gender Equality developed in 2015. Other evidence of UN-Habitat's coherence with other UN agencies is participation in UNSDG activities and especially contribution in active task teams. UN-Habitat collaborated with over 24 organizations to develop a blueprint for UN progress towards sustainable urban development.[83]

80.   UN–Habitat, 2016, Evaluation of the Regional Office for Arab States.
81.   UN–Habitat, 2018. Working for a Better Urban Future: Annual Progress Report 2018.
82.   UN–Habitat, 2017. Evaluation of the UN–Habitat Programme for Achieving Sustainable Development: Phase 1.
83.   UN–Habitat, 2011, UN–Habitat Partnership Strategy.

Box 7. Informal Settlements: A Good Practice Example of Partnerships

UN-Habitat's work in relation to housing and slum upgrading under subprogramme 5 is integral to the organization's mandate. Informal settlements are an area of UN-Habitat's activities which is noted to be a positive example across all evaluation criteria. The importance of managing informal settlements for governments shows the relevance of UN-Habitat's work in this area. Informal settlements are often an area where governments request additional assistance. These settlements can have wide ranging impacts including lack of infrastructure, high migrant populations, squatters and civil unrest hotspots. These concerns combined with the location of many informal settlements beyond the boundary of the city places increased pressure on city systems and represents a significant challenge for governments.

UN-Habitat's holistic urban planning approach to informal settlements compared with many other development actors' narrower perspective of addressing immediate needs within settlements is greatly appreciated by stakeholders. The demand for this unique approach has led to a significant emphasis and portion of UN-Habitat's work focusing on informal settlements. This work is noted to be extremely effective because of UN-Habitat's proactive and solutions-based approach to minimizing the establishment of informal settlements by integrating tenants into the city eliminates the need for expanding service and infrastructure coverage and reduces poverty levels. In addition, by adopting a solutions-based approach, UN-Habitat encourages the sustainability of measures and benefits beyond the scope of engagement as well as encouraging learning from the project through an e-learning platform containing impact stories and case studies.[86]

Similarly, UN-Habitat's leadership role in the development of the UN System-wide Strategy on Sustainable Urbanization.[84] Other areas of coherence with UN agencies include UN-Habitat's work on climate change through the Urban-LEDS project, in line with UN wide efforts on climate change and collaboration for identification of priorities for shared knowledge management towards the UN collaborative Implementation Framework.[85] Further improving UN-Habitat's coherence with UN agencies is their willingness and attempts to work with UN country teams to coordinate efforts. Internal stakeholders indicate this increased profile has been further exacerbated by UN-Habitat's prominence in relation to the NUA. While this positive approach was discussed by internal stakeholders during consultation it was noted that there is no formal reporting framework to encourage uptake of this approach. UN-Habitat has taken on a more active role in the previous two years within the UN system with the new York Office of UN-Habitat indicating that the programme has contributed to the development of guidance notes on country common analysis and sustainable development cooperation framework, the Chief Executive Board, Strategic Management group and High-level Committee on programmes as well as the Inter-Agency Standing Committee for Humanitarian Affairs.

UN-Habitat's unique mandate allows the organization to avoid duplication and provide a point of difference compared with other agencies. This allows UN-Habitat to work in areas where other agencies do not. A prime example of this is UN-Habitat's work on informal settlements and slums. As outlined in Box 5, UN-Habitat's approach to informal settlements and slums is comprehensive, proactive, integrated and solution-based. In comparison, other agencies' work in informal settlements and slums often adopts a more demand driven and siloed approach which focuses on one aspect of sustainable urbanization, such as service delivery, within these contexts. UN-Habitat's comparative advantage in providing this holistic approach has increased the effectiveness and relevance of these programs and coherence with other urbanization actors.

84. UN–Habitat, 2019. Annual Progress Report 2019.

85. Melikyan, L, 2019, Mid–Term Evaluation Accelerating Climate Action Through the Promotion of Urban Low Emission Development Strategies (Urban–Leds II).

86. www.mypsup.org

Another positive example of UN-Habitat's coherence with UN agencies is the work in urban crisis prevention and response. UN-Habitat's unique work in this area is not duplicated by any other actor and feedback from other UN agencies highlights UN-Habitat's key role in this space. The technical knowledge and expertise of UN-Habitat staff is acknowledged and appreciated by stakeholders.

Internal coherence

Positive examples of alignment between Subprogramme streams of work and coherence between operational and normative activities yields good results. Generally, UN-Habitat attempts to align work across operational and normative contexts, across thematic areas, with global agendas and with partners' priorities. There are some positive examples of the thematic approach prompting considerations of cohesion and collaboration such as the Participatory and Inclusive Land Readjustment (PILaR) tool which combines efforts across thematic areas. Another good example is the PSUP project which identified activities at the technical, operational, and administrative levels at the local, national, regional, and global scales and the importance of consistence across these.[87] These findings were carried into the following project phase via the establishment of a steering committee to ensure the coherence of the project and the alignment of the project's operational activities with the governance and policy requirements of the contexts.[88] The Urban Low Emission Development Strategies (Urban-LEDS) project's simultaneous outputs of multi-level governance/vertical integration combined with capacity building activities is designed to encourage the mainstreaming of activities and targets based on an improved knowledge base.[89] Such efforts at coherence across all levels of the organization and all thematic areas have proven to be integral to generating impact and transformational change. While overall UN-Habitat's implementation for the Strategic Plan 2014-2019 is considered coherent there are some examples where coherence could have been improved or maximized for utilization. Internal coherence between operational and normative contexts

has improved over time but evidence relating to coherence between thematic areas is still comparatively weak.

A lack of coherence between operational and normative work streams undermines the value of both streams and is a significant cost for the organization. UN-Habitat's original mandate situates the organization at the nexus between normative and operational activities.

This approach was described in the 2016 publication *UN-Habitat and its Reform – Reform and Relevance Note* as "UN-Habitat's work is designed to be a hybrid of normative and technical cooperation work, in which a virtuous circle of knowledge production is applied to work in the field, which in turn is picked up through a rejuvenated knowledge management function, and applied back to the normative work." (pg. 1) However, this intended coherence has not been sufficiently integrated into the organization. This lack of coherence has materialized into a competitive environment and lack of communication between the two streams resulting in organizational inefficiencies.[90] UN-Habitat pioneered a three-pronged approach to sustainable urbanization based on providing rules and regulations, urban design and financial planning services. While this approach was designed to encourage an integrated approach to sustainable urbanization, in reality, it resulted in UN-Habitat providing a wide variety of services but with no clear message. As such there are sentiments that the organization is spread too thinly across thematic areas and needs to reconsolidate to provide a clear message regarding UN-Habitat's point of comparative advantage across both normative and operational work. The two aspects of the organization in some cases target separate markets for their products. While this is partially due to competing priorities of governments and Member States, it is exacerbated by a lack of internal coherence.

87. Stoquart, R & Majale, M, 2015, Mid-Term Evaluation of the Participatory Slum Upgrading Programme II.
88. European Union, 2016, Initial Action Document for the Participatory Slum Upgrading Programme 3.
89. Melikyan, L, 2019, Mid-Term Evaluation Accelerating Climate Action Through the Promotion of Urban Low Emission Development Strategies (Urban-Leds II).
90. United Nations General Assembly, 2017, Report of the High-Level Independent Panel to Assess and Enhance the Effectiveness of UN-Habitat.

Perceived tension between normative and operational work streams exacerbates disconnect. During the stakeholder interviews, sentiments were raised that UN-Habitat has become more of a 'consultancy company' than a UN agency. The effects of such an approach have been multiple. Firstly, this approach has required the organization to rely heavily on external consultants. This has led to a drastic drainage of knowledge and capacity and a loss of social capital as well as eroding of core knowledge built through UN-Habitat activities. Such a disconnect is exacerbated by the primarily normative nature of work at the HQ level and the largely operationally activities at the regional level and the limited acknowledgement of the importance of both work streams.[91] This disconnect is both evidenced and exacerbated by the incomplete nature of the organizational restructuring at the regional level due to limited resources. Incoherence between HQ and regional offices combined with the halted restructure process contributes to the current, fragmented programming approach. It further contributes to 'insufficient cascading of strategic' priorities throughout the organization and limits the ability of UN-Habitat to implement an integrated approach to programming. This disconnect varies in prevalence between the regions with the Regional Office for Asia and the Pacific (ROAP) highlighting numerous benefits of their close relationship with HQ including increased ability to leverage funding, expanded networks and several joint programme initiatives.[92] In contrast, while acknowledging the benefits of HQ relations the Regional Office of Latin America and the Caribbean (ROLAC) highlighted the need for improved cohesion, communication, and lines of support between HQ and ROLAC.[93]

A lack of coherence is also present between country offices and HQ. Mechanisms for collaboration between HQ and country offices are present including backstopping missions by HQ, project team visits to HQ and consultant and email exchanges. However, these mechanisms have been shown to be relatively ineffective, partly as a result of a lack of "clear guidelines on how synergies between HQ and the projects in country should come about".[94] As a result, some country programmes record a low level of engagement during country visits by HQ staff. Other evidence of a disconnect between Country Offices and HQ includes limited availability and support by HQ staff to respond to specific requests and queries from country offices, limited length and engagement of HQ visits to countries and challenges in financial management systems between HQ and country offices.[95, 96] This limited coherence contributes to the ongoing fragmented nature of UN-Habitat's activities in some countries and the continued low levels of engagement at the national level undermining UN-Habitat's potential for impact. There are also isolated examples of country strategies which have not been as responsive to UN-Habitat's strategic shifts as others. It was noted that this may be a result of limited guidance on how each office was expected to adapt.[97]

91.   UN-Habitat, 2016, UN-Habitat and Its Reform – Reform and Relevance Note
92.   UN-Habitat, 2016, Regional Strategic Plan for Asia And Pacific States.
93.   UN-Habitat, 2016, Regional Strategic Plan – United Nations Human Settlements Programme Office for Latin America and the Caribbean.
94.   UN-Habitat, 2017. Evaluation of the UN-Habitat Programme for Achieving Sustainable Development: Phase 1. Page 39.
95.   UN-Habitat Sudan, 2015, Evaluation of the UN-Habitat Sudan Country Programme 2012–2015.
96.   UN-Habitat, 2017, Evaluation of UN-Habitat Country Programme in Afghanistan 2012–2016.
97.   OIOS, 2015, Evaluation of the United Nations Human Settlements Programme.

Sustainability

Sustainability (Key Evaluation Q9&10) Did strategic programmatic, structural management adjustments improve performance towards the implementation of the Strategic Plan 2020-2023 to optimize synergy and overcome gaps in implementation? To what extent results achieved under the Strategic Plan 2014-2019 are likely to be maintained, replicated, and scaled in 2020-2023?

UN-Habitat's capacity building and solution focused approach to sustainable urbanization has been shown to have the potential for positive and sustainable results when implemented correctly. Project benefits are most likely to be sustained following prolonged periods of integrated engagement. For example, keeping slum upgrading and other aspects of sustainable urbanization at the top of political agendas requires ongoing political engagement.[98] Accordingly, in contexts of constrained resources many governments have made the decision to discontinue their engagement with some UN-Habitat initiatives. This combined with dwindling levels of political ownership undermines the potential for sustainable benefits from UN-Habitat's activities.

There are localized examples of positive sustainability through community engagement and capacity building, but such approaches have not been institutionally integrated. These activities have included promoting financial ownership of a project and associated benefits to encourage deeper community engagement beyond community leaders. Such approaches address sentiments of 'empty' consultation where community members are not fully engaged with a project and are less likely to have ownership and continue project activities and benefits beyond the end of the project.[100] Similarly, encouraging project engagement by municipalities through capacity building efforts and inclusion in project activities has been identified as a contributing factor to ongoing engagement and sustainability. However, it has been shown that this

engagement needs to be integrated across governments in order to be effective. Sharing such lessons widely within UN-Habitat would encourage uptake and replication of good practices.

UN-Habitat has built capacities and sustainable outcomes by advocating for the integration of sustainable urbanization into national policies and strategies. UN-Habitat's ability to utilize networks for advocacy is an integral part of sustaining projects benefits. PSUP communication and advocacy activities are noted to have contributed to the formulation of urban development, housing and slum upgrading strategies in several countries, including Ghana and Fiji. Similarly, the ASUD project implemented and advocated for an innovative approach to horizontal government engagement. These advocacy efforts led to requests for replication and scaling up in other contexts.[101] Furthermore, the project 'Promoting Sustainable Transport Solutions for East African Cities' is illustrated through an external evaluation to have produced results which are likely to be sustained. The evaluation of this project noted that 'a critical mass of activities and momentum' had been built which would result in an ongoing increased emphasis on sustainable transport outcomes. This momentum has flowed into political support and decision-making roles resulting in a likelihood of ongoing action.[102]

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98.   Stoquart, R & Majale, M, 2015, Mid-Term Evaluation of the Participatory Slum Upgrading Programme II.

99.   Ibid

100.   Melikyan, L, 2019, Mid-Term Evaluation Accelerating Climate Action Through the Promotion of Urban Low Emission Development Strategies (Urban-Leds II)

101.   UN-Habitat, 2017. Evaluation of the UN-Habitat Programme for Achieving Sustainable Development: Phase 1

102.   United Nations Environment Programme and The Global Environment Facility, 2019, Terminal Evaluation of the UN Environment-GEF Funded Project "Promoting Sustainable Transport Solutions for East African Cities".

Sustainability is undermined by a 'project' approach which is driven by a need to secure funding. UN-Habitat's lack of available funds has forced the organization to 'chase funds' and conduct projects which can be used to leverage further funding. This necessitated approach has resulted in a disjointed and siloed approach to programming characterized by many small and disjointed projects. Such an approach undermines the opportunity of UN-Habitat to implement the proven solutions-based approach and longer-term engagement identified above. For example, the sustainability of PSUP activities and benefits has been hindered by economic constraints. The resource intensive nature of project activities and a high level of dependence on external funding streams has been identified as the "Achilles heel" of project continuation and sustainability.[103] Furthermore, a disjointed approach to programming characterized by limited funding opportunities has hindered post tracking of project results as there is often not funds available for follow-

on projects or monitoring inhibiting the opportunities for learning, scaling up and replication. Sustainability has been somewhat institutionalized into UN-Habitat's strategies with plans to replicate, mainstream and upscale approaches. However, evidence regarding the outcomes of these plans is minimal.[104]

UN-Habitat's contribution to sustainable urban development is significant but insufficient and was hindered by poor reporting during the Strategic Plan period. UN-Habitat has a proven blueprint for sustainable outcomes when all available tools are implemented correctly. Such tools include capacity building activities, integration of sustainable urbanization considerations into policies and plans, solution focused activities and community engagement. However, the impacts of these activities are not sufficiently recorded to facilitate replication and scaling up and have largely remained as isolated examples due to the fragmented 'project' approach of UN-Habitat.

Impact

> **Impact (Key Evaluation Q11).** What changes have occurred as a result of implementation of the Strategic Plan 2014-2019 that may contribute to SDGs targets, poverty reduction, economic growth, social benefits, environment improvements, social cohesion or other transformational changes?

UN-Habitat has a powerful impact model but gaps in integration and scale of achievements constrains potential of full impact. There is extremely high potential for positive benefits from UN-Habitat investments towards more sustainable, better functioning and more equitable cities. UN-Habitat is demonstrating relevant strategic approaches towards this potential but has faced, and continues to face, challenges in delivery of the most relevant approaches mainly due to a financial crisis. It is assessed that UN-Habitat contributes significantly to delivery of substantive outcomes and impact at programmes and projects levels, but these are not adequately documented and reported.

More attention and resources are needed to be devoted to building a stronger evidence base on outcomes and impact. It was difficult to determine actual outcomes and results associate with specific interventions given the limited evaluative evidence. Reporting was generally focused on activities and outputs rather than actual outcomes and impact. However, the evaluation noted that UN-Habitat was now investing in the impact evaluations. By the time of this evaluation, there was ongoing impact evaluation of the UN-Habitat Housing Approach on adequate, affordable housing and poverty reduction.

103.   Stoquart, R & Majale, M, 2015, Mid-Term Evaluation of the Participatory Slum Upgrading Programme II.
104.   UN-Habitat, 2015, GPP: UN-Habitat Policy and Plan for Gender Equality and the Empowerment of Women in Urban Development and Human Settlements 2014-2019.

The level of transformational change and impact generated by UN-Habitat's activities is illustrated to some extent but is less evidenced than the delivery of outputs and planned activities. There are some good practice examples of clearly demonstrated causal links between UN-Habitat's activities and associated impact. Some projects outline the links between activities, outcomes, and impact but few provide evidence of achievement against such a framework.[105] Similarly, the work of UN-Habitat Iraq on integrating camps within city limits to improve housing, economic and service access outcomes is noted to enhance social cohesion but there is no supporting data presented. Overall, it appears that UN-Habitat contributes significantly to impact but there is limited supportive evidence.

UN-Habitat has a powerful impact model but gaps in integration and scale of achievements constrains potential of full impact. There is extremely high potential for positive benefit from UN-Habitat investments towards more sustainable, better functioning and more equitable cities. The relevance of UN-Habitat's activities to current global contexts combined with UN-Habitat's proven ability to produce results suggests the UN-Habitat's impact can be large. While UN-Habitat is demonstrating relevant strategic approaches towards this, potential challenges persist in delivery of the most relevant approaches mainly due to a financial crisis.

Ongoing engagement and activities contribute to greater impact. Results have been shown to be more sustainable and generate a greater impact when they are the result of ongoing engagement with governments. For example, ongoing engagement with the national government over a two-year period contributed to the development and finalization of the Kenyan National Urban Development Policy. Similarly, the second phase of CCCI learnt from lessons and experiences from the first phase and started disseminating, replicating and scaling up its country and city level experiences amongst UN-Habitat's regional and global network of partners, As a result,48 regional or national networks begun to address the issue of cities and climate change, and five countries approved national climate change policies that address the urban and local government

dimension of climate change. A total of 43 cities in 23 countries had introduced urban dimensions into climate change agreements, policies, bylaws and other related instruments.[106] This policy considered many aspects of sustainable urbanization and integrated both global and national development frameworks.[107]

An integrated operational and normative approach is integral to wider and lasting impact. The development of land tools through normative work streams, followed by the implementation of such tools at the operational level has been shown to have wider impact beyond improved land tenure security in the case of GLTN. The joint normative and operational process has contributed to investment in infrastructure and services, improved enabling conditions for sustainable development and reduced poverty.[108] Yet, the current "money stream" is tied to operational work / projects rather than normative work both at the local and global levels and contributed to fragmented impact. This challenge for the new Strategic Plan must be overcome by UN-Habitat being far clearer on the added value of normative work and its own mandate towards wider, transformational impact. This will require stronger advocacy to partners to add funding for normative actions. It will also mean adjusting project review criteria to prioritize projects with normative components. This will then improve the circular interaction between normative products and operational activities.

Greatest benefits were noted where normative products have been contextualized based on knowledge generated through in-field pilots or from project learning. However, the opportunities for collaboration between the two work streams was undermined by a largely siloed approach across the seven subprogrammes as well as low levels of core funding to finance normative work. An evaluation of UN-Habitat's Country Programme in Sri Lanka found that there is an internal reluctance and inability to develop approaches which successfully integrate both normative and operational work despite the demonstrated benefits of this approach and an expressed demand from countries.[109]

105.   UN-Habitat, 2016, Evaluation of the Regional Office for Arab States.

106.   Mid-Term evaluation of the Cities and Climate change Initiatives, page 10

107.   UN-Habitat, 2017, UN-Habitat Global Activities Report 2017.

108.   UN-Habitat, 2018, End-of-Phase-Evaluation: Global Land Tool Network (GLTN) – Phase 2

109.   Van Houten, S & Leelaratne, M, 2018, Evaluation of UN-Habitat's Country Programme in Sri Lanka, 2013-2017

There is a need to better showcase results and outcomes achieved of complementary normative and technical work performed by UN-Habitat Branches and field offices. For example, urban financing is noted to be a good practice example of the interplay between normative and operational work streams with new methodologies related to municipal financing having been developed and piloted with nine partner cities having adopted new policies and plans.

Figure 9. Illustration of UN–Habitat's Impact Model for progress towards transformational change
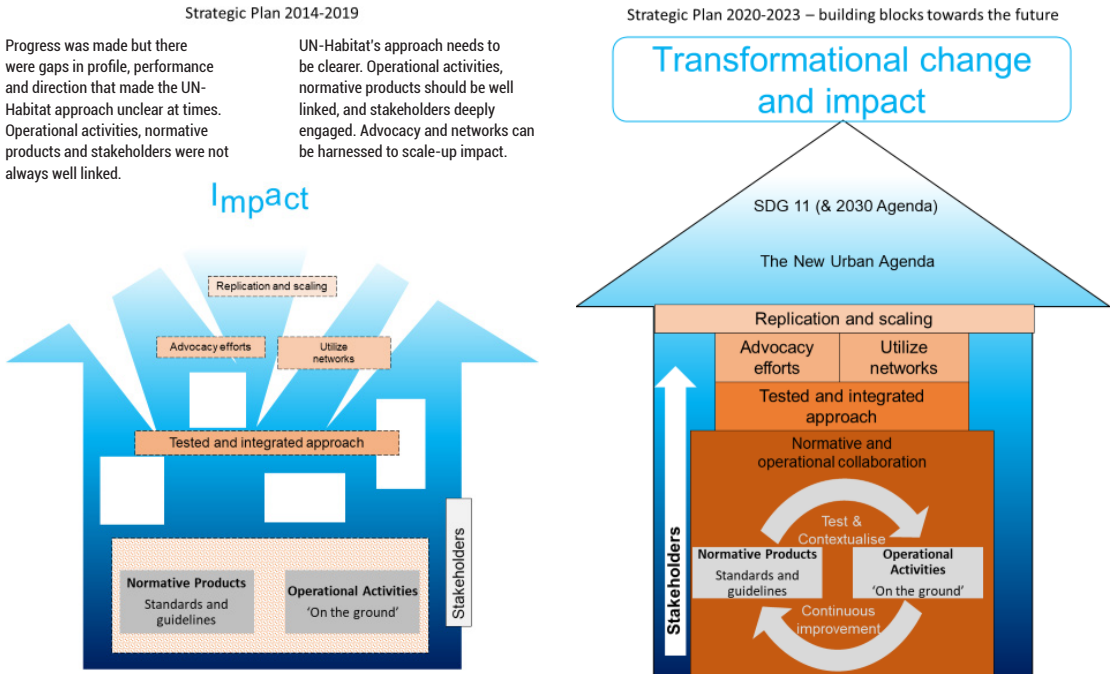
Cross-Cutting Issues

Cross-Cutting Issues (Key Evaluation Q12): How were cross-cutting issues of gender, human rights, youth, and climate change integrated into the implementation and measurement of achievements of the strategic plan?

UN-Habitat's ability to embed cross-cutting issues is characterized by some good practice examples but is not mainstreamed in all activities. There were improvements in integrating the cross-cutting issues in planning and design of projects and through key strategic documents, especially noted through the development of cross-cutting markers in 2016. Integration of gender considerations has improved but is still not effective throughout the organization due to a lack of specific expertise within implementation staff. Similarly, some projects have resulted in extremely positive results for youth, but these approaches have not been mainstreamed. Human rights are perhaps the most positive example of mainstreaming as it has been seamlessly integrated into strategic, operational and normative aspects of UN-Habitat's work and also received specialized organizational capacity building during the Strategic Plan period, but this area is also inhibited by limited capacity and resources. Achievements in advocating for and supporting human rights, for instance in the case of sustainable settlements for displaced persons, affordable and accessible housing as a basic human right, amongst many others are not sufficiently captured, recognized and promoted. Climate change considerations are of increasing profile within the organization and recently gathered increased momentum with the release of the new Strategic Plan. Overall, there was less evidence of cross-cutting issues being implemented and effectively monitored and assessed in the programmes and projects.

Gender was increasingly mainstreamed but was still not effective. Gender mainstreaming has been an increasing focus for UN-Habitat over the strategic plan period. This is evidenced in the development of gender specific policies and the integration of gender considerations into other strategic documents. In particular, the development of a gender marker in 2016 assisted with integrating gender considerations into project design. However, with the exception of the gender marker, the mention of gender in these documents and some project level documents does not equate to mainstreaming or deep integration across the entire Strategic Plan and rather appears as a 'box ticking exercise'. For example, the Policy and Plan on Gender Equality developed in 2015 showed a willingness of UN-Habitat to address gender inequality. As an institution wide policy and action plan this document was not considered by relevant stakeholders to provide sufficient guidance for how gender considerations should be mainstreamed into activities. This was identified to be partly a result of limited gender specific expertise beyond the cross-cutting unit (now the Human Rights and Social Inclusion Unit) within the organization.

There were some exemplary examples of mainstreaming youth considerations, but these were yet to be embedded within the organization. Mechanisms to mainstream youth considerations were generally better reported than other cross-cutting issues. Such mechanisms include involving youth in consultation activities and decision-making bodies.[110] In addition, there were a number of specific activities which targeting youth including the Global Youth Fund and Youth One Stop Centers which addressed underemployment.[111] Additionally, UN-Habitat specifically advocated for the integration of youth and gender considerations in the Land Use Plan and Master Plan of Santa Marta in Colombia. This resulted in planned zones of affordable housing for youth.[112] However, these good practice approaches were yet to be institutionalized into the organizations strategic documents or upscaled to other contexts.

110.   Stoquart, R & Majale, M, 2015, Mid-Term Evaluation of the Participatory Slum Upgrading Programme II.
111.   UN-Habitat, 2016, UN-Habitat and Its Reform – Reform and Relevance Note.
112.   UN-Habitat, 2017. Evaluation of the UN-Habitat Programme for Achieving Sustainable Development: Phase 1.

United Nations Secretary-General at the Slum Soccer Field, Mathare One Stop Youth Centre © UN-Habitat

Progress on mainstreaming climate change within the organization was slow but is gathering momentum and improving rapidly. UN-Habitat's approach to integrating climate change has focused on risk reduction and increasing resilience under thematic pillar six both across projects and strategies. Such specific activities include the Cities and Climate Change Initiative, Urban-LEDS Project and the Urban Electric Mobility Initiative.[113] However, the integration of climate considerations into the NUA and UN-Habitat's commitment to implementing the agenda has placed increased emphasis on climate change within the organization. In addition, this renewed focus on climate change within the organization has simultaneously broadened focus beyond infrastructure towards planning and designing for climate considerations.

There appeared to be a drive from staff to adopt this new climate emphasis and integrate into activities, particularly in countries with high proportions of vulnerable informal settlements. There are also new financing opportunities that may raise the potential of new partnerships and initiatives.

Overall, the integration of cross-cutting issues is severely impacted by low funding levels. Many of the offices responsible for ensuring the mainstreaming of cross-cutting issues were under-staffed and did not have sufficient expertise. This results in some isolated exemplary examples, but the organization lacked the capacity to mainstream these approaches and integrate into a proactive work programme. As such the potential for impact was largely minimized as a result of the limited funding available to address these issues.

113.   UN-Habitat, 2016, UN-Habitat and Its Reform – Reform and Relevance Note.

Box 8. Mainstreaming Human Rights: good practices and increasing focus.

Human rights are deemed to be intrinsic to UN-Habitat's work. The areas in which UN-Habitat work are strongly linked with numerous human rights including access to safe and affordable housing and the right to safe drinking water and sanitation. For example, the work of GWOPA in increasing service provision to low-income households intrinsically addresses equality of access to clean water and sanitation.

As such, while there is less evidence of mainstreaming human rights compared with the other cross-cutting issues, they are clearly considered. UN-Habitat's participatory and capacity building approaches embody an acknowledgement of human rights and dignity.[114] For instance, project design documents integrate human rights into the project approach and are important considerations in project implementation activities.[115, 116]

This suggests that there are few formal mechanisms for mainstreaming human rights as they are automatically engrained into UN-Habitat's mandate and approach. However, integration and mainstreaming could be further improved by explicitly reporting the mechanisms and outcomes of human rights approaches for learning and replication purposes. Human rights also receive less attention in staffing decisions which could strengthen evidence of UN-Habitat's commitment to mainstreaming human rights.[117] Such a commitment is becoming clearer with UN-Habitat's organizational reform and restructure processes through the inclusion of the Human Rights and Social Inclusion Unit.

Reporting

The programmes and projects implemented under the Strategic Plan 2014-2019 do not systematically document outcome level performance. Review of data from various sources provided general information that points to substantial benefits from UN-Habitat investments and activities. However, data available on performance between 2014-2019 is patchy and incomplete but through interviews, this is attributed to poor monitoring systems rather than lack of performance.

Recent changes within UN-Habitat signify an increased emphasis on reporting for accountability, transparency and learning objectives but further improvement is required. These changes have translated to a strategic commitment, but this has not yet been reflected across all areas of the organization. UN-Habitat's limited financial and human resources constrain the organization's capacity to generate and report quality information and results, including through designated evaluation functions. Future improvements to reporting mechanisms should include addressing the current imbalance on output reporting as oppose to outcome reporting, increasing the collection and reporting of data relating to high-level targets and improved evaluation coverage. It was noted that these current gaps contribute to lower overall levels of perceived success. In addition, despite UN-Habitat's attempts to adopt an integrated approach to addressing sustainable urbanization, internal reporting processes have lagged behind and maintained a linear and siloed approach.[118] However, it was also acknowledged that 'UN-Habitat made measurable improvements in its approach to defining and managing towards its targeted results during the period evaluated'.[119]

114. UN-Habitat, 2019, Evaluation of the Strategic Development Phase for the Global Future Cities Programme.

115. European Union, 2016, Initial Action Document for the Participatory Slum Upgrading Programme 3.

116. Van Houten, S & Leelaratne, M, 2018, Evaluation of UN-Habitat's Country Programme in Sri Lanka, 2013-2017

117. OIOS, 2019, Audit of the United Nations Human Settlements Programme's Regional Office for Africa .

118. UN-Habitat, 2019, Presentation to the Joint Annual Consultations: Status of Implementation of UN-Habitat Strategic plan 2014-2019: Highlights of Results, Outcomes, Challenges, Lessons.

119. OIOS, 2015, Evaluation of the United Nations Human Settlements Programme (pg.2).

Box 9. Reporting processes represent a significant opportunity for improvement

Weaknesses in UN-Habitat's monitoring and reporting mechanisms led to a gap in verifiable data and subsequently inadequately illustrates the benefits of activities. The 2015 OIOS Audit highlighted that a lack of verifiable evidence which has been systematically reported undermined UN-Habitat's level of achievement. This was evident at all levels of UN-Habitat. For instance, OIOS found that at the regional level progress reports were sometimes structured more around a storyline of country achievements rather than systematically providing verifiable data relating to target results. At the country level there was evidence of delivered outputs without verifiable data related to impact. Furthermore, at the project level some documents made broad and unverifiable statements regarding the delivery of outputs, and achievement of outcomes and impact. Indicators which are not properly contextualized, especially at the outcome level further contributes to difficulties in reporting and assessing impact. For example, outcome level indicators for subprogramme two were all quantitative in nature and therefore unsuitable to capture valuable qualitative information. The number of institutions are counted, but the capacity built is not measured, and, there is limited information on how the cities involved are implementing urban planning, management due to unavailability of performance data at project and programme levels in PAAS. There was a tendency within the organization for separate evaluation reports of operational and normative activities. Such an approach undermines illustration of UN-Habitat's propensity for creating transformational change through the direct relationship between these work streams and their importance in advocacy and networking efforts. A lack of reporting at all levels was attributed by some internal stakeholders to the lack of clear and formal processes and systems.

UN-Habitat acknowledges shortfalls in reporting processes and is actively addressing them. UN-Habitat has increased integration of monitoring and reporting mechanisms into strategic documents in response to identified gaps. The 2015 Policy and Plan on Gender Equality specifies an evaluation 'at least once in the programme cycle to assess the extent to which the intended objectives have been achieved' and identified monitoring as essential for 'learning lessons, informing decision-making and improving performance' (pg 33). The 2016 communications strategy stipulates 'reporting back on results where possible.' Furthermore, the 2016 UN-Habitat Relevance and Reform note indicated that 'UN-Habitat has taken significant steps towards building an evaluation culture and institutional framework for evaluation" (pg. 4). This document specifically noted the development of evaluation policies and workplans and a system to follow-up on recommendations as positive contributions to improved reporting and learning. UN-Habitat also took steps to integrate monitoring and reporting into the 2014-2019 strategic plan including conducting a baseline analysis for data on all targeted results. The clearest commitment to improving reporting mechanisms occurred in 2018 with the release of the UN-Habitat Evaluation Manual which directly addressed internal stakeholder concerns that the expected processes for reporting were not clear.

An increased strategic commitment to reporting has not sufficiently translated into action across the organization. OIOS found in 2019 that despite stipulations in the resource mobilization strategy regarding the development of donor progress reports these were not conducted in ROAF. Consultation for this assessment also found that stakeholders were largely still unaware of internal reporting mechanisms. This has been exacerbated by the recent period of drastic organizational reform within UN-Habitat which has left some stakeholders confused about where their roles are positioned within the new structure and therefore how to report. Some isolated good practice examples of reporting can be identified and used to promote monitoring and reporting across the organization.

For example, the 2016 ROAS strategic plan placed emphasis on monitoring and evaluation as a means of sharing good practice examples for broader adoption within the region.   This same document, however, did note that UN-Habitat still had the potential to improve monitoring, evaluation, and reporting mechanisms further. Lastly, it was also noted that multiple in-depth reporting requirements associated with the nature of UN-Habitat places strain on a small and already under-resourced organization and minimizes the time and staff available for completing project activities.

The evaluations generated by UN-Habitat are generally of acceptable quality and are important for tracing and understanding the performance of operations. However, the number and scope of evaluations was constrained by the level of resources available. During the delivery of the strategic plan, it had only two professional staff and one general staff. The low level of funding impacts on the evaluation coverage and facilitation of evaluation use and influence. Though independent structurally, its operations were mainly tied to projects and programme funds. This left little scope for conducting evaluations that could be of wider benefit to the organization for accountability and learning purposes.

EVALUATIVE CONCLUSIONS

Achievements.

Overall results are positive. UN-Habitat is demonstrating good performance from a technical perspective. Results of projects are consistently positive and 2014-2019 produced some advances across all programme areas. UN-Habitat is achieving substantial success with establishing and operating global platforms for engagement and in supporting important networks. However, results were fragmented, and this was a cost to the organization as a whole, hindering wider scale impact.

Strengthening organisational mechanisms and transparency. Good progress has made good progress on accountability and transparency. The finalization of the government structure has been achieved after a prolonged delay during the early part of the Strategic Plan 2014-2019. The latter period 2018-2019 saw substantial progress towards a more participatory and coherent approach. The introduction of UMOJA has established more transparent and accountable systems.

Transformational impact has been achieved. UN-Habitat has produced some exceptional normative tools and processes, which are of global significance for sustainable urbanization. The intersection and collaboration between normative and operational work streams contributes a multiplier effect to generating positive outcomes and is imperative to generating impact and transformational change.

Challenges

Reputation, credibility and profile. During the initial stages of the Strategic Plan 2014-2019, there was eroding confidence amongst donors and Member States. There are signs that there has been a positive shift since 2018 but there are still legacy issues of reputational risk that UN-Habitat has to overcome by being clear and transparent. Substantial improvements in accountability systems through UMOJA are evident but there are still important systems that require attention and investment to ensure that systems are effectively supporting key areas of operation, particularly regional and country levels.

Contemporary and effective internal and external communication is critical; yet insufficiently resourced Current communications from UN-Habitat do not adequately maintain and advance of UN-Habitat's level of influence and expertise, resulting in potential loss of relevance and credibility in its role as the global leader for urban settlements.

Focus and coherence. UN-Habitat has a strong mandate but does not have clearly articulate its mission due to fragmented programming caused by a need to 'chase' funds. This lack of clear mission creates confusion for staff and an unclear point of difference for prospective donors. The approach to programming has resulted in a broadened purpose beyond their mandate leading to a diluted focus for staff and donors. UN-Habitat faces a quandary between meeting direct demand or systematically addressing underlying causes of unsustainable urbanization. This results in a piecemeal approach to programming and undermines UN-Habitat's role as a leader. UN-Habitat's current fragmented and disjointed approach to programming has spread the organization too thinly, straining resources and leading many to question the organization's position within the global landscape. A perceived tension between normative and operational work streams threatens UN-Habitat's ability to meet its mandate and undermines the organizations ability to contribute to transformational change and impact.

Funding Much of the resources mobilized by UN-Habitat are focused on specifically targeted technical cooperation. The project approach does yield results but leverages largely earmarked funds minimizing the opportunity for normative work and wider impact due to low levels of unearmarked funding. The evaluation found that UN-Habitat can achieve greatest results where there is an integrated package of interventions that links practical assistance towards improved practices with normative work on policies and standards. An over-reliance on technical cooperation without normative work will undermine the potential wider reach that can be achieved through strategic normative products and processes. Current financial pressures within the organization have led to a focus on chasing resources as opposed to content. This has had far reaching

consequences including in relation to UN-Habitat's approach to developing partnerships.

Business model and structure. UN-Habitat's business model is not fit for purpose due to excessive bureaucracy and a disjointed nature. The recent restructure did not sufficiently acknowledge business systems and internal bottlenecks and gatekeeping still exist. There are insufficient staff numbers to fill new structural roles including a severe decrease in core administration and coordination staff who are integral to the running of the organization. Demotivated staff increases risk of staff drainage and loss of integral expertise. UN-Habitat is small but has requested some unrealistic budget scenarios hindering activity planning and undermining donor confidence.

Reporting on outcomes. UN-Habitat does not effectively collect, report, or communicate data relating to its successes resulting in a large unfulfilled potential. A lack of a performance management system for results and staff undermines progress tracking towards strategic objectives. While UN-Habitat collects extensive information in documents such as its annual reports, it covers many different kinds of activities. It is difficult to aggregate different kinds of data to assess overall impact UN-Habitat. The new strategic plan and recent organizational restructure go some way to addressing these challenges but are as yet, insufficiently resourced to comprehensively address these issues.

Opportunities

UN-Habitat has a clear and powerful mandate that is of high and increasing relevance worldwide. UN-Habitat's leadership and expertise is in demand and is valued, however it would benefit from increased profile and promotion. This can contribute to more effectively securing resources for both normative and project work, as well as contributing to strategic thematic work in relation to global agendas.

During the period UN-Habitat's relevance was strengthened due to changing global dynamics and new international frameworks but UN-Habitat's inability to meet all aspects of the organizational mandate has led to other players in the sustainable urbanization landscape taking on parts of UN-Habitat's mandate. There is now an opportunity to overcome these challenges and seize a stronger role and take a higher

profile. This opportunity has been particularly requested by Member States and partners.

UN-Habitat's new Strategic Plan makes significant progress on some of the aforementioned challenges and represents a system wide change for the organization. However, the successful implementation of such ambitious changes and reforms will require significant capacity. Capacity has shown to be a limitation in the context of previous organizational changes such as the restructure at the field level.

Risks

UN-Habitat faces several key challenges and critical risks that require urgent attention. These risks are exacerbated by previous underlying issues of credibility and clarity of purpose. While some of these risks have been addressed through improved accountability and institutional reform, there is a reputational legacy that lingers. This results in current and potential partners being tentative about engaging more deeply with UN-Habitat. The current thrust towards improved partnerships is at risk of not being sustained due to a lack of follow-through and insufficient resources and staff. Insufficient reporting mechanisms have contributed poor availability of outcome level data. Data is patchy and incomplete, and this underreports level of achievement and does not allow for the promotion of successes.

UN-Habitat's current level of activity and impact, as well as institutional restructuring and strategic repositioning processes are at risk because of a lack of financial resources, especially core and unearmarked funding. The lack of core funding undermines almost all of the core business processes of the organization. The core functions are essential for the organization to be able to create sufficient stability of tenure for staff. Loss of the expertise that UN-Habitat is well-recognized for would lead to eroding technical confidence and capacity. Lack of resources leads to inefficient use of the skilled expertise within the organization and prevents UN-Habitat from reaching its potential. Now that there is better accountability and compliance within the organization, it is critical that key priority requirements for efficient and effective functions are adequately financed.

LESSONS LEARNED

UN-Habitat needs a clear message and point of advantage to reaffirm the organization's leadership position, regain confidence, and leverage funds.
UN-Habitat's key message has been somewhat diluted by a need to 'chase' funds and address all aspects of sustainable urbanization. UN-Habitat needs to both internally and externally be clear on the organization's core purpose in relation to settlements, affordable housing and quality of life in sustainable cities. This purpose should include a combination and collaboration of normative and operational work as well as consequential and transformational impact. Such a clear message would assist UN-Habitat to leverage funds, improve transparency, increase donor confidence and improve advocacy efforts.

UN-Habitat's current financial position is exacerbated by poor internal systems which in turn further impacts on the organization's ability to attract funds. Limited funding within the organization has a multitude of impacts including i) difficulty in retaining the high quality of expertise that UN-Habitat is respected for, ii) hindering organizational ability to replicate and expand good practice, and iii) contributing to an inability to complete a necessary institutional restructure to improve efficiency and align with UN requirements. In addition, low core funding results in fewer administrative and coordination staff which decreases organizational efficiency and coherence and inhibits reporting processes. Insufficient reporting of results undersells UN-Habitat's effectiveness and potential for impact which further detracts funding potential.

RECOMMENDATIONS

UN-Habitat needs to capitalize on its strengths and overcome chronic challenges and risks in a strategic and prioritized way in close coordination with the Executive Board. Solutions can be facilitated through action in relation to six overarching key recommendations that have arisen from the evaluation. Demonstrated achievement in each area of priority, in addition to maintaining the current technical strength of programmes, will assist with raising the confidence of Member States regarding the value and contribution of UN-Habitat. Safeguarding the trust and confidence of partners is at the center of improved institutional outcomes for UN-Habitat and should remain a focus when implementing the recommendations. This will also highlight the potential of further investment in UN-Habitat's work and longer-term strategic growth for achievements in sustainable urbanization. Each recommendation can be pursued as a priority but will be most effective in strengthening the organization if implemented in an integrated manner, mutually reinforcing solutions in a progressive way as shown in Figure 10.

1. Capitalize on strengths and leadership role

**1.1. Consolidate discussions of UN-Habitat's mandate into a clear and easily communicable core statements.** UN-Habitat's mandate in relation to settlements and housing provide the focus for engagement across the many strategic areas of engagement. Consolidating this focus and identifying key messages of where current activities add the most value and contribute to the greatest impact in this regard will strengthen UN-Habitat's unique contribution. UN-Habitat should focus on a "do less better" mentality to carve out a clear comparative advantage for staff to align with and for 'sale' to prospective donors. More emphasis should be on appropriate planning and ensuring the specific technical regional and country-level projects and activities that contribute to UN-Habitat mandate. The Project Review Committee (PRC) (formerly the Project Advisory Group) have an important role to play in ensuring alignment of activities with UN-Habitat's core purpose. The PRC can adopt prioritized criteria for project selection based on the alignment to organizational purpose and potential for impact.

1.2. Harness UN-Habitat's Leadership for promotion at the global level. The Executive Board and management need to take a more proactive approach to communicate UN-Habitat's role and global contribution to a wider audience to gain support**.** This will require high level engagement on global platforms and clearer communication of UN-Habitat's expertise and successful operational results. It will require promotion of existing normative products and generating relevant and attractive knowledge products to showcase UN-Habitat's ongoing work. Such articulation will increase UN-Habitat's influence on global processes, particularly towards SDG 11.

Figure 10. Recommendations towards increased impact
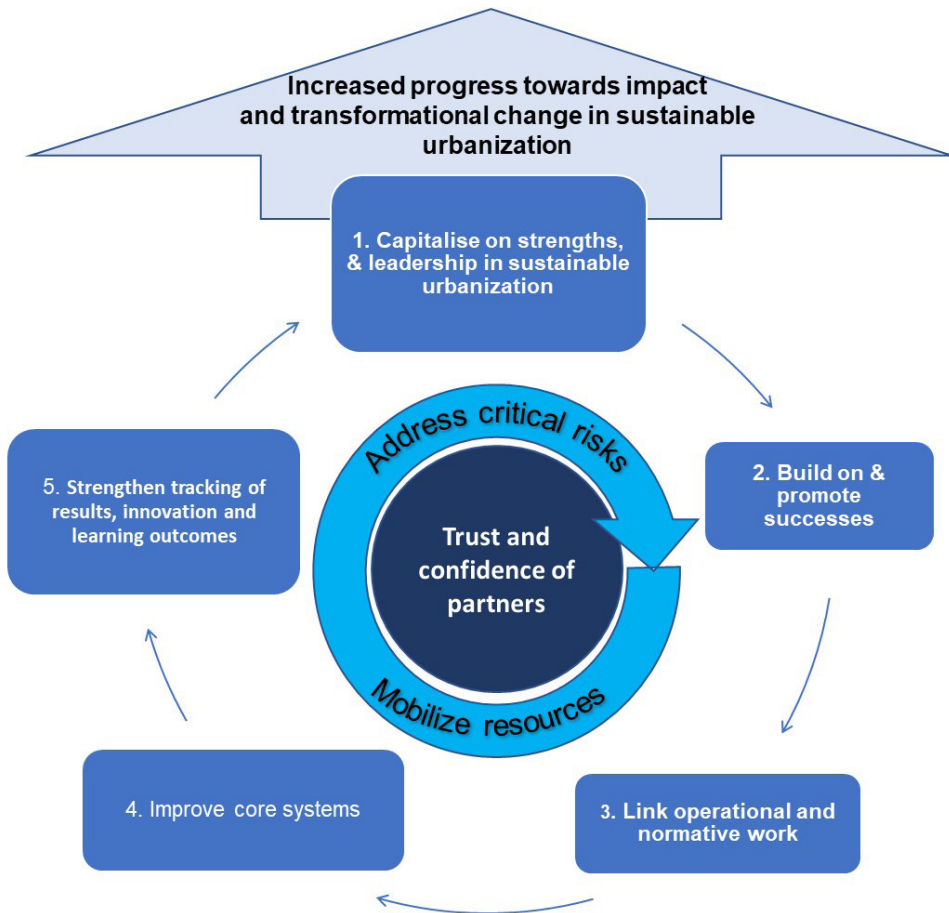
2. Communicate Successes for wider influence

2.1. Celebrate and promote successes in relation to the core purpose. Concerted efforts are required at headquarters, regional and country level to identify good practices with the highest potential for replication. A strategic and systematic communication campaign in the short term would provide a boost to UN-Habitat's profile. This would require a short term, specific advocacy project that would showcase a few headline success stories that exemplify the work and contribution of UN-Habitat. This campaign could be offered to preferred donors to demonstrate the value of their support and contribution to global development. The campaign can be framed as a 'quick wins' approach to rapidly improve UN-Habitat's relationship with donors and partners but would require specific funding and expertise in communications, advocacy and marketing. In the longer term, this can be combined with a strengthened approach to knowledge management that combines promotion, good public relations, and fundraising, with contribution to knowledge across the sector. This phased approach would promote UN-Habitat, encourage uptake of good practices, and help secure resources to efficiently increase the scope of benefits achieved.

2.2. Build confidence of Member States and other key partners in the work of UN-Habitat. UN-Habitat must follow through on the promises made in the Strategic Plan 2020-2023 via transparent and accessible reporting processes and mechanisms or risk further eroding donor and key partner confidence levels. Within the new governance and organizational structures, there is a need to engage with key stakeholders, including the Executive Board on specific issues UN-Habitat is facing in post-disaster and conflict area. Broadening donor base and mobilizing them to provide non-earmarked funding to enable UN-Habitat's prioritization to implement its work.

2.3. Build a catalogue of 'champions' amongst partners and in key networks. There are many stakeholders with a positive perception of UN-Habitat's work. They can become emissaries and influencers for UN-Habitat, identifying 'trigger points' for action and dissemination of core message and good practice examples. It would be important to have champions both within Member States and in current networks. Developing such a league of champions would create an 'arena for action' strengthening partnerships and networks and advocating for UN-Habitat.

3. Link normative and operational programming for greater impact

3.1. Showcase examples where programmes have achieved positive outcomes by combining normative and operational work to achieve significant impact. Select several good practice examples of where normative products have been effectively piloted and replicated, and where operational work has generated normative products that have been upscaled beyond direct project investments. Use these examples to make stronger presentation to donors that programming should contain both normative and operational components.

3.2. Develop 'packages' that link normative and operational activities to achieve higher impact and transformational change. More emphasis should be on ensuring the specific technical, regional and country-level projects and activities that are consistent with the UN-Habitat mandate and test solutions to priority normative processes. This approach not only achieves tangible results, but also focused on advancing normative work that will contributes to transformational change. In line with enhancing UN-Habitat's promotional approach, examples where these good practice packages could be applied, replicated and scaled up could assist in raising UN-Habitat's profile, convincing donors of the value of linked normative and operational work and contributing to more strategic programming and greater results. The PRC is again significant in the successful implementation of this recommendation. The PRC should strengthen project selection criteria to encourage projects which fully contribute to the organization's mandate, in both operational and normative senses. The successful operationalization of this recommendation will also require strategic support from leadership. Such an approach will include consolidation of UN-Habitat's contribution to transformative shifts in global thinking. UN-Habitat can only contribute meaningfully to these shifts through a feedback loop of normative and operational activities which continuously contextualize and extend scope for broader impact and transformational change.

3.3. Recognize the value of existing networks to increase uptake of pivotal instruments for wider impact. Currently the potential of existing normative products is hindered by insufficient attention and resources to understanding the value of key knowledge products generated through programmes and projects. More strategic Identification of the value of products and dissemination through networks will help to expand existing networks and provide avenues for replication and upscaling.

4. Improve core systems

4.1. Invest in communications. A greater focus on efficient and effective communications would greatly facilitate improved governance and stronger relationships with the Executive Board and other key partners and stakeholders through faster and improved communications. This requires strengthening of the communications role and resourcing. A specific communications plan and funding package could be prepared to fast-track improved communications both internally and externally. Of greatest importance are the communications systems that will underpin the implementation of efforts to raise the strategic profile and streamlined functioning of UN-Habitat.

4.2. Mobilize resources to strengthen core business systems and stabilize core staffing positions. Package and promote critical organizational activities as short-term projects to leverage the required funding and address critical gaps (e.g. upgrading monitoring and reporting, improving public relations, taking opportunities to raise profile, completing decentralization in line with UN Reform). This should include contribution to core staffing requirements for implementing these short term, outcome focused initiatives to complete the staffing reform approach and in improved public relations for fund-raising and relationship management.

4.3. Acknowledge organizational risks and develop a risk management plan to minimize the likelihood and impact of risk occurrence. UN-Habitat does not currently have a comprehensive risk management system. The executive board needs to be regularly appraised of the most critical risks facing the organization and how these can best and realistically be addressed. This will help to focus the strategic action of the UN-Habitat leadership on the highest priority actions.

It will also keep the leadership more informed on how risks can be prevented and mitigated. Such a plan will be integral to the successful implementation of the new Strategic Plan. Given the capacity constraints which are evident in UN-Habitat's activities the organization needs to develop a risk management plan closely aligned with the implementation of the new SP. It will be necessary for UN-Habitat to prioritize activities outlined in the new SP. While the plan outlines a sound approach to addressing many of the challenges experienced during the 2014-2019 period, it is likely that implementation of the new SP will be hindered by capacity constraints. To ensure UN-Habitat can deliver on promises made in the new plan the organization needs to be clear about the requirements for successful implementation and may need to compromise some aspects for overall organizational process.

5. Strengthen measurement and tracking of results and learning outcomes

5.1 Strengthen Monitoring and Evaluation Processes and Systems. UN-Habitat should strengthen its monitoring and evaluation work in a systematic manner. In addition, the organization should fully operationalize management information systems that have already been formulated such as PAAS and IMDIS to ensure consistent, good quality information that is comparable between programmes level and between countries and regions. The new Strategic Plan and recent organizational restructure have placed an increased emphasis on these systems but there are insufficient funds to complete these processes.

5.2.   Continue to strengthen knowledge management. Knowledge management is one of the most effective tools for advocacy, technical assistance and capacity development. Current programmes should be strengthened through a greater focus on collection, documentation dissemination and promotion of information use. Improved guidelines and training for staff on how to effectively capture information of knowledge for use would be of assistance. Better systems for knowledge repository, analysis and synthesis would enhance the generation of knowledge products and add value to operational and normative work.

5.3.   Revise reporting processes to focus on intended audience and ease of understanding to facilitate transparency and accountability. Reporting mechanisms and processes require improvement to increase the effectiveness of communication efforts. Additional expertise is required to adjust reporting to the specific audience when developing report and documentation outputs. Information to decision-makers needs to be concise and solution-focused to facilitate good and responsive decision-making. This is especially important in the context of the new governance structure and the increased regularity of Executive Board meetings. These meetings require standing agenda items to facilitate communication of UN-Habitat's successes. External publications need to be generated in a contemporary manner for the intended audience to enhance understanding and positive response to UN-Habitat products.

6.   Engage with key stakeholders, including the Executive Board, on improving efficiency and effectiveness of UN–Habitat in key programs, particularly in emerging areas of importance for UN–Habitat's mandate.

The implementation of the Strategic Plan has shown that Un-Habitat operates in an evolving context and it is important to remain relevant, flexible and adaptable to changing needs. There are several important areas of changing contexts that require attention.

6.1.   Consolidate UN-Habitat's role in Humanitarian settlement issues for improved impact.
UN-Habitat's work in humanitarian contexts can be better recognized and good practices documented. These should be aligned with global humanitarian standards and demonstrated for different forms and contexts. This will require UN-Habitat to be active in humanitarian networks and present a clearer picture of the roles that it can and is unable to play in emergency contexts. A specific short-term and medium term strategy would help in this regard to ensure that UN-Habitat works in a manner that is commensurate with its current expertise and resources.

6.2.   UN-Habitat needs to be more engaged in relation to the UN Reform process. The UN Reform process, with the Common Country Analysis (CCA) and UN Sustainable Development Cooperation Framework (UNSDCF) is a critical process for any UN agency operating at the country level. UN-Habitat can engage with the process, even without country presence by remotely presenting their expertise as part of the CCA, commenting on draft CCA's in countries that it is already working, or considering working in. It can also work with agency partners to advocate on behalf on UN-Habitat where there are opportunities for engagement. By ensuring recognition of UN-Habitat in a UNSDCF process will open new opportunities for operations and access to resources

ANNEXES

Annex 1. Terms of Reference for the Evaluation of the Implementation of UN-Habitat's Strategic Plan 2014-2019

INTRODUCTION AND MANDATE

1. UN-Habitat is the lead United Nations agency responsible for promoting sustainable urbanization. It is mandated by the UN Generally Assembly to promote socially-and environmentally sustainable towns and cities with the goal of providing adequate shelter for all and sustainable development.

2. The formulation UN-Habitat's first strategic plan was in response to the 2005 UN Office of Internal Oversight Services (OIOS) evaluation, which called for reform of UN-Habitat with the specific recommendation of identifying a few critical areas of its mandate to have the greatest impact within the resource constraints imposed by its approved work programme. The call resulted in the six-year Mid-Term Strategic and Institutional Plan (MTSIP) for the period of 2008-2013, which was approved by the UN-Habitat GC at its 21st session through Resolution 21/2 0f 20 April 2007.

3. The formulation of the second six-year Strategic Plan for the period of 2014-2019 took into consideration of learnings and recommendations from a peer review (2009), a mid-term evaluation (2012) and a final evaluation (2015) of the MTSIP. The Strategic Plan 2014-209 was approved at the 24th Session of the Governing Council, through Resolution 24/15 of 19 April 2013 with an evaluation framework of a mid-term and a final evaluation. The mid-term evaluation was conducted in 2017.

4. The present Terms of Reference (TOR) is for the consultancy of the final evaluation of the implementation of the Strategic Plan 2014-2019. It provides background to what is evaluated within broader development context of UN-Habitat. It defines purpose, objectives, intended outcomes and targeted users of the evaluation as well as the parameters of the evaluation in terms of its scope, focus and limits. In addition, it specifies the evaluation approach and methodology; identifies key evaluation questions; stakeholder involvement; accountability and responsibilities; qualifications of the evaluation team; and gives a provisional time schedule for delivery expected deliverables and resources available for the evaluation.

BACKGROUND AND CONTEXT

The strategic plan 2014-2019

5. In its resolution 23/11, the GC of UN-Habitat at its twenty-third session of April 2011, requested the UN-Habitat to develop a second six-year strategic plan for the period of 2014-2019. In April 2013, the Governing Council approved the strategic plan, with an evaluation framework of a mid-term and final evaluation of its implementation. Paragraph 95 of the strategic plan states that the plan was to be adjusted based on mid-term evaluation of its implementation, the sustainable Development Goal, the outcomes of United Nations Conference on Housing and Sustainable Urban Development (Habitat III), entitled "New Urban Agenda" and any changes in the Governance Structure of UN-Habitat. As a result, the revised strategic plan for the period of 2014-2019 and work programme and budget of the UN-Habitat for the biennium 2018-2019 were approved by UN-Habitat GC at its twenty-sixth session in May 2017.

6. The strategic plan for the period for 2014 to 2019 was structured and its substantive work implemented around seven subprogrammes that corresponded to UN-Habitat Branches and coordinated with the regional and country level through four Regional Offices and three liaison offices. The seven Branches were:

I.   Urban Legislation, Land and Governance;

II.   Urban Planning and Design;

III.   Urban Economy;

IV.   Urban Basic Services;

V.   Housing and Slum Upgrading;

VI.   Risk Reduction and Rehabilitation; and

VII.   Research and Capacity Development.

7.   The plan's results framework specified the overall UN-Habitat goal, Strategic Result, long-term outcomes, expected accomplishments and anticipated outputs[120]. Indicator of achievement of expected accomplishments were reported annually through annual progress reports on the implementation of the strategic plan. So far, five annual reports have been produced and the sixth annual report was being finalized at time of writing these terms of reference.

8.   The adoption of the Sustainable Development Goals in 2015 and the New Urban Agenda in 2016, and lessons learned from the implementation of the Strategic Plan 2014 -2019 underlined the need for reviewing and adjusting the strategic plan. The plan was revised with explicit consideration of what needs to change within UN-Habitat and how these changes would support efforts to achieve the organizational results as well as achieving the global commitments including the SDGs and the New Urban Agenda targets.

2030 Agenda for Sustainable Development and Habitat III

9.   In September 2015, the United Nations Sustainable Development Summit adopted the 2030 Agenda for Sustainable Development. The Agenda 2030 contains 17 SDGs and 169 targets to achieve sustainable development in its economic, social and environmental dimensions. UN-Habitat is leading and supporting the implementation and Goal 11: *Make cities and human settlement inclusive, safe, resilient and sustainable.*

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

11.   The implementation of the New Urban Agenda provides pathways to accelerate transformation towards achieving the SDGs. It argues that if cities get urbanization right (SDG 11), then it will be easier to achieve other goals and targets such as those on climate change, sanitation, water, energy etc.

Organizational Reform of UN–Habitat

12.   Over a two-year period from January 2018 until December 2019, UN-Habitat carried out an organizational change process to make UN-Habitat fit for purpose, maximizing its added value to UN system-wide efforts and effectively supporting Member States to tackle challenges of sustainable urbanization. The organization identified eight priorities to foster that anticipated change. They were:

Priority 1: Vision to foster values-driven to achieve shared vision and purpose

Priority 2: To deliver impact at scale in all that the organization does to change lives for the better

Priority 3: To regain trust and confidence of donors to deliver UN-Habitat mandate

Priority 4: To collaborate effectively within UN system and externally to achieve more results

Priority 5: To create a safe and productive workplace where talents thrive

Priority 6: To get systems and processes right for maximum efficiency

Priority 7: Leadership to engage and empower people to collectively drive change

Priority 8: To comprehensively implement the New Urban Agenda to achieve the urban SDGs and contribute better to other global priorities.

13. By January 2020, UN-Habitat has delivered on its reform process with:

   • A new governance architecture (the new governance structure established by the General Assembly in December 2018 through Resolution A/RES/72/226 is made of (i) a universal body, the UN-Habitat Assembly, (ii) an Executive Board, (iii) and a Committee of Permanent Representatives).

   • A new strategic plan for the period 2020-2023. It was approved by the first session of the UN-Habitat Assembly in May 2019.

   • An internal change process aimed at transforming the organization into a trusted, transparent, and accountable UN agency, that operates effectively, efficiently, and collaboratively, and whose expertise is relevant, valued, and in demand.

   • An organizational restructuring to equip UN-Habitat with a more flexible and agile structure that will enable the organization to support Member States and development partners in the implementation, monitoring and review of the SDGs and the New Urban Agenda in a more impactful manner. The new organisational structure was effective as of 1 January 2020.

Purpose and objectives of the Evaluation

14. This final evaluation of the Strategic Plan aims at assessing as systematically and objectively as possible, the relevance, effectiveness, efficiency, sustainability and coherence of UN-Habitat in the context of strategic plan 2014-2019, and of its approach to defining and managing toward its programme results over this period.

The evaluation will serve the dual purposes of accountability and shared learning, fostering discussion among main users of the evaluation, specifically the Executive Board of UN-Habitat, donors and other key partners. It will also assess whether UN-Habitat has achieved planned results over period of the reporting period. In keeping with UN-Habitat's commitment to learn and improve from evaluations, the evaluation will identify learnings and innovations that can be incorporated progressively throughout the implementation of the new Strategic Plan 2020-2023, including implementation of the NUA and reporting on SDG 11 and other SDGs related to urban issues.

15. The evaluation will make use of the annual progress reports on the implementation of the strategic plan, the evaluation report of the mid-term evaluation of the Strategic Plan 2014-2019, other evaluation reports of strategies, projects and programmes covered under the implementation period as well as self-evaluations by UN-Habitat's regional offices and substantive branches.

Specific Objectives

   I. The evaluation will assess achievements of UN-Habitat in the implementation of the Strategic Plan, 2014-2019, and assess any contributions that have been made to achieving Sustainable Development Goal 11, the urban components of the remaining SDGs, and the New Urban Agenda as well as other global agendas.

   II. Assess the relevance, efficiency, effectiveness, sustainability and impact of the strategic plan to inform how UN-Habitat sets priorities and plans for implementation of the new Strategic Plan 2020-2023.

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

IV.   Assess how UN-Habitat learned from and improved on its approach to results measurement use and change throughout the strategic plan period of 2014-2019.

V.   Assess how cross-cutting issues of gender, human rights, youth, and climate change were integrated in the implementation and measurement of achievements of the Strategic Plan.

VI.   Identify lessons and make recommendations of strategic, programmatic, structural and management considerations to be taken into account in implementing the new strategic plan 2020-2023.

Scope and focus

16.   The scope of the evaluation is on implementation of the Strategic Plan 2014-2019. The evaluation will assess achievement of results in the seven subprogrammes, mentioned above, for the normative and operational work of UN-Habitat as well as management systems and processes. It will build on progress reports and other strategic plan related assessments / evaluations that have been carried out during the implementation period, including the mid-term evaluation of the Strategic Plan 2014-2019.

Evaluation Questions

17.   Overarching evaluation questions, each of which will be operationalized by a series of sub questions have been identified and are organized around evaluation criteria of relevance, efficiency, effectiveness, sustainability, impact and coherence. However, the primary question relates to UN-Habitat's 2014-2019 performance and what it achieved. The following questions will further be expanded upon by the evaluation team:

- **Performance in terms of results achieved:** To what extent has UN-Habitat achieved its target results formulated in the strategic plan for the period of 2014-2019, including results framework?

- **Relevance**: To what extent did UN-Habitat align its targeted programme results, outputs and activities with the overall goal of the strategic plan and attainment of its objectives, contributing to sustainable urbanization during the implementation of the Strategic Plan 2014-2019?

- **Efficiency:** (i) How efficiently has UN-Habitat harnessed its resources (financial, human and partnerships) to achieve planned results in the Strategic Plan 2014-2019? (ii) How clearly have UN-Habitat policies and other strategies been in terms of clarity and coherence of linkages between agency's operational and normative work streams at global, regional and country levels?

- **Effectiveness**: (i) What transformational changes did the implementation of the strategic plan 2014-2019 achieve? (ii) To what extent were the results achieved inclusive, supporting the realization of gender equity, human rights, youth inclusion and other equity considerations? What were the key factors influencing the achievement or non-achievement of results?

- **Sustainability**: (i) To what extent results achieved under the Strategic Plan 2014-2019 are likely to be achieved in 2020-2023? What strategic, programmatic, structural and management adjustments should be undertaken to improve performance in the implementation of the Strategic Plan 2020-2023?

- **Impact:** What changes have occurred as a result of implementation of the Strategic Plan 2014-2019 that may contribute to SDGs targets, poverty reduction, economic growth, social benefits, environment improvements, social cohesion or other transformational changes?

- **Coherence:** To what extent did UN-Habitat implement the strategic plan in coherence and synergy with other interventions and global agendas?

Evaluation Approach and Methodology

18. The evaluation should employ a mix of approaches and methods for data collection and analysis in seeking to provide a summative and formative forward-looking assessment. Theory of Change approach should be applied to this evaluation, to demonstrate how the strategic plan was supposed to achieve its goal and strategic results by describing the causal logic of inputs, activities, expected accomplishments; including conditions and assumptions needed for the causal changes to have taken place. Also, context approach should be used to assess the strategic plan implementation structures, procedures, collaboration, coordination, partnerships and targeted beneficiary needs. In addition, the evaluation should be inclusive and consultative with partners and stakeholders. It should be conducted in a transparent way in line with the Norms and Standards of evaluations in UN system and with the UN-Habitat Evaluation Policy.

19. A variety of methods should be applied focusing on using secondary data sources and well as primary data sources including:

  • Desk review of relevant strategic plan documents, regional strategic plans, strategic plan progress performance and monitoring reports and evaluation reports produced during the strategic plan implementation period from 2014 to 2019. The evaluation will also use the Self-evaluation report on the strategic plan that was presented to the UN-Habitat Executive Board in November 2019

  • Interviews with various stakeholders, including relevant UN-Habitat staff, CPR/Executive Board members, donors, and other relevant key UN-Habitat partners;

  • Focus group meetings for discussion and validation of evaluation findings;

  • Use of surveys and questionnaires (if deemed feasible); in order to obtain quantitative information on stakeholders' views; and

  • Direct observation to capture first-hand information on UN-Habitat operational work through field visits.

  • Analysis and synthesis of information should be presented logically to give an overall assessment of achievements in the implementation of the strategic plan

Stakeholder Involvement

20. It is expected that this evaluation will be participatory, providing for active and meaningful stakeholders involvement. Stakeholders will be kept informed of the evaluation process including design, information collection, and evaluation reporting and results dissemination. Key stakeholders will be involved either directly through interviews, survey or group discussions. They will be given opportunity to comment on evaluation deliverables. Key stakeholders to be involved will include UN-Habitat staff, governing bodies including the Executive Board, Committee of Permanent Representative (CPR), donors, other relevant Habitat partners, and beneficiaries of UN-Habitat programmes and projects.

Accountability and Responsibilities

21. The Independent Evaluation Unit will manage the evaluation process; ensuring that the evaluation is conducted by a suitable evaluation team; providing technical support and advice on methodology; explaining evaluation standards and ensuring they are respected; ensuring contractual requirements are met; approving all deliverables (TOR, inception report; draft and final evaluation reports); sharing the evaluation results; supporting use and follow-up of the implementation of the evaluation recommendations.

22. An evaluation consultative arrangement to maximize the quality, relevance, credibility, and ultimately uptake of the evaluation will put in place in the form of an evaluation reference group comprising internal and external members. It will oversee the evaluation process with internal members from the Global Solutions Division, Strategy, Planning, Knowledge, Advocacy and Communications Division and Regional

Programmes Division. External members may include representatives of the Executive Board, CPR, donors, and Habitat Partners. The Reference Group will be responsible for reviewing and endorsing main evaluation deliverables including the TOR, inception report, drafts and final evaluation report.

23. The evaluation will be conducted by two independent external consultants. The lead consultants and the support consultant. The consultants must work together as a team with proven and extensive experience in carrying out institutional, programme and project evaluations and have working experience and/or solid technical knowledge of UN-Habitat. The lead consultant will be responsible for delivery of a quality evaluation report in accordance with norms and standards for evaluation in the UN system.

Qualifications and Experience of the Evaluation Team

24. The two International Consultants are expected to have:

    a. Extensive evaluation experience. The consultants should have ability to present credible findings derived from evidence and putting conclusions and recommendations supported by the findings.

b. Specific knowledge and understanding of UN-Habitat and its mandate.

c. The lead consultant must have more than 8 years of programme management experience in results-based management working with international development and/or sustainable urbanization.

d. Advanced academic degree in statistics, project management, information technology, political sciences, economics, financial management, monitoring and evaluation, governance, or similar relevant fields.

e. Relevant experience in working in developing countries, the United Nations system or other international organizations.

f. Fluent in English (understanding, reading and writing) is a requirement.

Provisional Time Schedule

25. The evaluation will be conducted over a period of 4 months from February to August 2020. A negotiated lumpsum will be paid upon satisfactory delivery of specified deliverables. The evaluators are expected to prepare a detailed work plan with the inception report that will operationalize the evaluation. The following is the provisional time schedule for the evaluation.

Item	Description	Timeframe
1	Development of draft TOR.	January 2020
2	Review of TOR and endorsement by ERG.	February 2020
3	Recruitment of the evaluation consultants.	February 2020
4	Inception phase, including formal document review, development of inception report, work plan, questionnaires, etc.	April 2020
5	Data collection phase: Collection of data through interviews, projects analysis, surveys, etc.	May- July 2020
6	Report writing and reviews.	July- August 2020
7	Final evaluation report.	August 2020

Key Deliverables

26. The Lead Evaluator will have the overall responsibility for the quality and timely submission of three key deliverable outputs as follows:

I. **Inception Report.** Review of relevant information including TOR and develop a full informed inception report, detailing how the evaluation is to be conducted, what is to be delivered and when. The inception report should include evaluation purpose and objectives, scope and focus, Theory of Change, evaluation issues and tailored questions, methodology, evaluation work plan and deliverables. Once approved, it will become the key management document for the evaluation, guiding the evaluation delivery in accordance with UN-Habitat's expectations. The inception report should include:

• Context of evaluation

• Purpose, objectives and scope of the evaluation

• Theory of Change

• Approach and Methodology for the evaluation

• Evaluation Questions

• Data collection and analysis methods

• Stakeholder mapping

• Consultation arrangements to maximize the relevance, credibility, quality and uptake of the evaluation

• Work plan and timelines of evaluation

II. *Draft evaluation report (s)*. Draft evaluation report(s) to be reviewed and endorsed the Evaluation Reference Group. It should contain an executive summary that can act as standalone document. The executive summary should include an overview of what is evaluated, purpose and objectives of the evaluation and intended audience, the evaluation methodology, most important findings and main recommendations.

III. *Final evaluation report* should not exceed 50 pages (including Executive Summary). In general, the report should be technically easy to comprehend for non-specialists, containing detailed evaluation findings, lessons learned and recommendations.

Resources and Payment

27. The evaluation consultants will be paid a professional evaluation fee based on the level of their expertise and experience. Daily Subsistence Allowance (DSA) will be paid only when travelling on mission outside of the duty station of the consultants, based on UN terms and conditions for consultants. Travel to UN-Habitat Headquarters, Nairobi is anticipated. All travel costs will be covered by UN-Habitat.

28. The consultancy is output based and payments will be paid upon satisfactory delivery of outputs. It is anticipated that the evaluation will be conducted by two international evaluators each with relevant programme management and evaluation experience.

Annex 2. List of Stakeholders Consulted

Group	Stakeholder Role	Stakeholder Name
UN-Habitat Executive Board	Deputy Permanent Representative of the Executive Board (Germany)	Ruben Werchan
	Deputy Permanent Representative of the Executive Board (Norway)	Ms. Guri Sandborg
	Deputy Permanent Representative of the Executive Board (China)	Mrs. Tong Guichan
	Deputy Permanent Representative of the Executive Board (European Union Delegation)	Mr. Gil Sebastian
	Deputy Permanent Representative of the Executive Board (USA)	Mr. Dan Carl
	Deputy Permanent Representative of the Executive Board (Egypt)	Mr. Ahmed Raafat Hanafy (Written response)
	Deputy Permanent Representative of the Executive Board (Senegal)	Mr. Serigne Mbaeki Fall Gueye (Written response)
	Alternative Deputy Permanent Representative (Brazil)	Mr. Patrick Luna
Executive Management	Executive Director	Maimunah Mohd Sharif
	Deputy Executive Director	Victor Kisob
	Chief of Staff	Neil Khor
	Strategic Advisor	Pacome Kossy
Liaison Offices	Head of New York Liaison office	Christopher Williams
	Head of Geneva Liaison office	Paulius Kulikauskas
	Head of Brussels Liaison office	Graham Alabaster
Management and Operations Division	Human Resource	Haris Pajtic
	IT	Kamal Naim
	Programme Officer, Strategic Planning and Monitoring Branch (Monitoring and Quality assurance)	Asenath Omwega
	Resource mobilization	Jane Nyakairu
	Knowledge Management	Hellen Nyabera
	Auditor officer	Mohamed Robleh
	Programme Managers officer (PMO)	Aini Aini

Group	Stakeholder Role	Stakeholder Name
External Relations Division	Director of external relations	Christine Knudsen
	External relations officer	Bridget Oballa
	Communication director	Susannah Price
	Partnerships	Lucia Kiwala
Programme Division	Director of Programme Division	Rafael Tuts
	Secretary to the Programme Review Committee	Rosa Muraguri-Mwololo
	Branch Coordinator – Subprogramme 1	Robert Lewis-Lettington
	Branch Coordinator – Subprogramme 2	Shipra Narang Suri
	Branch Coordinator – Subprogramme 3	Marco Kamiya
	Branch Coordinator – Subprogramme 4	Andre Dzikus
	Branch Coordinator – Subprogramme 5	Kerstin Sommer
	Branch Coordinator – Subprogramme 5	Christophe Lalande
	Branch Coordinator – Subprogramme 7	Robert Ndugwa
	ASUD project manager	Robert Lewis-Lettington
	GLTN project manager	Oumar Sylla
	WUF project manager	Fernanda Lonardoni
	GWOPA project manager	Andre Dzikus
	GWOPA project manager	Hezekiah Pireh
	Coordinator of Cross-Cutting issue: Youth	Douglas Ragan
	Coordinator of Cross-Cutting issue: Gender and Human Rights	Angela Mwai
	Programme Level Monitoring and Reporting	Modupe Adebanjo

Group	Stakeholder Role	Stakeholder Name
	Director of ROAP	Atsushi Koresawa
	Director of ROAF	Oumar Sylla
	Director of ROLAC	Elkin Velasquez
	Director of ROAS	Erfan Ali
	Senior human Settlements Officer	Bruno Dercon
	Senior human Settlements Officer	Mutinta Munyati
	Senior human Settlements Officer	Thomas Chiramba
	Senior human Settlements Officer	Alain Grimard
Regional Offices & selected Country Representatives	GCC Countries Representative	Ameera Al Hassan
	Saudi Arabia Representative	Ayman El Hefnawy
	Iraq and Yemen Representative	Wa'el Al Ashhab
	Palestine Representative	Zeyad Elshakra
	Egypt Representative	Rania Hedeya
	Sub-regional Maghreb Office	Nada Al Hassan
	Syria Representative	Ryan Knox
	Lebanon Representative	Taina Christiansen
	Sudan Representative	Masayuki Yokota

Group	Stakeholder Role	Stakeholder Name
	World Resources Institute Ross Center for Sustainable Cities - Director of Urban Development	Rogier Van den Berg
	Department of Urban and Housing Development, Myanmar - Deputy Director General	Aye Aye Myint
	ICLEI World Secretariat - Director Global Implementation and Senior Program Manager	Mr. Sunandan Tiwari
Key stakeholders in implementation (Subprogramme 2: Urban Planning and Design)	ICLEI World Secretariat - Director of Bonn Center for Local Climate Action and Reporting and Director of Business Development	Maryke Van Staden
	Fordham University – Director of Urban Law Center	Geeta Tewari
	IALS University of London - Law professor	Maria Mousmouti
	National Director of the Ministry of Town and Territory Development in Guinea	Ibrahima Camara
	Director, Dept. of Urban and Rural Planning, Commission for Lands, Zanzibar	Mohammed Habib
	Nordic Consulting Group - Urban Planner	Per Kirkemann
Key stakeholders in implementation (Subprogramme 4: Urban Basic Services)	Institute for Transportation & Development - Africa Program Director	Christopher Kost
	Department of Biosciences Durham University - Professor	Steve Lindsay
	The Politechnico di Milano in Italy - Professor	Niccolo Aste
	The Green Building Society of Kenya - CEO	John Kalungi
Key stakeholders in implementation (Subprogramme 5: Housing and Slum Upgrading)	FIABCI USA - President	Danielle Grossenbacher
Representatives of Donors	SIDA	Nayoka Martinez Backstrom
	European Commission	Marie-Laure Robert

Annex 3. Evaluation Matrix for the Evaluation of the Implementation of the Strategic Plan 2014–2019.

Evaluation Criteria	Evaluation Question	Indicators	Data Collection methods/Tools	Analytical Methods	Triangulation to other evaluation questions
Performance in terms of results achieved	1. To what extent has UN-Habitat achieved its target results formulated in the strategic plan for the period of 2014-2019, including results framework?	• Programme/project Results achieved per indicator • Reasons for results not achieved	• Document Review (annual reports, programme/project/thematic evaluations • Consultation • Online Key Stakeholder Interviews	• Systematic Review • Theory of Change Approach • Context variation approach • Complexity aware approach • Triangulation of data sources	• Relevance (qu. 2) • Effectiveness (qus. 5 & 7)
Relevance	2. To what extent did UN-Habitat align its targeted programme results, outputs and activities with the overall goal of the strategic plan and attainment of its objectives, contributing to sustainable urbanization during the implementation of the Strategic Plan 2014-2019?	• Outputs achieved • Outcomes achieved • Impact	• Document Review • Online Key Stakeholder	• Systematic Review • Theory of Change Approach • Triangulation of data sources	• Effectiveness (qu. 5) • Sustainability (qu. 8) • Coherence (qu.11)
Efficiency	3. How efficiently has UN-Habitat harnessed its resources (financial, human and partnerships) to achieve planned results in the Strategic Plan 2014-2019?	• Resources allocated • Results achieved • Reasons for results not achieved	• Document Review • PAAS • Consultation • Budget collation • Online key stakeholder interviews	• Efficiency analysis • Theory of Change Approach • Systemic Review • Triangulation of data sources	• Performance in terms of results (qu. 1) • Effectiveness (qu.7)
	4. How clear have UN-Habitat policies and other strategies been in terms of clarity and coherence of linkages between agency's operational and normative work streams at global, regional and country levels?	• Utilization of synergies • Resources allocated • Results achieved	• Document Review • PAAS • Consultation • Budget collation • Online key stakeholder interviews	• Efficiency analysis • Theory of Change Approach • Systemic Review • Triangulation of data sources	• Coherence (qu. 11)

Evaluation Criteria	Evaluation Question	Indicators	Data Collection methods/Tools	Analytical Methods	Triangulation to other evaluation questions
Effectiveness	5. What transformational changes did the implementation of the strategic plan 2014-2019 achieve?	• Results achieved • Adaptability and flexibility of programming and action to respond to changing context • Impact • Sustainability	• Document Review • Online Key Stakeholder Interviews	• Systematic Review • Theory of Change Approach • Context variation approach • Complexity aware approach • Triangulation of data sources	• Sustainability (qu. 8) • Impact (qu.10)
	6. To what extent were the results achieved inclusive, supporting the realization of gender equity, human rights, youth inclusion and other equity considerations?	• Results achieved • Impact • Participant Ratios	• Document Review • Online Key Stakeholder Interviews	• Theory of Change Approach • Context variation approach • Complexity aware approach • Triangulation of data sources	• Performance in terms of results (qu. 1) • Cross Cutting Issues (qu. 12)
	7. What were the key factors influencing the achievement or non-achievement of results?	• Results achieved • Reasons for results not achieved	• Document Review • Online Key Stakeholder Interviews	• Systematic Review • Context variation approach • Complexity aware approach • Triangulation of data sources	• Performance in terms of results (qu. 1) • Efficiency (qu. 3)
Sustainability	8. Did strategic programmatic, structural management adjustments improve performance towards the implementation of the Strategic Plan 2020-2023 to optimize synergy and overcome gaps in implementation. To what extent results achieved under the Strategic Plan 2014-2019 are likely to be maintained, replicated and scaled in 2020-2023?	• Results achieved • Sustainability measures • Mainstreaming	• Document Review • Online Key Stakeholder Interviews	• Systematic Review • Complexity aware approach • Triangulation of data sources	• Efficiency (qu. 5) • Impact (qu. 10) • Performance in terms of results (qu. 1) • Effectiveness (qu.7)

Evaluation Criteria	Evaluation Question	Indicators	Data Collection methods/Tools	Analytical Methods	Triangulation to other evaluation questions
Impact	9. What changes have occurred as a result of implementation of the Strategic Plan 2014-2019 that may contribute to SDGs targets, poverty reduction, economic growth, social benefits, environment improvements, social cohesion or other transformational changes?	• Results achieved • Coherence with global agendas including the New Urban Agenda and the Paris Agreement • Sustainability measures	• Document Review • Online Key Stakeholder Interviews	Systematic Review Theory of Change Approach Context variation approach Complexity aware approach Triangulation of data sources	Effectiveness (qu.5) Sustainability (qu. 8)
Coherence	10. To what extent did UN-Habitat implement the strategic plan in coherence and synergy with other interventions and global agendas?	• Identification of synergies • Impact • Project/programme objectives • Consideration of global agendas including the SDGs, the new Urban Agenda, and the Paris Climate Agreement	• Document Review • Online Key Stakeholder Interviews	▪Systematic Review ▪Theory of Change Approach ▪Context variation approach ▪Complexity aware approach ▪Triangulation of data sources	▪Efficiency (qu. 4) ▪Impact (qu. 10)
Cross-Cutting Issues	11. How were cross-cutting issues of gender, human rights, youth, and climate change integrated into the implementation and measurement of achievements of the strategic plan?	• Results achieved • Participant ratios • Project/programme objectives	• Document Review • Online Key Stakeholder Interviews	▪Systematic Review ▪Theory of Change Approach ▪Context variation approach ▪Complexity aware approach ▪Triangulation of data sources	▪Effectiveness (qu. 6)

Annex 4. Consultation Summary

Interview outcome	Stakeholder	Donor	Staff	Board Members	Total	%
Interviewed	14	2	50	6	68	53%
Written response received	0	0	0	2	2	1.5%
Total consultation held	14	2	50	8	74	54.5%
Interview not possible due to staff movement.	2	1	0	4	7	5%
Interview not possible due to no response	34	0	11	8	53	39%
Interview not possible due to scheduling conflicts	0	0	2	0	2	1.5%
Total interviews not possible	**36**	**1**	**13**	**12**	**62**	**46%**
Total contact details provided	**50**	**3**	**63**	**20**	**136**	**100%**

Annex 5. Level of Achievement of Key Performance Indicators (Annual Progress Report 2019)

Target Achieved Target not achieved

	Expected Accomplishment	Indicator	2013 Baseline	Target	2019 results
Subprogramme 1: Urban Legislation and Governance	Increased capacity of local and national governments and other Habitat Agenda Partners to implement urban legislation in the areas of urban extension, densification, planning and finance.	Increased number of consultative legal reform processes to improve urban extension, densification, urban planning and finance, with the technical support of UN-Habitat.	12	36	40
	Increased capacity of partner 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.	Increased number of programmes to improve security of tenure for all, including for vulnerable groups, women, young people and indigenous people, implemented by partner governments and other Habitat Agenda Partners.			
		Local Authorities	1	12	16
		National authorities	2	12	13
		Other Partners	5	25	30
	Increased capacity of partner local and national governments and other Habitat Agenda Partners to develop and adopt or adapt policies, plans and strategies that strengthen decentralized governance and inclusive urban management and safety.	Increased number of partner local and national governments and other Habitat Agenda Partners that have developed initiatives that take into account the guidelines on decentralization and access to basic services for all.			
		Local authorities	30	60	55
		National Authorities	12	22	21
		Other Partners	16	50	45
		Increased number of partner local and national governments that have adopted local crime prevention strategies.			
		Local governments.	77	110	107
		National governments	4	10	13

Expected Accomplishment	Indicator	2013 Baseline	Target	2019 results
Subprogramme 2: Urban planning and Design				
Improved national urban policies and spatial framework for compact, integrated and connected, socially inclusive cities adopted by partner metropolitan, region, and national authorities.	Increased number of partner authorities, and that have adopted national urban policies or spatial frameworks that support compact, integrated and connected, socially inclusive cities.			
	Metropolitan authorities	0	6	9
	Subnational authorities	NA – change in scale	10	10
	National authorities	4	40	53
Improved policies, plans and designs for compact, integrated and connected, socially inclusive cities and neighborhoods adopted by partner cities.	Increased number of partner cities that have adopted policies, plans or designs for compact, integrated and connected, socially inclusive cities and neighborhoods.	10	70	80
Improved policies, plans and strategies that contribute to the mitigation of and adaptation to climate change adopted by partner city, regional/subnational and national authorities.	Increased number of partner authorities that have adopted and implemented policies, plans or strategies that contribute to climate change mitigation and adaptation.			
	City authorities,	8	24	31
	regional/subnational authorities	1	3	3
	National authorities	6	14	14
Subprogramme 3: Urban Economy and Municipal Finance				
Improved capacity of partner cities to adopt strategies supportive of inclusive economic growth	Increased number of partner cities that prepared local economic development plans.	0	20	30
	Increased number of partner cities that set priorities based on local economic assessment.	0	27	35
Enhanced capacity of partner cities to adopt urban policies or programmes supportive of improved and sustainable livelihoods with a focus on urban youth and women.	Increased number of partner cities that have adopted urban policies or programmes supportive of improved employment and sustainable livelihoods with focus on urban youth and women, displaced populations, people with disabilities and other vulnerable populations.	7	63	61
Improved capacity of partner cities to adopt policies, plans and strategies for improved urban and municipal finance.	Increased number of partner cities that have implemented plans or strategies for improved urban and municipal finance.	8	36	48

	Expected Accomplishment	Indicator	2013 Baseline	Target	2019 results
Subprogramme 4: Urban Basic Services	Improved policies and guidelines on equitable access to sustainable urban basic services implemented by local, regional and national authorities.	Increased number of partner authorities implementing institutional and legislative frameworks for increasing equitable access to urban basic services, the international guidelines on decentralization and the guidelines on access to basic services for all.			
		Local authorities	165	195	337
		subnational authorities	NA change in scale	10	9
		National authorities	27	35	39
	Enhanced enabling environment for promoting investments in urban basic services in partner countries, with a focus on the urban poor.	Increased amount of investments into urban basic services catalyzed by UN-Habitat programmes in partner countries.	USD40m	USD70m	USD95.8m
	Increased coverage of sustainable urban basic services in targeted communities.	Increased number of people in targeted communities with access to sustainable water and sanitation services as a result of UN-Habitat interventions.	NA change in measurement	2.5m	3.7m
		Increased number of people in targeted communities with access to sustainable energy supply as a result of UN-Habitat interventions.	NA change in measurement	35,000	30, 265
		Increased number of people in targeted communities with access to sustainable modes of public transport as a result of UN-Habitat interventions.	NA change in indicator	500,000	375,600
Subprogramme 5: Housing and Slum Upgrading	Improved housing policies strategies or programmes in line with the principles of the Global Housing Strategy and the promotion of the realization of the Right to Adequate Housing as a component of the Right to an Adequate Standard of Living.	Increased number of partner countries that are implementing improved housing policies, strategies and programmes in line with the Global Housing Strategy, are implementing frameworks or programmes preventing unlawful forced evictions and are implementing sustainable building codes, regulations or certification tools.			
		City authorities	30	40	43
		Subnational authorities		25	31

Expected Accomplishment	Indicator	2013 Baseline	Target	2019 results
Improved slum upgrading and prevention policies, strategies or programmes.	Increased number of partner countries that are formulating slum upgrading and prevention policies or strategies.	28	42	43
	Increased number of partner countries that are implementing sustainable and participatory slum upgrading and prevention programmes.	8	56	53
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.	Increased number of partner countries that are enabling equitable community representation in coordinating bodies such as the national habitat communities.	NA change in indicator	36	40
	Increased number of partner countries where communities are empowered to lead initiatives.	NA change in indicator	46	42
Subprogramme 6: Risk Reduction and Rehabilitation	Increased number of and governments that have included urban risk reduction and management in their plans.			
	partner local, subnational governments	76	147	154
	National governments	5	62	34
Improved settlements recovery and reconstruction interventions for long-term sustainability in cities and other human settlements.	Increased percentage of partner cities and other human settlements that have implemented sustainable urban reconstruction programmes including risk reduction.	60%	80%	80%
Improved shelter rehabilitation programmes in crisis responses contributing to sustainable and resilient cities and other human settlements.	Increased percentage of shelter rehabilitation programmes that are contributing to disaster-resilient permanent housing.	40%	75%	75%

	Expected Accomplishment	Indicator	2013 Baseline	Target	2019 results
Subprogramme 7: Urban Research and Capacity Development	Improved monitoring of global urbanization conditions and trends	Increased number of urban observatories using, upon approval by appropriate authorities, UN-Habitat monitoring tools, methods and data.	274	335	355
		Number of partner national statistical offices producing urban data and indicators to support reporting on the Sustainable Development Goals.	15	45	73
	Improved knowledge of sustainable urbanization issues at the local, national and global levels for evidence-based formulation.	Number of local and national governments that have used UN-Habitat knowledge products for policy formulation.	Not available	400	383
		Increased number of partners producing national and city reports to enhance local and national policy formulation	7	35	30
	Improved capacity of national and local authorities and partners to implement plans or strategies for sustainable urbanization.	Increased number of national and local authorities and partners that have implemented plans or strategies for sustainable urbanization.	NA change in indicator	259	329

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