

Mid Term Evaluation of the Implementation of UN-Habitat's Strategic Plan, 2014-2019 (2/2017)

DRAFT Management Response and Action Plan

OVERALL MANAGEMENT RESPONSE

UN-Habitat Management welcomes the Mid-term Evaluation of the Implementation of UN-Habitat's Strategic Plan, 2014-2019. The evaluation was carried out during the period February to March 2017 by two external evaluators, Ms Dorothy Lucks and Ms Ingrid Obery. The intent of the evaluation is to contribute to a better understanding of the progress achieved in implementing the Strategic Plan, determine whether UN-Habitat was achieving transformational results and make recommendations about improvements to strengthen performance, as well as feed into the review of the Strategic Plan 2014-2019.

The evaluation assesses UN-Habitat's progress towards the Plan's strategic result, the extent to which the UN system reforms have affected the implementation of the Strategic Plan, the effectiveness of UN-Habitat in implementing the Strategic Plan at regional and country level, and the quality of UN-Habitat's work, working under Delivering as One principles, the extent to which cross-cutting issues (human rights, gender equality, youth and climate change) are effectively integrated in design and implementation, the effectiveness and coherence of UN-Habitat, as a matrix organization, in delivering and achieving integrated approaches towards urbanization, and the changes and elements of continuity since the adoption of the Strategic Plan. In addition, the evaluation considers the extent to which UN-Habitat contributes to transformative change in relation to its strategic result, and assesses performance based on standard evaluation of relevance, effectiveness, efficiency, impact and sustainability.

The mid-term evaluation report was distributed to member States at the time of the 26th Governing Council in May 2017, and member States subsequently urged "*the Executive Director to adjust the strategic plan on the basis of the results of the midterm evaluation and to present it without delay to the Committee of Permanent Representatives for review and approval*" (26/3).

UN-Habitat Management finds the evaluation findings and recommendations useful and timely; and it will make concerted efforts to implement the accepted recommendations as this will support UN-Habitat's efforts towards positioning itself for the effective implementation of the New Urban Agenda and SDGs and in making itself more fit for purpose.

In the following matrix, the Management presents detailed responses to each of the four recommendations and their sub-recommendations with proposed actions, timeframe and responsible units for the implementation.

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No.	Recommendation	Management Response	Proposed Actions	Timeframe	Responsible Unit(s)	Status of implementation	Comments on progress
1.	<u>Gear up to take a leading role in the New Urban Agenda and SDG 11: Raise the profile of UN-Habitat's Vision and Guiding Statements and capitalize on its notable achievements within the context of the New Urban Agenda and Sustainable Development Goals.</u>						
	<p>1. Take a more proactive approach to implementing the Knowledge Management strategy towards the Strategic Result. These could be cost or non-cost bearing, depending on what is identified. For example:</p> <ul style="list-style-type: none"> • Prepare and implement a holistic and cumulative internal knowledge building plan. Include inputs and participation into individual learning plans. This process can be done without additional resources except allowance for time from staff within the branches and regions. Regional case studies on lesson learning would help to identify how normative tools need to be adjusted or amalgamated and whether new tools or interventions are necessary • Prepare and implement a plan to collate and catalogue, all UN-Habitat normative tools. This process should be ongoing and would eventually involve review, identify redundancies or consolidations, and identify new needs. Availability and usefulness should feed into communications suggested below in point number 4. • Consider locating essential information gathering, knowledge management and communications into one Division or branch that has direct access to the Executive team such as Strategic Communications & Knowledge Management, including monitoring functions 	Partially Accepted	<ul style="list-style-type: none"> - Take steps to operationalize the Knowledge Management (KM) Strategy. - Ensure more visible linkage between normative and operational work through feedback learning - Incorporate relevant external cutting edge knowledge into project/programme development - Ensure lessons learned from projects and programmes are captured through the appropriate project/programme closing procedures and report - Ensure utilization of knowledge gained through closed projects - Ensure an effective project information management system is in place to support knowledge management. 	December 2018 (Management action, requiring no change to the current strategic plan)	PD (in collaboration with MOD)	In progress	<p>Partially accepted because the coordinating role of Programme Division answers the assumed intention for the recommendation: 'Locating essential information gathering, knowledge management and communications into one Division or branch'</p> <p>The implementation of the KM Strategy is seen as an Agency-wide responsibility and the Programme Division will coordinate this as the lead Division</p> <p>Programme Division was restructured in teams with strong emphasis on knowledge management in September 2017. A team is focused on project management cycle.</p>
	2. Produce a comprehensive Communications Strategy to generate clearer and more strategic key messages in line with the Strategic Plan Guiding Statements, the New Urban Agenda	Accepted	- Each branch and region to have a % allocation for communications support. This	December 2018	ERD	In progress	The UN-Habitat Senior Management Board approved the

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	(NUA) and Sustainable Development Goals (SDG) which will focus on Sustainable Cities and ensure that these messages are widely disseminated		<p>would provide predictable funding for the AOC division and allow for better planning and higher impact communications materials at global, regional and country levels.</p> <p>- Use the ongoing communications audit and action plan presentation for a coherent approach to communications in UN-Habitat</p>				<p>Communications Strategy in 2016. Full implementation will require contributions from all branches and regions.</p> <p>The revised Strategic Plan adopted at the last Governing Council calls for a greater emphasis on strengthening communications and demonstrating UN-Habitat's role in economic and social development.</p>
	3. Strengthen work that defines the characteristics of a Sustainable City and key tools and guidelines for achieving progress towards Goal 11 and the NUA	Accepted	<p>- To incorporate the SDGs and the NUA in the revised Strategic Plan</p> <p>- To implement the revised Strategic Plan. In particular, the Research and Capacity Development Branch through the CPI (and other tools) to continue to work on tools and guidelines for achieving SDG 11 and the NUA</p>	December 2018	PD	Implemented	<p>The revised Strategic Plan adopted at the last Governing Council incorporates the SDGs and the NUA.</p> <p>As requested by the Governing Council, UN-Habitat, through the Programme Division, is spearheading the further development, regional adaptation and dissemination at country level of specific guidance for achieving progress towards NUA and the urban dimension of SDGs, including through the Action Framework for</p>

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							Implementation of the New Urban Agenda (AFINUA).
	4. Produce and propagate directed communications showing UN-Habitat's capacity to help countries implement the NUA and, through this, report their Goals' achievements. This could include promoting the short and longer-term cost savings and sustainability benefits derived from use of different suites of tools: planning; community engagement and implementation and monitoring city progress.	Accepted	- Develop a Collaborative Action Framework for UN system coordination, which will help inform and disseminate new guidelines on sustainable urbanization, and support coherent application among UN partners on the ground.	December 2018	ERD (in collaboration with PD)	In progress	Concept note developed and consultation meetings planned with other UN agencies before or during the 9 th Session of the World Urban Forum (WUF-9) in February 2018.
	5. Take a stronger approach to promoting UN-Habitat's 'value for money' advantage, especially in development and tailoring of normative products for sustainable urbanization and city development	Accepted	To further explore various ways to achieve this in the coming months. For example: Pay more attention to the adaptation of global normative product to country situations; such as the rolling out of the International Guidelines on Urban and Territorial Planning and the development of a guide book for its adaptation Also, select two or more normative products and promote them with partners through the communication unit	December 2018 (Management action not requiring changes to the current Strategic Plan)	PD	In progress	On the International Guidelines on Urban and Territorial Planning (IG-UTP) work is in progress on: 1) Tool development for enabling local implementation of the IG-UTP: Handbook for localization – drafted, Expected delivery: first quarter 2018; Monitoring framework – initiated, Expected draft: second half of 2018. 2) Work in countries to locally implement the Guidelines: Training for the Kingdom of Saudi Arabia – in development To be delivered in January 2018.. 3) Other materials to assist countries and cities: Learning package on the IG-UTP – drafted; Expected delivery: first quarter 2018.

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	6. Produce regular data showing UN-Habitat's contribution to country level SDG target achievements. Use this to advocate for increased core funding or less tightly tied funding.	Accepted	- To develop and adopt a methodology to collect and analyze the data.	December 2018 (Management action not requiring changes to the current Strategic Plan)	PD	In progress	UN-Habitat is leading the development of methodology and meter data for 9 out of 15 indicators for SDG 11 in consultation with other UN Agencies. This will culminate in a first report on the implementation of SDG 11 in July 2018. The report is expected to further build confidence in UN-Habitat's capabilities in the implementation and monitoring of the NUA and SDGs.
2.	<u>Enable programmatic integration towards transformative results: UN-Habitat is achieving transformational results and must strengthen systems to acknowledge, support and increase these, and enable meaningful measurement of progress.</u>						
	1. Develop a concise and clear Theory of Change which shows how the work of branches, regions and countries ultimately contribute to the Strategic Result and Vision of UN-Habitat, and use this to more clearly guide activities to contribute towards the Strategic Result	Accepted	- To develop a theory of change as part of the next Strategic Plan.	December 2019 (to be integrated to the next Strategic Plan 2020 – 2025)	PD and MOD	In progress	Proposed revision to the Strategic Plan by including a theory of change has been developed and will be shared with the sub-committee in November 2018 and the CPR in December 2018.
	2. Develop a short set of 'transformational indicators', in addition to the current indicators, that reflect where transformational results are being achieved. It is important to note that, given UN-	Accepted	- To develop sets of transformational indicators, building on the CPI and other internal indicators.	December 2019 (to be integrated to the next	PD (in collaboration with MOD and ERD)	In progress	ERD is creating a Partners Portal, which will be both internal and external facing and allow

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	Habitat's role with partners, its transformational results will need to be tracked through contribution analysis not through direct attribution			Strategic Plan 2020 – 2025)			for more systematic engagement and monitoring of partners across the Agency.
	<p>3. Link programmatic results to knowledge management and use concise knowledge products for future programming, advocacy and resource mobilization, including actions such as:</p> <ul style="list-style-type: none"> • More closely tracing emerging results on transformational change to knowledge management (see recommendation 1); • Ensuring that all crosscutting teams/units have the same level of access to/engagement with programme content as the Gender and Equality Unit – this may involve relocation • Investigating the equity of resource allocation and funds mobilization efforts across focus areas and regions in line with focus area priorities and the Strategic Result 	Accepted	<p>- To give Knowledge management priority. And to operationalize the Knowledge management strategy through development of sets of guidelines (for example, project management, partnerships etc.)</p> <p>- Provide direct support to country teams to enhance the integration of lessons learned into normative work and new portfolio development.</p> <p>- See Recommendation 1.1</p> <p>- To pay special attention to under-funded areas through targeted resource mobilization efforts. For example, the Urban Economy Branch is working on the development of a Global Municipal Finance Database.</p>	December 2018 (management action not requiring changes to current Strategic Plan)	PD (in collaboration with ERD and MOD)	In progress	ERD is supporting PD in identifying and promoting 'flagship' programmes that have clearly demonstrated transformational change and cover cross-cutting areas (e.g. PSUP; Safer Cities; Resilience/DRR; CPI).
	4. Integrate whole of organization enablers (Partnerships, Advocacy and Resource Mobilization) within the planning, delivery, monitoring and reporting of transformational activities. These do not require additional resources, but can be systematized in a similar manner to crosscutting issues.	Accepted	- To Strengthen partnership and advocacy in the PAG at the project/programme formulation stage	December 2018 (management action not requiring changes to the current Strategic Plan)	PD, and ERD (in collaboration with MOD)	In progress	Per the Governing Council resolution at GC26, ERD, PD and MoD are moving forward with an Implementation Facility for Sustainable Urban Development in partnerships with the UN and the World Bank.

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			<p>- RM to work closely with Partnerships and AOC which is currently supporting mobilization of the UN system and partners for joint resource mobilization and joint support to countries.</p> <p>- The ERD and RM unit to collaborate in creating a Development Partners Group (DPG) to convene Member States, key donors, private sector, UN partners, and local governments to help guide resource mobilization efforts and ensure these are linked to country and local priorities.</p> <p>- To explore other possibilities of this and the how in the coming months. Relevant SOPs will be developed to aid operationalization.</p>				<p>See above. In addition, ERD is taking the lead on mobilizing new partnerships with UN agencies and others towards enhancing resources for global and thematic programmes (e.g. UNOPS; IoM; UNESCO; ILO, etc.).</p> <p>A Development Partners Group proposal has been developed and is pending review by SMC.</p>
	<p>5. Add Risk and Resilience (disaster risk management and city resilience planning) as a fifth crosscutting issue alongside the four already in place.</p>	<p>Partially Accepted</p>	<p>- To mainstream Risk and Resilience into the Agency's programming</p>	<p>December 2019</p> <p>(to be considered in the next Strategic Plan)</p>	<p>PD</p>	<p>In progress</p>	<p>Partially accepted because UN-Habitat is of the opinion that RRR should continue in its current shape. The possibility of the recommendation will be critically reviewed and incorporated into the next Strategic Plan with the purpose of stronger mainstreaming of RRR</p>

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3.	Advocate for “fit-for-purpose” UN Structure and Systems: Given UN-Habitat’s identified leadership role in the New Urban Agenda, input into the Secretary General’s review should advocate for a governance structure, which is in line with current good practice oversight and which enables rather than hinders operational functionality.						
	<p>1. Provide strategic input to the review of UN-Habitat, particularly:</p> <ul style="list-style-type: none"> Structural concerns raised in the Peer Review of Medium Term Strategic and Institutional Plan 2008-2013 that require GC advice and action should be reiterated in a Management Letter to the GC through the Committee of Permanent Representatives Consider the potential actions proposed in this evaluation towards restructuring the current arrangements to provide more functional support systems; particularly for knowledge management, communications and cross-cutting issues Based on the opposed forces – on the one hand UN- 	<p>Accepted</p> <p>Accepted</p> <p>Accepted</p> <p>Accepted</p>	<p>UN-Habitat has been providing inputs to the General Assembly’s review when requested and when the opportunity arises</p> <p>UN-Habitat will closely work with the EOSG to support member states in reaching consensus on a way forward towards achieving a governance structure that is fully fit for purpose.</p> <p>Concerns raised in the HLP for assessing UN-Habitat effectiveness</p> <p>Recommendation repeated See recommendation 1.1</p> <p>- Following the Assessment</p>	<p>December 2019 (management action not requiring changes to the current Strategic Plan)</p>	<p>OED</p> <p>OED</p> <p>PD, ERD and MOD</p> <p>MOD, ERD</p>	<p>In progress</p> <p>In progress</p> <p>In progress</p> <p>In progress</p>	<p>Meetings with UN-Habitat senior management (Executive Director, Deputy Executive Director) held during HLP mission. Further on information provided to the panel secretariat as requested. On-going discussions with 2nd Committee in New York in preparation for annual resolution on UN-Habitat (December 2017).</p> <p>On-going discussions with 2nd Committee in New York in preparation for annual resolution on UN-Habitat (December 2017).</p> <p>Restructuring of the Programme Division done with emphasis on better knowledge management in teams for development, management and cross-cutting issues.</p> <p>This is managed</p>

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	Habitat's expanded mandate and leadership role in the New Urban Agenda (NUA) and, on the other, declining core resources – advocate for an appropriate increase in core funding sufficient to ensuring that administrative, support as well as substantive functions commensurate with UN-Habitat's required role as outlined in the NUA, and in its support to countries aiming to achieve their Goal 11 targets		<p>Panel Report and High-Level Meeting, UN-Habitat to work on a 'way forward' vision for a revitalized agency, this includes structural and staff changes that would make it compelling for Member States to provide additional core resources.</p> <p>- A proposal to support the focal point role of UN-Habitat in the implementation, follow-up and review of the NUA has been developed, and resources are being mobilized.</p>		and PD		<p>through UN-Habitat's engagement with member states in the strengthening of UN-Habitat process, currently underway, and through successive resolutions.</p> <p>Follow up through resource mobilization strategy.</p>
	2. With United Nations Office in Nairobi (UNON) and United Nations Office for Project Services review the benefits and cost of outsourcing finance and human resource functions, and adjust arrangements to achieve best value for money and efficient delivery of the approved Strategic Result	Accepted	<p>- New SLAs with KPIs to be developed with UNON</p> <p>- UNOPS global agreement to be further refined on HR, expanded into procurement.</p>	June 2018	MOD	In progress (management action not requiring changes to the current Strategic Plan)	<p>Primary interlocutor is Department of Management.</p> <p>Underway. Initial SLAs to be proposed by UNON by October, signed by end year.</p> <p>Ongoing dialogue with UNOPS on cost model, review 2 times per year.</p>
	3. UN-Habitat with UNON identify where current UN Rules are not 'Fit For Purpose' and seek systematic exceptions to enable UN-Habitat, as an implementing agency, to deliver on its mandate as effectively and efficiently as possible	Accepted	<p>- Pursue fit for purpose rules and policies in conjunction with 'strengthening of UN-Habitat' exercise</p> <p>- Exact nature of next steps will depend on decisions of member states in GA</p>	September 2018	MOD (in collaboration with PD)	In progress (management action not requiring changes to the current Strategic Plan)	<p>Strengthening exercise underway.</p> <p>Dialogue with UNON underway</p>
	4. Input into the Secretary General's review should advocate for a governance structure in line with current good practice oversight based on available international guidelines, that enables	Accepted	- UN-Habitat will provide more support on request.	September 2017	OED	Implemented	Inputs provided to the the HLP and discussions on-going

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	operational functionality, with clear role and responsibility boundaries and, in addition to stakeholder representatives, decision-makers who are appointed based on their specific oversight competencies and who can provide specialized guidance						with the 2 nd Committee members in advance of annual resolution on UN-Habitat.
	5. UN-Habitat, with the CPR and the GC to consider how best it can implement 'Delivering as One', given the extent of country coverage, particularly in relation to the expanded mandate from Goal 11 and the NUA.	Accepted	National Urban Policies to be developed.	December 2018 (may have impact on the next Strategic Plan)	OED	In progress (management action not requiring changes to the current Strategic Plan)	Approach by UN-Habitat will be considered in conjunction with UN reforms, which are to be agreed by end of 2017.
4.	<u>Improve internal effectiveness and efficiency:</u> There is a range of initiatives underway to improve internal efficiency. These require serious attention by senior management to improve strategic results.						
	1. Bring together information gathering, knowledge management, monitoring and communications into one Division with direct access to the Executive	Not Accepted	-	-	-	-	Existing organisational reporting lines are in line with the matrix structure of UN-Habitat.
	2. Engage, as a matter of urgency, with the Umoja 2.0 design process to ensure that the provider has a clear and comprehensive list of UN-Habitat's input and output requirements	Accepted	- Continued engagement until go live	December 2018	MOD (in collaboration with PD)	In Progress	Meeting with Umoja team in New York to begin process and meetings with other XB entities. Nairobi workshop by end year High level dialogue with Umoja manager started.
	3. Conduct an 'Umoja CAN DO' campaign, with a concise list of UMOJA advantages for UN-Habitat based on the existing UMOJA promotional material. Undertake any necessary change management or training to address internal factors preventing	Accepted	- Communications plan to be adopted. - Change management and training plan to be designed and	December 2018	MOD	In progress	Workshop planning underway.

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	efficient use of Umoja.		implemented.				
	4. Accelerate work of the joint United Nations Office in Nairobi, UN-Habitat and UNEP Business Transformation and Change Management initiative to improve internal business process efficiency and set service standards.	Accepted	- The Nairobi Services Group will consider in planning for 2017.	September 2017	MOD	Implemented	The recommendation has been implemented but the improvement of business processes is a continuous process.
	5. Improve the functioning of the Project Accrual and Accountability System for both management information and links to Umoja financial reporting to improve accountability on cost-efficiency and streamline reporting requirements to GC and CPR to reduce wasted time and effort.	Accepted	<ul style="list-style-type: none"> - Continue to roll out and strengthen PAAS 2.0 functionality - Develop new functionality 	July 2017	MOD	Implemented	<p>Stage 1 currently in implementation. Stage 2 will depend on other events.</p> <p>PAAS 2.0 already launched.</p> <p>Continuous development and improvement to follow.</p> <p>See above re: Development Partners Group.</p>