Evaluation Report 3/2019

EVALUATION OF PROJECT FOR STRENGTHENING NATIONAL CAPACITIES TO FORMULATE AND ADOPT HOUSING AND SLUM UPGRADING STRATEGIES

March 2019

UN HABITAT
FOR A BETTER URBAN FUTURE

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LIST OF ACRONYMS AND ABBREVIATIONS

AoC	Agreement of Cooperation
CBOs	Community-based Organisations
CDU	UN-Habitat's Capacity Development Unit
DG	Development Goal
EA	Expected Accomplishment
HAP	Habitat Agenda Partners
HSUB	Housing and Slum Upgrading Branch
IADGs	Internationally Agreed Development Goals
GA	General Assembly
GC	Governing Council
GHS	Global Housing Strategy
GSS2000	Global Strategy for Shelter to the Year 2000
LDC	Least Developed Country
MoU	Memorandum of Understanding
NGOs	Non-Government Organisations
NHC	National Housing Committee
NUA	New Urban Agenda
PAG	Project Approval Group
ROAF	Regional Office for Africa
RBM	Results-Based Management
the Account	the 9th Tranche of the United Nations Development Account (UNDA)
The Agency	UN-Habitat
the Strategy	the Global Housing Strategy
TOC	Theory of Change
OHCHR	United Nations Office of the High Commissioner for Human Rights
PrepCom	Preparatory Committee of the United Nations Conference on Housing and Sustainable Urban Development (Habitat III)
PSUP	Participatory Slum Upgrading Programme
UN-Habitat	United Nations Human Settlements Programme
UNDA	United Nations Development Account
UNECA	United Nations Economic Commission for Africa
UNECLAC	United Nations Economic Commission for Latin America and the Caribbean
UNESCAP	Economic and Social Commission for Asia and the Pacific
UNHRP	UN Housing Rights Programme

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EXECUTIVE SUMMARY

PROJECT CONTEXT

The evaluation covers the activities of the Project 'Strengthening National Capacities to Formulate and Adopt Housing and Slum Upgrading Strategies'. The Project is financed by the Development Account for an amount of USD629.000 and focuses on advocacy and capacity development for housing governance in six sample countries.

The project enables the practical rollout of UN-Habitat's Global Housing Strategy (GHS). It draws on global processes to formulate housing and slum upgrading strategies and implement the GHS at country-level. The GHS seeks to readdress issues at global and country levels, mainly in the critical developing regions, where inequalities and urban poverty are more manifest and have had a greater impact on access to adequate and affordable housing. At the global level, it is expected that the GHS approach results not only in the repositioning of housing within the global contemporary debate on economically viable, environmentally sustainable and socially inclusive cities, but also on critical outputs such as a shift in thinking and practice; stronger policy frameworks; systemic reforms promoted; strengthened linkages of housing with other parts of the economy; and decentralization of housing production and delivery systems.

The Project targets developing regions with the most pressing challenges concerning housing development in Sub-Saharan Africa and Asia-Pacific. Demonstration projects were implemented in Afghanistan, Lesotho, Mozambique, Myanmar, Sri Lanka and Zambia. The Project also adopted a regional approach to capacity building by undertaking regional workshops.

The development objective is "reduced unmet housing demand and half of the slum population at the national level has access to adequate housing".

The Project's objective is to "enhance the capacity of national and local authorities of selected Member States to formulate and implement effective, rights-based, gender responsive and results-based national housing policies and strategies".

The Project's expected accomplishments are: EA1 Establishment and strengthening of National Habitat Committees for formulating and implementing sustainable and inclusive housing, slum upgrading strategies and/or policies; and EA2 Commitments from additional countries through the target regions to the principles of the GHS for inclusive, right-based, gender-responsive, results-based sustainable housing and slum upgrading.

THE EVALUATION

UN-Habitat is undertaking this evaluation in order to assess the performance of the Project and measure to what extent it has been relevant, efficient, effective and sustainable. The evaluation assesses changes at outcome level and the emerging impact to identify key learnings for the implementation of future projects. The evaluation is providing an independent and forward-looking appraisal of the Project's operational experience, achievements, opportunities and challenges based on its performance and expected accomplishments. Future Development Account-funded projects are expected to take the learning from the evaluation – among other sources of information - into account during implementation. This is a centralized evaluation, commissioned by UN-Habitat and managed by the Evaluation Unit. The evaluation is carried out by a consultant evaluator, Ms. Ilde Lambrechts, with logistical support from the Housing Unit of the Housing and Slum Upgrading Branch and in consultation with the members of the Evaluation Reference Group.

Evaluation Approach and Methods

The evaluation follows the evaluation norms and standards of the United Nations System and is in line with the UN-Habitat's Evaluation Policy and Evaluation Manual.

The evaluation combines (i) the 'theory-of-change approach' that outlines the results chain and is integrated into the programme and the projects' respective log-frame with the (ii) the 'systems approach' that assesses nonlinear and complex urban development processes by placing the development intervention in its broader context.

The objective of this Project and therefore the focus of this evaluation is capacity development. To better understand what worked well and what did not into reaching the project objective, the evaluation articulates 'capacity development' in the log frame by showing (i) the institutional change objectives and (ii) the intermediate capacity outcomes into reaching the project objective.

Data collection

Data for this evaluation was collected through: (i) literature review, analyses of the project documents and other documents from project partners and other stakeholders; and (ii) semi-structured interviews in person in Nairobi, and by Skype or phone with key stakeholders, namely project personnel and their consultants, and beneficiaries namely national authorities.

Limitations to the Evaluation included:

(i) Because the interventions undertaken in each of the countries are limited in scope and budget, the evaluated activities might not attain the critical level of change that would allow a meaningful analysis of its contribution; (ii) no field missions could be undertaken; (iii) flaws in the log frame hamper the application of the theory-of-change and; (iv) capacity development involves many external factors that are influential, which makes it difficult to analyse the attribution of interventions to the achievement of the project objective.

SYNTHESIS OF THE FINDINGS

Achievements

The Project addressed all the necessary intermediate capacity outcomes towards strengthening national authorities and other stakeholders by (i) raising awareness, (ii) enhancing knowledge and skills and (iii) improving collaboration and coordination. It especially achieved the first two outcomes, as setting up coordination and implementation mechanisms turned out to be challenging.

EA1 'Review and formulation of policies and strategies', however, is an activity and not an outcome. Housing frameworks were supported in all the target countries. EA2 'Commitment from additional countries through the target regions to the principles of the GHS'. The Project supported Habitat III Prepcom meetings, but the evaluation could not demonstrate the merits of the Project into achieving regional commitment towards the GHS principles.

The Project achieved all the required intermediate institutional change objectives. It (i) strengthened stakeholder ownership as governments now prioritise housing, (ii) improved the efficiency of policy instruments and (iii) improved the effectiveness of government organizational arrangements by advising on restructuring the housing sector. The Project's prime focus and success was on the objective (ii) improving the efficiency of policy instruments.

The Project achieved its objective. It especially strengthened national authorities in formulating the housing framework, while implementation remains a challenge.

Alignment between the Project and the Account Guidelines

The Project was ‘demand’ driven in the six target countries. The success of the Project is closely related to the relevance of its objective of ‘adequate housing for all’ in all countries while benefitting to a large extent from the Global Housing Strategy. The Project supports the achievement of the SDGs and SDG 11.1 in particular. It supports the achievement of the New Urban Agenda by supporting the progressive realization of the right to adequate housing, enabling engagement of stakeholders and undertaking capacity building that is an important means for implementation of the New Urban Agenda.

The relevance of capacity building in housing

The Project well fits the 9th Tranche Account theme of ‘supporting Member States in designing and implementing strategies and policies towards sustainable, equitable and inclusive development’. It also fits the Account's overall objective of 'enhancing capacities of developing countries in the priority areas of the UN Development Agenda’ as housing is one of these priorities and captured under SDG 11.1.

Results Chain

Although the Project addressed all capacity outcomes and change objectives, these are not systematically addressed in the Project design and are not sufficiently articulated in the results chain. This was to the detriment of (i) implementation prospects of downstream housing initiatives and (ii) measuring the outcomes and impact of the Project.

Change strategy

The process of drafting the frameworks was used as a catalyst for capacity development. Also, the target countries were satisfied as they now have a tangible document that can help to align stakeholders and source funds. The Project change strategy assumes that the capacity built and the documents produced will trigger a process of change that will realize “adequate housing for all”. However, this ‘trickle down’ effect is debatable.

Project ambition and selection procedures

Considering the limited budget and time frame, this Project was overambitious at Project design stage in the number of countries that it served and the capacity development objectives at the regional level.

Crosscutting issues

The Project mainstreamed the crosscutting issues of human rights, climate change, gender and youth that are addressed in the housing frameworks that it supported. However, crosscutting issues were not prominent in planning and implementation, reporting and monitoring.

CONCLUSIONS

The Project well fits the 9th Tranche Account theme of ‘supporting Member States in designing and implementing strategies and policies towards sustainable, equitable and inclusive development’.

The Project achieved its objective and it achieved all the required intermediate institutional change objectives. It especially strengthened national authorities in formulating the housing framework, while implementation remains a challenge.

Following the assessment and findings of the evaluation, the performance by evaluation criteria was found to be:

Relevance: The project was ‘demand driven’ in all the target countries. The provision of adequate housing for all is a significant challenge and governments much welcome support in the field.

Effectiveness: The project reached its objective, addressed all the needed capacity outcomes and objectives, albeit not systematically. Capacity development approach merits strengthening to be able to follow the projects results chain.

Efficiency: The project reported against the requirements of the UNDA. Reporting and timing merits strengthening as well as project transparency and visibility.

Impact Outlook: The Project fits into a sequence of capacity reinforcing interventions, which enhances impact. At the time of the evaluation, no tangible projects in housing were implemented yet following the Project.

Sustainability: There are good prospects that the Project triggers new initiatives and more resources. The Housing Unit submitted a similar proposal to the Account.

LESSONS LEARNT

1. Capacity development is a specific field that requires expert knowledge to develop a strategy that is associated with the particular sector or theme to improve effectiveness and efficiency. It needs concrete capacity development outcomes with indicators, baselines and targets in order to measure its results.

2. The Project is not entirely clear about the capacity development approach used, because the ‘Guidelines for the Preparation of Project Documents for the 9th Tranche of the Development Account’ are ambiguous about results and indicators, and hence about the capacity development approach that should follow.

3. Overall transparency and visibility of the Account Project lack attention, while this is a requirement of the Account to measure capacity development changes that can be attributed to the Project alone.

4. The number of countries in a project needs to be considered as the inclusion of more countries increases coordination and management costs significantly. The project design was too ambitious with regard to the number of countries that are served, and in its expected accomplishments that included regional capacity building. This ambition is related to the Accounts approval process where projects compete based on concept notes.

5. The project (i) primarily engaged with high-level decision makers and (ii) in some countries administered the Project from Head Quarters. This did not seem effective into achieving the development objective as framework documents were well supported by governments but to a lesser extent by country stakeholders, lessening implementation prospects.

RECOMMENDATIONS

1. UN-Habitat should gear its interventions towards the development objective of “housing for all”, even if the Project objective is capacity development only. It should maximize adapting generic tools to the local context, make them practical and support coordination and implementation mechanisms to enhance implementation prospects of housing initiatives. It should develop housing frameworks in full co-production with local authorities and stakeholders, maximizing local capacity and restricting the use of consultants to advisory services. It should maximize the implementation prospects of housing strategies.

2. The Housing Unit enhance cooperation with the Capacity Development Unit for capacity development project -such as this Account Project- to develop a clear capacity development strategy, indicators, baselines and targets to measure results. The Housing Unit should maximize the involvement of Regional and Country Offices to inform the local context and save resources. It should encourage its projects to undertake capacity development in co-production with local or regional capacity building institutes and support them with advisory services as is recommended by the Account.

3. To fulfil its mandate and achieve SDG 11.1 of “ensuring access for all to adequate, safe and affordable housing and basic services and upgrade slums”, UN-Habitat should strengthen its ‘development-oriented’ planning to roll out the GHS and keep a territorial focus. Housing frameworks tend to belong to ‘traditional planning’ that is mainly control-based instead of ‘development-oriented’. Admittedly it is a precondition to set the rules and align stakeholders through framework documents, but they do not drive housing initiatives, changing people’s lives. This means working simultaneously on the following three tracks:

- Draft localised housing frameworks - which include policies, strategies, long-term programme and short-term action plans - to align the various stakeholders to a common cause. – The project followed this track –
- ‘Manage’ everyday life, score ‘goals’ and create trust by solving conflicts and problems, making use of opportunities through the implementation of actions and projects of an urgent and strategic nature in the short-term.
- Engage and empower diverse actors in the co-production, planning and decision-making processes.

UN-Habitat should work towards early ownership of stakeholders such as national governments already committing funds when policies are drafted; include small-scale interventions when policies are drafted and; empower housing committees to engage with diverse stakeholders, which can also be done through partnerships among national level and local levels in the context of tangible local projects.

4. In coordination with UNDA, UN-Habitat should revise the project budget structure and log frame concept, showing the detailed cost of specific activities per budget class and per country. Changes in project implementation should be visible in adjustable and subsequently adjusted budgets and log frames. Formal approval procedures for changes during project implementation should be institutionalised, light and enforced. This would facilitate more accurate M&E and keeping focus on the Project objective during implementation.

5. UN-Habitat should design and roll out strategies for rerouting projects during design and implementation.

6. UN-Habitat should articulate capacity building in the Project documents and in the log frame. Projects should provide an evaluation framework for capacity development and align

the expected results accordingly. Even if they opt to measure outputs and outcomes only, interventions should keep the long-term development goal in perspective.

7. UN-Habitat should agree with the Development Account that all the crosscutting issues of human rights, climate change and gender need to be mainstreamed in Account projects.

8. UN-Habitat should refine its networking and coordination and implementation mechanisms in housing when undertaking capacity development to improve local implementation prospects in housing. It should develop specific methods for coordination mechanisms in:

- Improved consensus and teamwork
- Strengthened coalitions
- Enhanced networks

1. INTRODUCTION

1. The United Nations Human Settlements Programme, UN-Habitat, is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities and improve access to adequate housing for all. UN-Habitat is to support national and local governments in laying the foundation for sustainable urban development.
2. This project was financed by the UN Development Account (UNDA or the Account), a capacity development programme of the United Nations Secretariat aiming at enhancing capacities of developing countries in the priority areas of the Account. UN-Habitat undertook this evaluation in order to assess the performance of the project, to what extent it has been relevant, efficient and effective, and sustainable, as well as evaluate changes at outcome level and emerging impact to identify lessons to inform the implementation of future projects.
3. This evaluation was commissioned by UN-Habitat. An external consultant, Ms. Ilde Lambrechts conducted the evaluation. The Evaluation Unit managed the evaluation, with logistical support from the Housing Unit of the Housing and Slum Upgrading Branch and in consultation with the members of the Evaluation Reference Group. The Evaluation Reference Group consisted of the Evaluation Unit, the Housing Unit, and focal points from the Regional Office for Africa, the Regional Office for Asia and from the Pacific and the Evaluation Unit.

4. Scope of the evaluation

   The evaluation covers the activities of the project 'Strengthening National Capacities to Formulate and Adopt Housing and Slum Upgrading Strategies'. The project is financed by the Development Account for an amount of USD629.000 and focuses on advocacy and capacity development for housing governance in six countries of which five are least developed countries.

   Geographically, the Project targeted developing regions with the most pressing challenges with regard to rapid urbanization and housing development. They are Sub-Saharan Africa, Asia-Pacific, Latin America and the Caribbean. The Project also adopts a regional approach to capacity building and undertakes regional workshops covering countries from each of the above regions. Demonstration projects were implemented in Afghanistan, Lesotho, Mozambique, Myanmar, Sri Lanka and Zambia.

   The evaluation assesses the entire project period, including the 15-month extension, i.e. from 1 June 2014 to 31 December 2017.

5. Objectives of the Evaluation

   The evaluation is to provide an independent and forward-looking appraisal of the project's operational experience, achievements, opportunities and challenges based on its performance and expected accomplishments. What will be learned from the evaluation findings is expected to inform the implementation of future Account-funded projects – among other sources of information. It will inform future projects in planning and programming projects, influencing strategies, adjusting and correcting as appropriate, exploiting opportunities, replicating and up-scaling the implementation approach used as well as generate credible value for targeted beneficiaries and addressing global, regional and national priorities. The evaluation results will also contribute to UN-Habitat's planning, reporting and accountability roles and responsibilities.

6. The key objectives of this evaluation are summarised as follows:

   (i) To assess the achievement of expected accomplishments and performance of the project in strengthening national capacities to formulate and adapt housing and slum upgrading strategies. This entails analysis of the delivery of outputs, achievement of outcomes, and long-term effects.

   (ii) To assess the extent to which the project has created 'value-for-money', and if the implementation approach used has worked well or not.

   (iii) To make recommendations based on the findings of the evaluation, on what needs to be done to effectively implement, promote, develop and monitor UN-Habitat's support to national and local authorities in formulating and implementing national housing policies and strategies.

7. Mandate for the evaluation

   The evaluation is mandated by the rules for Account's 9th Tranche projects. It is also in line with the UN-Habitat Evaluation Policy (2013) and the revised UN-Habitat Evaluation Framework (2016). The evaluation was included in the draft 2018 UN-Habitat Evaluation Plan and will synthesize achievements, results and lessons learned from the project. The sharing of findings from this evaluation will inform Account partners, UN-Habitat and other key stakeholders, including governing bodies and Member States.

8. Report structure

   This report has three parts. Part I gives an overview of the evaluated intervention. It explains the evaluation methodology and how crosscutting issues are incorporated in the evaluation. Part II gives an overview of the achievements and Part III contains a synthesis of the findings, the key conclusions, lessons learnt and a list of actionable recommendations. Annexes contain background documents, including in Annex 2 individual project evaluations of projects implemented in Afghanistan, Lesotho, Mozambique, Myanmar, Sri Lanka and Zambia.

PART I

2. THE EVALUATED INTERVENTION

Table 1: Project overview

PROJECT OVERVIEW	
Project title:	Strengthening National Capacities to Formulate and Adopt Housing and Slum Upgrading Strategies
Project ref.:	1415W
Location:	Africa, Asia and the Pacific, Latin America and the Caribbean Regions Lesotho, Mozambique, Myanmar, Afghanistan, Zambia, Sri Lanka
Project theme(s):	Governance and Institution Building Social Development
Period of execution:	Planned: 27 months. Actual: 42 months.
Start date:	Planned: 01.06.2014. Actual: See different countries
End date:	Planned: 30.09.2016. Actual: 31.12.2017
Contractual values:	USD 629.000
Resource envelope:	Account 9th tranche projects
Implementing agency:	UN-Habitat - HSUB
Supporting branches, units:	Gender Unit
UN partners:	OHCHR through the UNHRP Regional Commissions.
External partners:	CBOs NGOs Joint activities focusing on vulnerable groups
Key stakeholders	National and local authorities, development agencies, professionals, academia, private sector, civil society and households.
End beneficiaries:	Households
Resolutions:	GC Res. 23/16 of 2011: Global Housing Strategy (GHS) approved GC Res. 24/9 of 2013: Inclusive national and local housing strategies to achieve the GHS's paradigm shift
Linkage with UN-Habitat strategies and programmes:	Sub-programme 5 on Housing and Slum Upgrading Global Strategy for Shelter to the Year 2000 (GSS2000) Participatory Slum Upgrading Programme (PSUP)
Linkage to MDGs:	Goal 7D: Improving the lives of 100 million slum dwellers by 2020 Goal 8: Develop a global partnership for development
Linkage to SDGs:	SDG11
Other linkage:	Rio + 20 Framework of Action and Outcome Document

OVERVIEW OF THE EVALUATED INTERVENTION

9. The project enables the practical rollout of UN-Habitat's Global Housing Strategy (GHS) and the development of capacity in six countries as highlighted in the overview of the project in table 1. It draws on global processes to formulate housing and slum upgrading strategies and implement the GHS at country-level.

   The development objective is "reduced unmet housing demand and half of the slum population at the national level has access to adequate housing".

   The project's objective is to "enhance the capacity of national and local authorities of selected Member States to formulate and implement effective, rights-based, gender responsive and results-based national housing policies and strategies".

The capacity change objectives to reach the project's result are formulated as follows:

Increased awareness at the national and local levels on the tenets of the right to adequate housing; increased awareness of policy-makers on the needs and expectations of urban poor households.

- Identified clear leadership of national authorities in the housing sector; decentralization promoted.
- Enhanced skills of national and local authorities in undertaking research, collecting data on housing, creating housing and urban indicators, in developing baseline data and mobilizing resources for implementation.
- Improved coordination of key public actors; coordination mechanisms strengthened.

10. The Project's expected accomplishments are:

- EA1: Establishment and strengthening of National Habitat Committees for formulating and implementing sustainable and inclusive housing, slum upgrading strategies and/or policies.

- EA2: Commitments from additional countries through the target regions to the principles of the GHS for inclusive, rights-based, gender-responsive, results-based sustainable housing and slum upgrading.

  The focus on the establishment of coordination and implementation mechanisms (National Housing Working Groups and National Habitat Committees) was reconsidered in view of the lack of financial and human resources from countries to make these entities operational and triggers of policy/strategy formulations. More efforts were placed in technical advice from UN-Habitat, following up closely with pilot countries, to the actual review and formulation of policies and strategies.1 Table 2 provides a summary of the project expected results.

11. The project's results chain captures the project's logic and is shown in figures 1 and 2 further down in the document.

Table 2: Summary of the Project's Expected Results

PROJECTS EXPECTED RESULTS	
Objective	Enhanced capacity of national and local authorities of selected Member States to formulate and implement effective, rights-based, gender responsive and results-based national housing policies and strategies
EA1	Review and formulation of policies and strategies. (Formerly: establishment and strengthening of National Habitat Committees for formulating and implementing sustainable and inclusive housing, slum upgrading strategies and/or policies)
EA2	Commitments from additional countries through the target regions to the principles of the GHS for inclusive, rights-based, gender-responsive, results-based sustainable housing and slum upgrading

IMPLEMENTATION STRATEGY

12. To achieve the Project Objective, the project would undertake the following activities:

[1] As stated in the Project Progress Reports.

- Advocacy and networking:
  National awareness raising campaigns
- Policy advice and development:
  Mobilisation of key housing stakeholders
  Policy and technical advisory services
  The use of the GHS e-communications platform
  Participatory reviews of proposed national housing policies
  National validation workshops for national housing policies
  Dissemination of knowledge
- Ensuring the ownership of policies and strategies:
  Action plans agreed for further implementation
- Tools and knowledge management:
  Research on development priorities
  The use of social media and ICT
- Expert Group meetings
- Capacity development workshops:
  To build national capacity in housing policies and strategies
  To achieve regional commitments towards the GHS principles in the Africa, Asia-Pacific and Latin America regions
- To exchange knowledge between countries

KEY ASSUMPTIONS AND RISKS

13. The key assumptions listed in the project document are:
    - Member Countries agree with the GHS principles and national governments understand and promote the use of coordination mechanisms for policy formulation and strategy implementation.
    - Member Countries subscribe to human rights and gender equality and the principles of inclusiveness and sustainability.
    - Member Countries are willing to draw up action plans with attainable implementation schedules and budgets. The members of the NHCs truly represent their constituency and communicate with them on a regular basis.
    - Regional member countries agree with the GHS principles and are open to collaboration.
    - Member countries understand the importance of advocacy to realise a paradigm shift.

    The risks listed in the project document are:

    - Lack of leadership amongst national authorities
    - Vested interests of stakeholders hampering decision-making processes
    - Stakeholders are not committed to fully participate in the NHCs
    - Lack of operational resources for the NHCs

    RELEVANT POLICIES AND MANDATES

14. The 9th Tranche of the UN Development Account

The project was (i) first short-listed for UN-Habitat's submission for the 9th Tranche of the Development Account on the basis of a concept note, as per the PAG process for selection and; (ii) was then selected by the Account into matching its criteria. The theme of the 9th Tranche of the Account is to 'support Member States in designing and implementing strategies and policies towards sustainable, equitable and inclusive development'. The theme is closely aligned to the Rio +20 outcomes, and the Account's overall objective of 'enhancing capacities of developing countries in the priority areas of the UN Development Agenda'. Previous evaluations of the Account were mainly applied as (i) an accountability tool, but now also serve (ii) as a tool for learning and reporting to feed lessons learned into future programming cycles.

15. UN-Habitat's Global Housing Strategy (GHS)

Capacity in addressing housing problems in the target countries is enhanced by localising and promoting the Global Housing Strategy (GHS). The GHS was approved by UN-Habitat Member States in 2011, through GC Res. 23/16 and it builds on the Global Strategy for Shelter to the Year 2000 (GSS2000). It is a collaborative global movement towards adequate housing for all and towards improving housing and living conditions of slum dwellers. A shift in thinking and practice on housing policies would be achieved through coordinated actions that include repositioning housing within the global contemporary debate on sustainable cities, redefining the role of government in housing, strengthening links of housing with other parts of the economy, etc.

16. The project is in line with UN-Habitat's Sub-programme 5 on Housing and Slum Upgrading

The project supports the implementation of UN-Habitat's Sub-programme 5 on 'Housing and Slum Upgrading', and particularly the results framework 2014-2019, and the strategic result of 'Increased access to adequate housing, improved standard of living in existing slums and limited growth of new slums'. The project further contributes to EA1 of the 2014-2015 programme budget 'Improved housing policies, strategies or programmes towards economically viable, environmentally and culturally sustainable and socially inclusive human settlements', EA2 'Improved slum upgrading and prevention policies, strategies or programmes' and EA3 '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'.

17. UN-Habitat's Capacity Development Strategy

The GHS has not formalized an approach to capacity development in housing. UN-Habitat's Capacity Development Unit applies a set of generic training tools to guide capacity development but has no general approach as such. Tools are adapted to varied regional and national contexts. Capacity development mainly focuses on the transfer of learning specific subjects or dimensions of urban development; such as it does on housing2.

18. Rio+20

The project should contribute to the outcome of the UN Conference on Sustainable Development (Rio+20) that aimed at reconciling the economic, social and environmental goals of the global community. Fully cognisant of Rio+20, the GHS therefore promotes a holistic approach to housing and urban development, embracing the importance of partnerships among cities and communities in promoting sustainable development.

[2] UN-Habitat (2018), Training Course Brochure: Innovative approaches to deliver affordable housing options in Asia.

19. Internationally Agreed Development Goals (IADGs)

The project should be aligned to the MDGs, the SDGs and to SDG 11.1 in particular and to the New Urban Agenda.

20. 2014-2017 OHCHR Office Management Plan (OMP)

OHCHR advocates the full realization of all the rights and freedoms enshrined in the Universal Declaration of Human Rights. Expected results include that:

- Constitutions, laws and policies increasingly protect human rights, especially land and housing rights and with particular attention to non-discrimination and gender equality, in the context of development and exploitation of natural resources
- Policies developed on the basis of the active, free and meaningful participation of their populations and increasing awareness among actors
- Rights-holders meaningfully participate in the design and monitoring of public policies, budgets and development projects particularly affecting their human rights, especially their rights to food, housing, water and sanitation, and their access to natural resources such as land
- Human rights standards and principles are integrated into UN development frameworks and the work of UN agencies, particularly on housing, water, sanitation and land
- Developing specific indicators to monitor human rights and participation in development projects and processes related to food, land, water, sanitation and housing.

BUDGET

21. The Project is financed by the Development Account for an amount of USD629.000. The project budget is elaborated in annex 4. In Lesotho, UNDP supported the National Housing Strategy and Profile (USD30.000). The Madrid Council funded an expert group meeting (USD55.000) to discuss affordable housing finance in support of the implementation of housing policies. SIDA supported the GHS programme (approx. USD300.000 for 2016-2017). In Afghanistan, an additional USD30.000 was mobilised for the formulation of the National Housing Policy. In Mozambique, additional funding was mobilised to elaborate the National Housing Profile (approx. USD50.000). All beneficiary countries provided support to project implementation in kind to the tune of USD10.000 in staff time in each country.

3. METHODOLOGY

THEORY-OF-CHANGE APPROACH

22. The theory-of-change (TOC) shows a time-bound pathway from 'start' to 'end' by specifying the needed steps to achieve certain goals. Its main tool, the project log frame shows the results chain of the project by specifying sets of connected building blocks, referred to as inputs, outputs, outcomes and impact. The log frame clarifies the project logic underlying the development intervention.
23. Capacity development is the objective of this Project and therefore the focus of the evaluation. 'Assessing change' in capacity development is challenging because (i) the absence of a conceptual framework for its evaluation and (ii) the project's results chain doesn't specifically articulate capacity development.

    To understand what worked well and what did not, the evaluation articulates capacity development in the results chain by adding 'intermediate capacity outcomes' and 'institutional change objectives'3.
    The 'intermediate capacity outcomes' refer to an improvement in the capacity, ability or disposition of the local change agents or champions to take actions that will affect institutional change toward reaching the development objective.
    The 'institutional change objectives' are changes at the level of national and local authorities or other institutions that are needed to reach the development objective.

24. The project's results chain summarizes the project's logic and is shown in figure 1 below. Figure 2 shows this results chain with 'intermediate capacity outcomes' and 'institutional change objectives' added.

[3] This method is based on resources proposed by the Development Account. They are:

UNDP (2009), Capacity Development: a UNDP Primer.

World Bank Institute (2012), Guide to Evaluating Capacity Development Results.

World Bank Institute Guide (2012), The Capacity Development Results Framework: A Strategic and Results-Oriented Approach to Learning for Capacity Development.

Figure 1: Project results chain

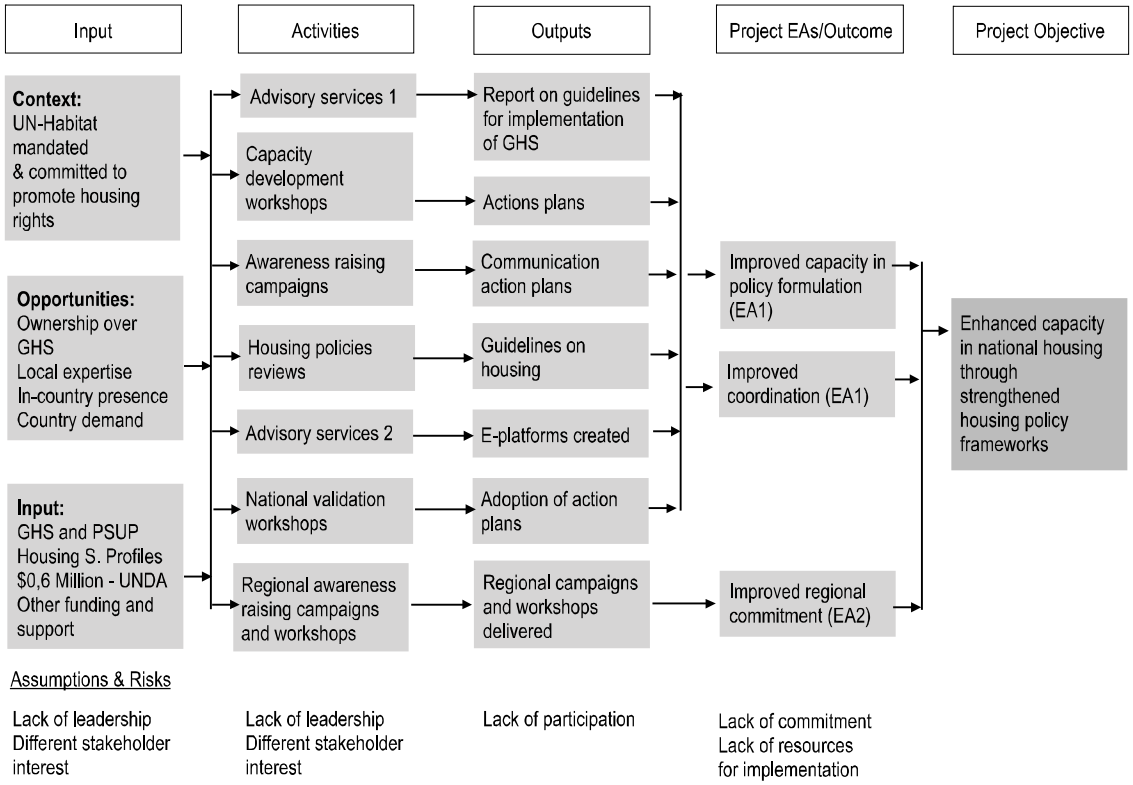
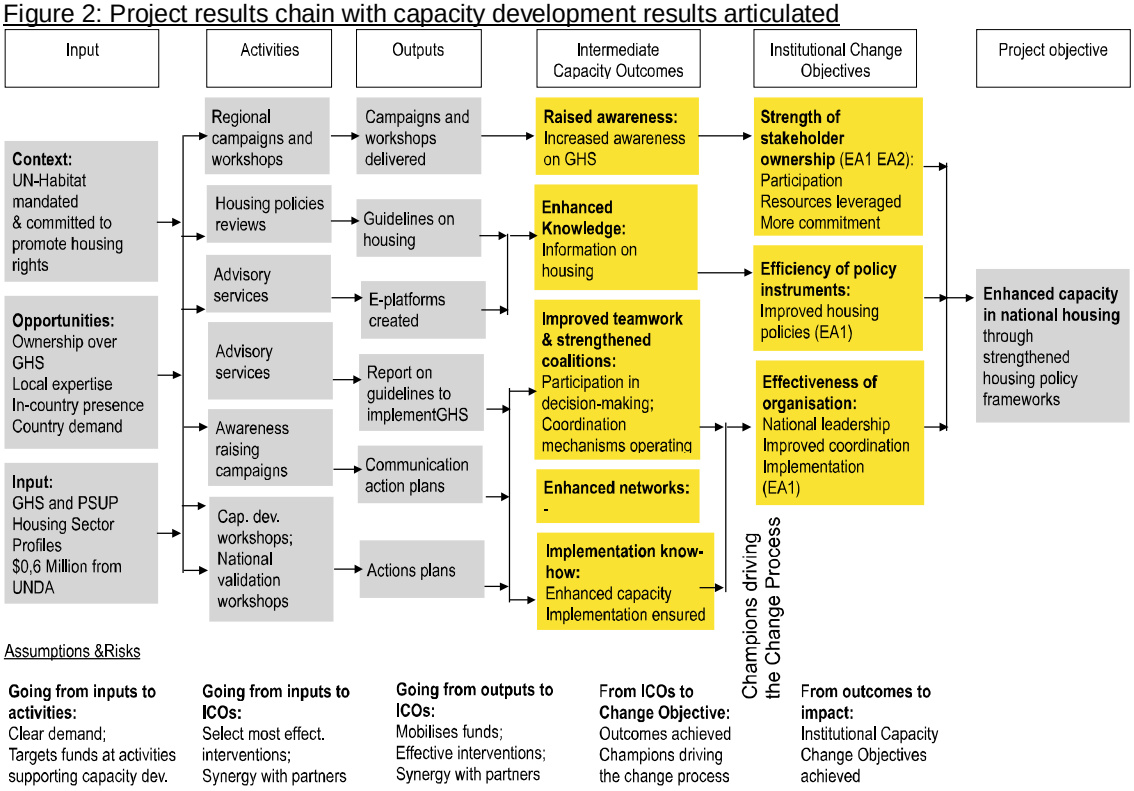


Figure 2: Project results chain with capacity development results articulated



SYSTEMS-APPROACH

The log frame shows the development process as a linear process. But capacity development is a 'change process' that emerges at a certain level of complexity as the result of a mix of non–linear processes, which are also determined by external factors. This change process cannot be fully analysed with the linear reasoning of the theory-of-change and it requires the application of 'the Complexity Theory'4. Also, the log frame assumes that everything goes according to plan and does not capture change that could not be foreseen along the way. Therefore, the evaluation complements the 'theory-of-change' approach with the 'systems' approach to help identify issues and explain linkages that the TOC does not do well.

25. The 'systems approach' helps to describe the transformative change effected by capacity development. It is aligned with 'system thinking', whereby a system is defined as a set of interrelated elements working together to make a unified whole5. By shifting focus from the smaller parts to the whole, we can better evaluate change as the result of different interventions working together. Systems-thinking is an essential part of schooling for sustainability. It helps us to understand the complexity of the world by stimulating us to think in terms of (i) relationships versus entities, (ii) contextual knowledge versus objective knowledge, (iii) patterns versus fragments, (iv) process versus contents and (v) the whole versus the components. It fosters an open environment to allow learning from mistakes as it explains how externalities influence the project. These external factors might be beyond the control of the project staff.

26. Method

    For the 'systems approach', no guiding framework currently exists. To overcome the challenge of measuring results in capacity development, the evaluation studies (i) the capacity development cycle and (ii) the role of change agents/ champions driving the change process while applying the principles of systems-thinking6.

    Cross-cutting issues

27. The report evaluates the integration of the crosscutting issues of climate change, gender equality, human rights and youth in the design, planning and implementation, reporting and monitoring of the project. This is in line with the provisions in the Strategic Plan 2014-2019 and with the TOR. The Development Account does not require that all of the above crosscutting issues be addressed. It only specifies that (i) gender considerations should be addressed and (ii) that the project adheres to a human rights-based approach.

[4] UN-Habitat (2012), Training for Better Cities, page 8.

[5] World Bank, Caroline Heider, Director General and Senior Vice President, Evaluation, World Bank Group (2017), Rethinking the Evaluation.

Lucy Earle (2002), Lost in the Matrix: The Logframe and the Local Picture, Paper for INTRAC's 5th Evaluation Conference.

Capra Fritjof (1997), The Web of Life: A New Scientific Understanding of Living Systems.

[6] The capacity development cycle is explained in the UN-Habitat, Training for Better Cities brochures (2012).

EVALUATION QUESTIONS

28. The evaluation questions allow the evaluator to focus on key points, thus target data collection for in-depth analysis. They are the following:

Relevance

- To what extent is the project consistent with relevant national policies and strategies, and national development plans?
- To what extent is the implementation strategy responsive to MDGs, the SDG and the Account objectives, UN-Habitat's urban development and housing strategies and its strategies on human development priorities on vulnerable groups and poor, human rights, women and youth?
- To what extent are the project's intended outputs and outcomes relevant to the needs of target beneficiaries?
- Effectiveness
- To what extent have national and local stakeholders been involved in the design and implementation of the project?
- What types of products and services did the project provide to beneficiaries through activities implemented? What kind of changes to beneficiaries has resulted from products and services delivered?
- To what extent and in what ways has ownership by local stakeholders impacted on the effectiveness of the project?
- How well has the Management of the project learnt from and adjusted to changes during implementation?
- To what extent has monitoring and reporting on the implementation of the project been timely, meaningful and adequate?
- To what extent were UN-Habitat's cross-cutting issues of gender, youth, climate change, and human rights integrated into the design, planning and implementation, reporting and monitoring of the project?
- To what extent has the project attained or not attained (or is expected to attain) its goal, objective and EAs (in the short, medium and long-term) for the targeted beneficiaries, participants, whether individuals, communities, institutions, partners, etc.?

Efficiency

How well was the project designed and implemented, and what have been the most efficient types of activities implemented?
To what extent were the institutional arrangements adequate for achieving the expected accomplishments? What type of (administrative, financial and managerial) obstacles did the project face and to what extent has this affected project delivery of outputs and achievement of the expected accomplishments?
To what extent was the project delivered in a cost-effective manner?
To what extent were the resources used to implement the project justified in terms of delivering on the expected accomplishments? Was the project worthwhile in terms of what was achieved in relation to the resources at hand?

Impact Outlook

What is the impact outlook of this project in recipient countries?
To what extent has UN-Habitat learnt and improved on its approaches to housing and slum upgrading?

Sustainability

To what extent have local stakeholders been able to design, implement and sustain activities implemented during the project?
To what extent did the project engage the participation of beneficiaries in design, implementation, monitoring and reporting?
To what extent will the in-country activities be replicable or scaled up at national or local levels or encourage further collaboration between stakeholders?

29. Indicators

The project set the following four indicators at outcome level:

(IA1.1) Number of pilot countries that have established a coordination and implementation mechanism (National Habitat Committees)

(IA1.2) Number of National Habitat Committees that demonstrate increased capacity to formulate and operationalize rights-based, gender-responsive, results-based and inclusive housing and slum upgrading strategies and/or policies

(IA1.3) Number of National Housing and Slum Upgrading Strategies adopted with agreed action plans created based on strategies

(IA2.1) Number of countries that endorse the principles and strategy of inclusive, right-based, gender-responsive, and result-based sustainable housing and slum upgrading.
The evaluation measured capacity development along with additional indicators that express7:

- The conduciveness of the socio-political environment to achieve housing for all.
- The efficiency of the policy instruments and other formal means by which the society guides action to achieve housing for all.
- The effectiveness of the organisational arrangements that stakeholders in government and outside government adopt to achieve housing for all.

DATA FOR THIS EVALUATION WAS COLLECTED THROUGH:

- Literature review, analysis of the project documents and other documents from project partners and other stakeholders.
- Semi-structured interviews with key stakeholders namely project personnel and their consultants, and beneficiaries namely national authorities. Interviews in person were performed at the UN-Habitat Headquarters in Nairobi and by Skype or phone. They were guided by the evaluation questions and by standard lists of questions to assess results in capacity development.

The persons interviewed are listed in Annex 3. Seventeen people were interviewed.

Cross-validation of data (triangulation) ensured the validity of the findings.

[7] World Bank Institute (2012), Guide to Evaluating Capacity Development Results.

LIMITATIONS TO THE EVALUATION

30. 1. Since the interventions undertaken in each of the six countries are limited in scope and budget, the evaluated activities might not attain the critical level of change that would allow for a meaningful analysis of its contribution.

2. The restriction that no field missions could be undertaken due to budget constraints: (i) impedes the collection of primary data which makes it difficult to assess individual learning and job performance outcomes and (ii) impedes data collection as missing data could not be retrieved in situ.

3. Some flaws in the log frame hamper the application of the theory-of-change as: project goals and objectives are ambiguous, capacity outcomes are not always captured, some indicators are missing, and no clear targets are set.

4. Capacity development involves many external factors that are influential, which makes it difficult to analyse the attribution of interventions to the achievement of the project objective.

PART II

4. OVERVIEW OF THE ACHIEVEMENTS

4.1 ACHIEVEMENT OF OUTPUTS

31. The evaluation assesses the Project through an in-depth analysis of the project's interventions in the six countries. A detailed assessment of the individual projects is presented in annex 2.

The project (i) undertook scoping missions and held discussions with stakeholders, (ii) held workshops that included presentations on the principles of the GHS and housing finance and (iii) provided advisory services in drafting national frameworks in six target countries in the Africa and Asia-Pacific regions. The housing frameworks included National Housing Profiles, National Housing Policies and National Housing Strategies. The actual drafting of the frameworks was done by consultants, which were paid by other sources than the Account Project in Afghanistan and Lesotho. In Zambia, the government led policy formation. The project also (iv) supported regional GHS workshops and meetings in the context of Habitat III, which were held in Europe and the Africa and Asia-Pacific regions.

The project supported drafting the following frameworks:

In Afghanistan, the project assisted in drafting the Housing Profile and the Housing Program 2017 - 2030 and Implementation Plan. There is no Housing Policy yet.

In Lesotho, the project disseminated the existing Housing Profile and assisted in drafting the Housing Policy and Implementation Strategy.

In Mozambique, the project assisted in drafting the Housing Strategy in support of the existing Housing Policy. In 2018 the Housing Profile was drafted after completion of the Account project.

In Myanmar, the project assisted in drafting the Housing Policy and Strategy. Myanmar does not have a Housing Profile yet.

In Sri Lanka, the project assisted in drafting the Housing Policy. Sri Lanka did not have a Housing Profile or Strategy at the end of the Project.

In Zambia, the project assisted in drafting the Housing Strategy to support the implementation of the existing Housing Policy. Zambia already had a Housing Profile.

Table 3 below, gives an overview of the project's outputs delivered in the six countries.

Not achieved

- The project initially targeted three regions that were identified in the evaluation report of the Global Strategy for Shelter to the Year 2000 as critical developing regions with the most pressing challenges in housing. But the project only worked in Sub-Saharan Africa and Asia-Pacific.
- The project did not use the GHS e-communications platform, but referred to the UN-Habitat website for additional information on housing instead.

- The project did not support the planned awareness-raising campaigns but supported the preparation of Habitat III instead.

Table 3: Overview of the project's outputs delivered in the six countries

1415W: STRENGTHENING NATIONAL CAPACITIES TO FORMULATE AND ADOPT HOUSING AND SLUM UPGRADING STRATEGIES - OVERVIEW OF OUTPUTS PER COUNTRY	
AFGHANISTAN	
Missions	Three missions undertaken
Workshops	No records
Documents	Housing Rights and Human Rights Brief supported
	National Housing Profile (2017) supported
	TOR produced in 2017.12 for National Housing Policy
	Afghanistan National Housing Program 2017 – 2030 supported
Housing project initiatives	UN-Habitat will be partner institution for the implementation of the National Housing Programme 2017 – 2030 National Housing Policy for Afghanistan drafted in 2018
Committees established	Steering Committee formed under the Future of Afghan Cities Programme (FoAC) also working on housing.
Partnerships - UN	No records
Partnerships - Other	World Bank proposes housing fund and seed funding for NHP implementation
LESOTHO	
Missions	three missions undertaken
Workshops	three workshops undertaken
Documents	National Housing Profile: exists
	National Housing Policy: Lesotho National Housing Policy Exists
	National Housing Strategy: Lesotho National Housing Policy Implementation Strategy 2017-2022 supported
Housing project initiatives	Follow-up mission in March 2018 National Housing Strategy used to source funds for housing Monitoring and evaluation of the housing sector performance established Housing Officer in the Housing Department of the Ministry of Local Government, Chieftainship and Parliamentary Affairs appointed
Committees established	NHC installed but only operational on certain occasions
Partnerships - UN	UNDP
Partnerships - Other	No records
MOZAMBIQUE	
Missions	Two missions undertaken
Workshops	One workshop undertaken
Documents	National Housing Policy: Existing National Housing Policy (2011)
	National Housing Strategy: Draft National Housing Strategy supported
Housing project initiatives	National Housing Profile: drafted in 2018 Lack of capacity and funds for implementation recorded Director in Ministry of Housing appointed
Committees established	No records
Partnerships - UN	No records
Partnerships - Other	No records
MYANMAR	
Missions	Two missions undertaken
Workshops	2 Workshop on GHS undertaken
Documents	Housing rights and human rights brief prepared
	National Housing Profile: -
	Housing Policy and Strategy: Draft supported
Housing project initiatives	Instead of a long list of actions, more in-depth analysed and action-oriented proposals might have been preferred

Committees established	National Habitat Housing and Urban Development Taskforce (existing)
Partnerships - UN	No records
Partnerships - Other	No records
SRI LANKA	
Missions	Project implemented by country office
Workshops	Participation in stakeholder workshop by government (2016)
Documents	Housing Rights and Human Rights Brief prepared
	National Housing Profile: Existing (2016)
	National Housing Policy: National Housing Policy (2014) revision supported (2017)
Housing project initiatives	Sri Lanka Land Bank Programme Assessment
Committees established	High Level Committee was formed on housing development (2016)
Partnerships - UN	No records
Partnerships - Other	No records
ZAMBIA	
Missions	two mission undertaken
Workshops	One workshop/ consultations
Documents	National Housing Profile: Existing (2012)
	National Housing Policy: By government (2015)
	Comments formulated on National Housing Sector Development Strategy for Zambia (May 2017)
Housing project initiatives	No records
Committees established	Restructuring. Housing now under Ministry of Housing and Infrastructure instead of National Housing Authority.
Partnerships - UN	No records
Partnerships - Other	No records

4.2 ACHIEVEMENT IN CAPACITY DEVELOPMENT

32. Table 4 shows the results of capacity development in the results chain. To clarify the role of capacity development and to make its results measurable, both 'institutional capacity objectives' as well as 'intermediate capacity outcomes' have been added to the results chain.

Table 4: Overview of the project's results in capacity development

Results Hierarchy/ Indicator	Results
1415W: STRENGTHENING NATIONAL CAPACITIES TO FORMULATE AND ADOPT HOUSING AND SLUM UPGRADING STRATEGIES - SUMMARY OF RESULTS IN CAPACITY DEVELOPMENT	
PROJECT OBJECTIVE	
Enhanced capacity of national and local authorities of selected Member States to formulate and implement housing policies and strategies` No indicators set	The six target countries demonstrated enhanced capacity through the drafting of housing frameworks: Refer to institutional change objectives below
INSTITUTIONAL CHANGE OBJECTIVES	
Strength of stakeholder ownership	
Capacity gap identified at project design stage: Lack of prioritization of housing, lack of resources Local level not empowered	Housing more prioritised in six countries Prospect of increased budget for housing in Lesotho Stakeholder participation in setting priorities through participative workshops

Results Hierarchy/ Indicator	Results
	Transparency of information through workshops and framework documents
Efficiency policy instruments	
Capacity gap identified at project design stage: Ineffective modalities of addressing housing needs Lack of housing frameworks	Housing policies and/or strategies supported in six countries Ease of administration improved through framework documents
Effectiveness of organizational arrangements	
Capacity gap identified at project design stage: Ineffective modalities to addressing housing needs Lack of platform for implementation	Clarity of mission enhanced through framework documents Recommendations made for institutional reform in housing Government officers in housing promoted in two countries No platforms for implementation formally installed
EXPECTED ACCOMPLISHMENTS (OUTCOMES)	
EA1. Review and formulation of policies and strategies (Coordinating mechanisms established)	
(IA1.1) Number of pilot countries that have established a coordination and implementation mechanism (NHC)	NHC were in place in some countries focusing on preparation for Habitat III
(IA1.2) (Number of NHC that demonstrate) increased capacity to formulate and operationalize housing and slum upgrading strategies and/or policies	The six countries demonstrated enhanced capacity in housing through the drafting of housing policies and/or strategies Strategies and action plans supported in five countries enhancing implementation prospects in housing No slum upgrading strategies and/or policies supported
(IA1.3) Number of National Housing and Slum Upgrading Strategies adopted with agreed action plans created based on strategies	At the end of the project no strategies with agreed action plans formally adopted
EA2. Commitments from additional countries through the target regions to the principles of the GHS	
(IA2.1) Number of countries that endorse the principles and strategy of GHS	No records
INTERMEDIATE CAPACITY OUTCOMES	
Raised awareness	
Capacity gap identified at project design stage: Lack of national awareness	Through campaigns on GHS: No campaign on GHS delivered; but awareness raised through participative workshops in six countries Through regional workshops: Support to Habitat III Prepcom Regional awareness through support for Habitat III
Enhanced knowledge or skills	
Capacity gap identified at project design stage: Lack of capacity to formulate of national housing and slum upgrading policies and strategies	Through framework reviews: Framework and policy review and strategy design process acted as catalyst in knowledge generation and skills Through workshops and advisory services: Knowledge or skills in housing enhanced through participative workshop in six countries Through GHS e-platform: No GHS e-platform established; referred to UN-Habitat website instead

Results Hierarchy/ Indicator	Results
	Remarks: Content rather generic and might have been more practical UN-Habitat country staff also strengthened in housing (in Mozambique, in Afghanistan, in Zambia)
Improved consensus and teamwork (within institution)	
No records	
Strengthened coalitions (within government)	
Capacity gap identified at project design stage: Lack of collaboration between central and local authority	Through workshops: Improved collaboration with line ministers that participated in the workshops Improved collaboration between central and local authorities who participated in workshops Remarks: Little data of results in this area Lack of coordination remains a critical issue
Enhanced networks (with external partners)	
Capacity gap identified at project design stage: Lack of (i) input researchers, (ii) incentives for private sector, (iii) coordination with communities	Through workshops: Participation of private sector and communities No formal networks established Through GHS e-platform: No GHS e-platform established; referred to UN-Habitat website instead Remarks: Participation with UNPD in Lesotho Low participation of UN Agencies Little data on workshop attendance Funding from UNDP Creation of networks needs bilateral discussions
New implementation know-how	
Capacity gap identified at project design stage: Lack of platform for central & local authorities collaboration Tools and knowledge needed	Through workshops and advisory services: Housing strategy and action plans drafted towards implementation Framework documents are used to source funds Tools developed in strategy documents Through coordinating bodies established: No coordinating bodies for implementation formally established

PART III

5. SYNTHESIS OF FINDINGS

5.1 RELEVANCE

33. Relevance to the needs of the target countries and beneficiaries

The target countries' designated ministries and authorities are mandated to ensure the fulfilment of their government responsibilities in the areas of urbanisation, including housing. They all faced serious challenges in providing 'adequate housing for all' and welcomed UN-Habitat's support in the field. The Project strengthened housing development capacity consistent with the countries' mandates, policies and strategies.

The target countries were already collaborating with UN-Habitat on housing and this project was a continuation of ongoing efforts in the field. The evaluation has reviewed written requests for support from Lesotho, Mozambique, Sri Lanka and Zambia. In Afghanistan, the Account Project was implemented under the umbrella of the 'Municipal Governance Support Programme' (MGSP) and the 'Future of Afghan Cities Programme' (FoAC) that have housing components. Myanmar has collaborated with UN-Habitat on housing for two decades and more significantly since 2008.

The key stakeholders listed in the project document include national and local authorities, development agencies, professionals, academia, the private sector, civil society and households. The project document does not designate specific target groups or individual persons for capacity development. The end beneficiaries are households. The project primarily focused on support to national government authorities.

34. Responsiveness to the 9th Tranche of the Account

Theme and objective:

The Account's overall objective is 'enhancing capacities of developing countries in the priority areas of the UN Development Agenda'. The theme of the 9th Tranche of the Account is 'supporting Member States in designing and implementing strategies and policies towards sustainable, equitable and inclusive development'. The Project 'strengthens national capacities in housing and slum upgrading' to 'formulate and adopt housing and slum upgrading strategies' and this exactly fits the 9th Tranche of the Account requirements.

Capacity development strategy and methods:

The Account suggests that: (i) the project strategy should be clear on how the project objective will be achieved, explaining how the objective links to the expected accomplishments and the main activities; capacity building should be clearly defined and should guide the results chain; (ii) the project should fit within the Agency's (UN-Habitat) capacity development strategy and; (iii) the Account suggests various capacity development methods that can be used, but especially suggests engaging with the direct beneficiaries through conducting workshops and seminars for an effective delivery.

The Project addresses all the needed capacity outcomes to reach the Project objective, but not systematically. Capacity development merits to be more clearly articulated in the project design and results framework. For example, there is confusion between outcomes and activities as: 'EA1 review and formulation of policies and strategies' is an activity and not an outcome, capacity indicators are missing, etc.

The project design proposes the following capacity development methods: awareness raising campaigns, advisory services, drafting of action plans, tools and knowledge management and workshops. The main capacity development method applied was the 'participatory workshop' as is also suggested by the Account. The Housing Unit did not collaborate with the Capacity Building Unit on this particular Project. One of the reasons being that at project design stage time, capacity building in the UN-Habitat was perceived 'cross-cutting' and therefore didn't need specific skills8.

Indicators:

[8] This was confirmed in discussions during the evaluation

The Account demands that: (i) the indicators at EA level should measure the specific conditions that the project seeks to change i.e. the set of capacities that will be strengthened as a result of the project; (ii) changes that cannot be explained by the project alone, featuring a questionable attribution, should be avoided; and (iii) indicators should be measurable during the lifetime of the project and data should realistically be able to be collected. It further demands indicators at outcome (EAs) level, providing a measure of the degree of attainment of the EAs and not a measure of the completion of the project's activities. Following this demand,

The Project set four indicators at EA level. But it abstained from putting indicators at objective, activity and output level, weakening the results chain. The Account warns not to re-phrase EAs as indicators, but EA1 'strengthening of NHCs' equals the indicator of 'NHCs that demonstrate increased capacity'.

The project did not succeed to design an adequately comprehensive log frame with distinct inputs, outputs, outcomes (EAs) and related indicators, baselines and targets and to comply with it during implementation and completion.

Target countries:

The Account favours the identification of target countries at the project design stage, to avoid losing valuable implementation time by project kick-off, by the allocation of funds or identifying beneficiary countries. But the Project could only identify the countries after project approval, and this caused delays in project start and implementation.

35. UN-Habitat's Sub-programme 5

The project strengthens capacities in housing and slum upgrading prevention policies, strategies and programmes. While the project especially focuses on housing, it is not clear on slum upgrading. There is a discrepancy between the project title and quoted focus on the one hand and the project objective on the other hand. Slum upgrading is part of the project's focus but not of its objective. This causes confusion. The PAG observed how the project's EAs complement the ongoing PSUP activities and there may be some duplication. In Lesotho, the Project did advise the government on challenges with slums.

36. The Global Housing Strategy and Rio+20

The GHS is the framework document that guides this Project. The Project supports the rollout and the localisation of the GHS that is fully cognisant of Rio+20. The main areas of intervention proposed in the GHS for its operationalisation are (i) diagnostics and assessments, (ii) policy review and formulation and (iii) policy implementation through coordination and implementation mechanisms. The Project supported Member States into undertaking analysis to draft housing profiles, reviewed housing frameworks and promoted coordination and implementation mechanisms. It is therefore in line with UN-Habitat's mandate to enhance local capacity of governments and Habitat Agenda Partners (HAP) in the principles of the GHS.

37. Responsiveness to Internationally Agreed Development Goals

The project is aligned with the MDGs (2000) and in particular with (i) MDG 7D "Achieve, by 2020, a significant improvement in the lives of at least 100 million slum dwellers" by contributing to durable or less crowded housing; and (ii) MDG 8 B in "Addressing the special needs of LDCs". In response to the MDGs, the project developed capacity in all but one LDC.

The project supports the achievement of the SDGs and of SDG 11.1 in particular “by 2030, ensure access for all to adequate, safe and affordable housing and basic services, and upgrade slums”. The project supports the achievement of the New Urban Agenda by supporting the progressive realization of the right to adequate housing and enabling the participation and engagement of relevant stakeholders in the planning and implementation of policies. The NUA designates ‘Adequate Housing and Slum Upgrading’ as fundamental to sustainable urbanization. Capacity development is identified as an important means to implement the NUA. Access to science, technology and innovation, enhanced knowledge-sharing and mobilization of financial resources are also assigned an important role. These are all dimensions of this Project.

This project is in line with the 2014-2017 OHCHR Office Management Plan (OMP) as (i) it supports the protection of housing rights in constitutions, laws and policies, (ii) develops housing frameworks on the basis participation, (iii) integrates human rights standards and principles in housing frameworks and (iv) supports monitoring the housing sector performance in Lesotho.

5.2 EFFECTIVENESS

38. Capacity development cycle into reaching the project objective

Assessment. During project design, the stakeholder’s capacity was assessed, and capacity gaps identified. UN Agencies are not stakeholders, as they are implementing partners.

Design. The capacity development gaps are translated into the capacity development design in methods/ activities. The methods planned by the project include (i) national and regional workshops, (ii) awareness raising campaigns, (iii) the use of GHS e-communications platform, (iv) advisory services and (v) the establishment and/or support to coordination bodies.

Delivery. Not all planned capacity development methods were/could be applied. The project used (i) participatory workshops, (ii) advisory services and (iii) stakeholder interviews/dialogue.

The evaluation reviewed three workshop reports from Lesotho, which covered localised housing frameworks. Workshops included presentations of the principles of the GHS and housing finance.

In some countries, like Lesotho, the government felt that they learnt a lot through the workshops. Participants, for example, expressed concern that the previous housing frameworks in Lesotho did not sufficiently address their Basotho identity, but this project did. In other countries, stakeholders felt that the workshops were more ‘ad hoc’ and did not focus on capacity development. They compared with capacity development under other projects that used more specific methods such as ‘mentoring’ and ‘the rotating chair’.

The evaluation could not assess to what extent the learning objectives were translated into capacity development design and activities since the project did not give enough details on how workshops and advisory services had been performed or adapted to the local context. But in Mozambique for example, stakeholders explained how the challenge of getting commercial banks on board would have benefitted more from face-to-face working sessions than from the workshops. In Zambia, the housing frameworks were drafted by the National Institute of Management and not by an external consultant. The project provided advisory services to the Institute.

Follow-up. The Project advised drafting Housing Strategies as a follow-up of Policies and developed action plans.

39. The role of change agents

Change agents9, also called 'champions', are critical individuals or groups, that play an effective role in managing or initiating the needed capacity change into strengthening government institutions. The project design does not designate a specific role for 'change agents', but project implementation revealed that in the target countries where individuals took up this role, the project was more successful in achieving its objectives. This was the case in Lesotho, Mozambique and Afghanistan. In the other countries, consultants and interim project staff drove the project.

Box 1: The Project in Lesotho

The Housing Officer in the Housing Department of the Ministry of Local Government, Chieftainship and Parliamentary Affairs in Lesotho described how the Project strengthened housing development capacity in the country through (i) showing the merits of undertaking broad-based consultations and (ii) following a sequence of capacity reinforcing interventions. The Housing Officer in Lesotho acted as a change agent. She explained how a previous National Housing Policy couldn't succeed because no consultations had been made. Stakeholders felt that the previous Policy insufficiently reflected the Basotho identity. Under this project, an Urban Housing Profile was the initial step and it was based on extensive consultations with the stakeholders and interviews in the villages. The Profile truly reflects what people want. Consultations were then also undertaken to draft the Housing Policy and Strategy that reflected the findings of the Housing Profile. Housing in Lesotho had not been a priority, but the project has changed this. The Housing Officer was promoted through the project. She now advocates for housing in diverse forums including in the Cabinet. She expects the honourable Minister of Finance to allocate an adequate budget to implement housing initiatives and slum upgrading projects. The housing frameworks are also informing the ongoing National Urban Policy process.

40. The project results - results in capacity development

Intermediate capacity outcomes:

Workshops: Some countries such as Lesotho found that the workshops addressed the local context well but others, such as Mozambique, found that the content was rather generic and might have been more context-specific and practical. As a side-effect, countries, such as Mozambique, explained how the workshops also strengthened the UN-Habitat country staff in housing.

Networking: Private sector, civil society and academia participated in workshops but attendance and outcomes in networking were not always recorded. Some countries found that other activities such as bilateral meetings or working sessions would have been more effective in reaching potential partners in housing. Coordination and implementation mechanisms in housing were used, for example in Afghanistan and Lesotho, but it was not clear whether these were existing structures and whether they remained operational after the project was completed. The project's ambition was to support workshop outcomes with awareness-raising campaigns and the use of a GHS e-platform but these were not/ could not be implemented.

[9] The term 'change agents' for capacity building is used in UN-Habitat (2012), Training Needs Assessment and Training Outcome Evaluation in an Urban Context; indicating an individual or group that initiates or manages needed change(s) for developing institutional capacity in relation to a particular development goal.

Expected accomplishments (outcomes):

EA1 Housing frameworks were supported in all the target countries. They are listed in table 3 above.

EA2 Commitment from additional countries through the target regions to the principles of the GHS: the project supported Habitat III Prepcom meetings but the merits of the project into achieving regional commitment towards the GHS principles could not be demonstrated, as there are no records of the exact contribution of the project to these meetings.

Institutional change objectives:

The project enhanced clarity of mission by defining the roles and responsibilities in housing and made recommendations for institutional reform in housing.

The project clearly contributed to the prioritisation of housing in all the countries except in Zambia where the government was restructuring the housing sector, causing delays in project implementation.

The project supported all the countries to formulate a housing policy and/ or strategy which is a major achievement for a project of this size and timeframe. The housing policies and strategies facilitated the ease of administration management in all countries. Workshops and framework documents improved transparency of information. The housing frameworks will be applied to inspire possible partners in housing delivery, to source funds for housing and they will inform other policy documents including National Urban Policies.

In Mozambique and Lesotho, government officers in housing were promoted and they will continue to act as 'change agents' to improve housing.

As a side effect, the project showcased the merits of stakeholder participation in Lesotho and Myanmar in general.

Project objective:

The results chain shows that the project reached its objective of 'enhanced capacity of national and local authorities of selected Member States to formulate and implement housing policies and strategies' and to what extent.

41. Partner Participation

Participatory approach and implementation: The Project Document suggests that "Households, the (end) beneficiaries, … will form an integral part of the project … being represented by Community Development Committees". Removing the support to the 'Establishment of NHCs' not only diminished implementation prospects but also restricted active community participation. The anticipated Community Development Committees could not be formed.

Implementing partners: The project in Lesotho was implemented together with UNDP. OHCHR through the existing UN Housing Rights Programme (UNHRP) ensured that all initiatives are human rights-based by providing feedback on the project activities. The Regional Offices and Regional Economic Commissions (UNECA, UNECLAC, and

UNESCAP) would be involved in the regional workshops; develop Regional Housing Strategies and support the creation of NHCs in the three target regions to ensure that the GHS is tailored to regional and country-specific needs. The Regional Offices participated in the Habitat III Prepcom meetings.

5.3 EFFICIENCY

42. Management response to changes during project implementation

EA1, 'establishment of NHCs' was changed into 'review and formulation of policies and strategies'. This was justified as the reviews supported all the intermediate capacity outcomes.

The target country selection changed several times during the course of the project. This is not uncommon in projects of the Account as was explained above. When the project could not intervene in the target country, the strategy was to move to another country. This turned out to be time and resources heavy.

Changes in government affected the Project in Zambia, Lesotho and Sri Lanka. In Zambia, the National Housing Authority was restructured in 2017. Housing is now no longer coordinated under the local authority but is incorporated in the Ministry of Housing and Infrastructure. Therefore, response to UN-Habitat's comments on the National Housing Sector Development Strategy from May 2017 is still awaited. The changes in government were beyond control of the Project but ongoing efforts in housing by UN-Habitat will absorb the effect of these changes.

43. Reporting

The 9th Tranche Account requires yearly progress reports and a final report in a standardized format. The project thus produced two progress reports and the final report. The reports give an overview of the achievements but no detailed information on the activities in the different countries. Annex 2 gives an overview of the reporting of the interventions in the target countries. Reporting on the interventions in Lesotho includes workshop reports and mission reports that are adequate to assess the interventions. But for some countries. The project progress is not reported in PAAS. The project kept a detailed timeline of its interventions in the different countries. This turned out to be useful for the evaluation.

44. Visibility

The Account Project was implemented under (i) the umbrella of the GHS programme or (ii) ongoing projects in the countries, but neither the consultants' TOR nor the mission or workshop reports refer to the Account Project. Most stakeholders interviewed didn't see the Project document or were unaware of the Account Project.

45. Budget

Because of UN-Habitat's project budget structure, the evaluation couldn't establish which activities were financed by the Project budget in the countries. At the country level, the evaluation only reviewed one concept note with a detailed budget for the interventions in Mozambique, including a calculation of the government contribution in kind. The contribution of the Account Project to the regional workshops/ Habitat III Prepcom meetings could not be established either. The evaluator could not establish to what extent the extra funds sourced supported the Project.

46. Project management

The Housing Unit managed the project budget and hired consultants. Regional and country offices supported the project mainly with logistics and through mission support. Some project staff in the countries were also closely involved in the implementation of the project while other staff found that project management was rather top-down.

47. Timing

The project was planned to start in June 2014. The interventions in Lesotho, Mozambique, Afghanistan and Myanmar started in January, March, June and August 2015 respectively. In Sri Lanka they started in November 2016 and in Zambia in June 2017. These start-up issues delayed project completion by 15 months.

5.4 IMPACT OUTLOOK

48. Longer-term benefits

The different target countries benefitted from the Project in their own way, which created impact prospects as follows: (i) In Afghanistan the Account further supported ongoing programmes with housing components; (ii) in Lesotho the project fitted into a sequence of interventions by UN-Habitat on housing, and the government learned about the merits of stakeholder consultation to develop more realistic housing frameworks. The government explained how the housing frameworks will source funding from government and other partners for housing projects; (iii) in Mozambique the Project convinced the government of the merits to develop a Housing Strategy to implement their Housing Policy and; (iv) in Myanmar the Project showcased the merits of stakeholder participation.

In Mozambique and Lesotho, government staff that participated in the Account Project were promoted to Director in the Ministry of Housing and Housing Officer in the Housing Department respectively. They will continue to act as change agents in their in new positions.

The Project's final report recommends future housing projects (i) to focus more on housing finance at the outset of projects; and (ii) to work on increasing the commitment of decision makers (change agents).

49. Implementation of housing initiatives

This Account project doesn't target implementation of initiatives in housing. Nevertheless, the Housing Strategies supported by the Project target local implementation. Some interviewees suggested instead of the long lists of actions in the Housing Strategies, to propose tangible projects, in alignment with Government's priorities, that are supported by more in-depth analysis. These could have been better aligned to the existing capacity in terms of human and financial resources to implement them.

The interviews revealed that Member States anticipated that, once policies and strategies are approved, resources would be leveraged, and implementation could start. But ten months after project completion, the evaluation didn't come across housing initiatives that are being implemented.

Box 2: The Project in Mozambique

"This project was very relevant as it focused on critical areas … in the country. The project consisted of the preparation of a document …, the strategy and action plan are … flexible enough to be adapted and the responsibility of the different stakeholders is clearer.
We believe that the project will reach 'outcomes' in the housing sector. It has not yet generated concrete actions, which we believe is premature. There is government commitment. However, there are challenges and constraints for the implementation of policies and strategies in terms of financial and human resources. The participation of different stakeholders is weak… We need to identify resources for follow-up studies and we need a framework for different stakeholders to communicate and work together on housing."
Quote: Sofia Santos, Director Ministry of Housing Mozambique

5.5 SUSTAINABILITY

50. In Afghanistan, a Steering Committee was formed under the Future of Afghan Cities Programme (FoAC) and it also worked on housing. This Committee was maintained to work on the National Housing Policy in 2018. The Policy is expected to be approved shortly, after which implementation is planned to start. The World Bank proposes a housing fund and promises seed funding.

    In Lesotho, the newly appointed Housing Officer in the Housing Department will use the Housing Policy and Implementation Strategy to inform the National Urban Policy. Housing will also form part of the future development agenda of the country.

    In Mozambique, as a follow-up project, UN-Habitat and the Republic of Mozambique have now finalised the Mozambique Housing Profile. Comments on the National Housing Strategy – 2030 are awaited while the government is setting up the new 'Funds for Housing Promotion'. UN-Habitat is planning to assist in institutional reform.

    Myanmar is equipped with a long list of actions to implement the housing frameworks. Some stakeholders find that a dedicated focus on fewer and more realistic actions would be more sustainable.

    The Housing Unit has submitted and approved a similar proposal for the 11th Tranche of the Development Account for "Strengthening the capacities of national and local governments to formulate and implement evidence-based and participatory housing policies and strategies". This 9th Tranche project was shortlisted amongst the most successful by the PAG committee in UN-Habitat and therefore be could submit another proposal for tranche 11.

5.6 CROSS-CUTTING ISSUES

51. Gender and Youth

    The Gender Equality Unit commented on the housing framework documents. The housing frameworks include gender and youth considerations such as the development of 'youth savings' and 'housing loans' for youth in Afghanistan. In the inception workshop in Lesotho 57% of the participants were women. In Mozambique female attendance in workshops was low and approx. 10% of participants were youth. There are no further data available.

52. Climate change

Climate change recommendations were included in the housing frameworks. Climate change was especially addressed in Mozambique where it is a government priority.

53. Human rights

Human rights and the 'right to adequate housing' in particular, ensuring that the human rights standards and principles of equality, non-discrimination, participation, inclusion, transparency and the rule of law are mainstreamed in all housing strategies and policies. In some countries, a 'Housing Rights and Human Rights Brief' was prepared.

UN-Habitat and OHCHR work through the existing UN Housing Rights Programme and OHCHR supported the Account project in providing feedback.
The project treats Results-Based Management (RBM) as a crosscutting issue, but this is not in line with UN-Habitat's Strategic Plan and it is not demonstrated in Project implementation.

54. Other

Discussions during this evaluation revealed that capacity development was perceived as a crosscutting issue at the project design stage in UN-Habitat.

5.7 RATING OF PERFORMANCE BY EVALUATION CRITERIA

Table 5: Project rating of performance by evaluation criteria

Evaluation Criteria	Characteristics
Relevance	The Project was 'demand driven' in all the target countries. The provision of 'adequate housing for all' is a major challenge and governments much welcome support in the field.
Effectiveness	The Project reached its objective, addressed all the needed capacity outcomes and objectives, but not systematically. Capacity development approach merits strengthening.
Efficiency	Reporting and timing merits strengthening. Project transparency and visibility were weak.
Impact Outlook	The Project fits into a sequence of capacity reinforcing interventions, which enhances impact. Currently there are no tangible projects in housing implemented following the Project.
Sustainability	There are good prospects that the Project triggers new initiatives and more resources. The Housing Unit submitted a similar proposal to the Account

6. KEY CONCLUSIONS

55. Alignment between the Project and the Account Guidelines

The Project exactly fits the 9th Tranche Account theme of 'supporting Member States in designing and implementing strategies and policies towards sustainable, equitable and inclusive development'. It also fits the Account's overall objective of 'enhancing capacities of developing countries in the priority areas of the UN Development Agenda' as housing is one of these priorities captured under SDG 11.1.

56. Ambiguity

The 9th Tranche of the Account is contradictory on how capacity development results are measured. On the one hand, the Account wants to measure its Project's results in a clear and simple manner, and therefore it suggests measuring results at the level of outputs. On the other hand, it explicitly wants outcome level indicators and not measuring completion of the Project's activities or outputs. In addition, the Account is not clear whether it aspires results at the level of capacity development outcomes only or results at the level of development objective of "adequate housing for all", e.g. to what extent has this increased capacity contributed to more adequate housing.

57. Relevance of capacity building in housing

The Project was 'demand' driven in the six target countries. Countries welcomed UN-Habitat's support to fulfil their housing mandate and the respective governments supported Project implementation. The success of the Project is closely related to the relevance of its objective of 'adequate housing for all' in all countries while benefitting to a large extent from the Global Housing Strategy. The Project supports the achievement of the SDGs and SDG 11.1 in particular "by 2030, ensure access for all to adequate, safe and affordable housing and basic services, and upgrade slums". The Project supports the achievement of the New Urban Agenda by supporting the progressive realization of the right to adequate housing and enabling the participation and engagement of relevant stakeholders in the planning and implementation of policies. The Project's focus on capacity building is relevant to the implementation of the NUA that identifies capacity building as an important means for its implementation.

58. The Project results - results in capacity development

Intermediate capacity outcomes: The Project addressed all the necessary intermediate capacity outcomes towards strengthening national authorities and other stakeholders by (i) raising awareness, (ii) enhancing knowledge and skills and (iii) improving collaboration and coordination. It especially achieved the first two outcomes, as setting up coordination and implementation mechanisms turned out to be challenging.

Expected accomplishments (outcomes): EA1 'Review and formulation of policies and strategies' is an activity and not an outcome. Housing frameworks were supported in all the target countries. EA2 'Commitment from additional countries through the target regions to the principles of the GHS'. The Project supported Habitat III Prepcom meetings but the merits of the Project into achieving regional commitment towards the GHS principles could not be demonstrated.

Institutional change objectives: The Project achieved all the required intermediate institutional change objectives. It (i) strengthened stakeholder ownership as governments now prioritise housing, (ii) improved the efficiency of policy instruments by drafting various housing frameworks and (iii) improved the effectiveness of government organisational arrangements by advising on restructuring the housing sector and on coordination and

implementation mechanisms. The Project's prime focus and success was on objective (ii) improving the efficiency of policy instruments.

Project objective: The objective of 'enhancing the capacity of national and local authorities of selected Member States to formulate and implement effective, rights-based, gender responsive and results-based national housing policies and strategies', was achieved. The Project especially strengthened national authorities in formulating housing frameworks, while implementation remains a challenge.

59. Results Chain

Although the Project addressed all capacity outcomes and change objectives, these are not systematically addressed in the Project design and are not sufficiently articulated in the results chain. This was to the detriment of (i) implementation prospects of downstream housing initiatives and (ii) measuring the outcomes and impact of the Project.

Flaws in the results chain include: (i) Project objective EA1 and associated activities are too similar as they all come down to assistance in reviewing and formulating policies and strategies, (ii) outcome and output indicators are often mixed up, or they are too vague to measure.
The capacity development cycle of assessment, design, delivery and follow-up was followed for effective and efficient delivery10. However, there are some weaknesses in the delivery as not all planned interventions were/ could be delivered. Follow-up interventions in housing capacity merit to be better planned at Project design stage to enhance implementation of housing initiatives. Some single change agents contributed to a large extent to the successful implementation in Mozambique, Lesotho and Afghanistan, but more unintended than planned as not all countries benefitted from change agents.

60. Change strategy

The process of drafting the frameworks was used as a catalyst for capacity development. Also, the target countries were satisfied as they now have a tangible document that can help to align stakeholders and to source funds. The Project change strategy assumes that the capacity that is built and the documents that are produced will trigger a process of change that will realise "adequate housing for all" and drive further socio-economic development11. However, this 'trickle down' effect is debatable.

61. Transparency and visibility

Transparency is a requirement of the Account that wants changes recorded clearly attributed to the Project alone. The Project could have benefited from enhanced visibility and transparency as the evaluation found it difficult to contribute outputs and outcomes to the project. The project reported in accordance with the UNDA requirements. However, reporting on occasion lacked precision notwithstanding the focus of the Project design on Results-Based Management, requiring a recorded track record from design to result.

Transparency is a requirement of the Account that wants changes recorded clearly attributed to the Project alone. But overall visibility and transparency of the Project could have. The Project could also have benefitted on occasion from more co-productive implementation measures between HQ and the regional and country offices. Overall reporting on the Project was weak, notwithstanding the focus of the Project design on Results-Based Management, requiring a recorded track record from design to result.

[10] UN-Habitat (2012), Training for Better Cities and UNDA guidelines.

[11] As revealed in interviews.

62. Project ambition and selection procedures

Considering the limited budget and time frame, this Project was overambitious at the Project design stage in the number of countries that it served and the capacity development objectives at regional level12. The Project's achievements for that matter are also heightened in the final report. Account Projects are selected on the basis of brief concept notes and when endorsed cannot be changed. But a robust Project design requires close co-production among the country, the implementing agencies and stakeholders. This was not possible at the Project design stage due to lack of time and resources, compromising country-ownership. Also, at the time of the Project design, it was felt that housing was not a priority in UN-Habitat. Therefore, the Housing Unit opted for interventions of this Account Project in six different countries to enhance its leverage within the Agency13.

63. Crosscutting issues

The Project mainstreamed the crosscutting issues of human rights, climate change, gender and youth that are addressed in the housing frameworks that it supported. However, crosscutting issues were not prominent in planning and implementation, reporting and monitoring. The 9th Tranche of the Account only requires gender and human rights and doesn't need mainstreaming of the other crosscutting issues in its projects, which is a missed opportunity to sustain activities, outcomes and results through better fit-for-purpose and broader-based ownership.

[12] This was also observed in the PAG process for selection.
See UN-Habitat's Project Approval Group Report.

[13] Comment by interviewees.

7. LESSONS LEARNT

64. **1**. Capacity development is critical in achieving the development goal of 'adequate housing for all', but capacity development is a specific field that requires expert knowledge to develop a strategy that is associated with the particular sector or theme to improve effectiveness and efficiency14. Measuring change and results in the field of capacity development in concrete terms is challenging. Identifying the success of intervention is possible only if the capacity development objective(s) have been articulated and a clear capacity change strategy is specified so that the targeted effects are specific and measurable. It needs concrete capacity development outcomes with indicators, baselines and targets15.

65. **2**. The Project was not entirely clear about the capacity development approach used, because the 'Guidelines for the Preparation of Project Documents for the 9th Tranche of the Development Account' are ambiguous about results and indicators, and hence about the capacity development approach that should be followed.

66. **3**. Overall transparency and visibility of the Account Project lack attention, while this is a requirement of the Account to measure capacity development changes that can be attributed to the Project alone.

67. **4**. The number of countries in a project needs to be considered as the inclusion of more countries increases the need for coordination and management costs significantly. The project design was too ambitious with regard to the number of countries that it served, and in its expected accomplishments that included regional capacity building. This ambition is related to the Accounts approval process where projects compete on the basis of concept notes.

68. **5**. The project (i) primarily engaged with high-level decision makers and (ii) in some countries administered the Project from Head Quarters. This did not seem effective into achieving the development objective as framework documents were well supported by governments but to a lesser extent by country stakeholders lessening implementation prospects.

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[14] UNDP (2009), Capacity Development: A UNDP Primer.

The objectives of capacity development programmes should be based on a clear vision of success, rather than vague language such as "improve, enhance, strengthen, or increase capacity"

Likewise the measurement of success should be based on clear evidence of actual changes relevant to the development agenda rather than anecdotes or measures of the completion of training activities, procuring tools or augmenting staff

[15] World Bank Institute (2012), Guide to Evaluating Capacity Development Results.

8. RECOMMENDATIONS

69. **Recommendation 1**. UN-Habitat should gear its interventions towards the development objective of "housing for all", even if the Project objective is capacity development only. It should maximize adapting generic tools to the local context, make them practical and support coordination and implementation mechanisms to enhance implementation prospects of housing initiatives. It should develop housing frameworks in full co-production with local authorities and stakeholders, maximizing local capacity and restricting the use of consultants to advisory services. It should maximize the implementation prospects of housing strategies.
70. **Recommendation 2**. The Housing Unit enhance cooperation with the Capacity Development Unit for capacity development project -such as this Account Project- to develop a clear capacity development strategy, indicators, baselines and targets to measure results. The Housing Unit should maximize the involvement of Regional and Country Offices to inform the local context and save resources. It should encourage its projects to undertake capacity development in co-production with local or regional capacity building institutes and support them with advisory services as is recommended by the Account.
71. **Recommendation 3**. To fulfil its mandate and achieve SDG 11.1 of "ensuring access for all to adequate, safe and affordable housing and basic services and upgrade slums", UN-Habitat should strengthen its 'development-oriented' planning to roll out the GHS and keep a territorial focus. Housing frameworks tend to belong to 'traditional planning' that is mainly control-based instead of 'development-oriented'. Admittedly it is a precondition to set the rules and align stakeholders through framework documents, but they do not drive housing initiatives, changing people's lives. This means working simultaneously on the following three tracks16:
    - Draft localised housing frameworks - which include policies, strategies, long-term programme and short-term action plans - to align the various stakeholders to a common cause. – The project followed this track –
    - 'Manage' everyday life, score 'goals' and create trust by solving conflicts and problems, making use of opportunities through the implementation of actions and projects of an urgent and strategic nature in the short-term.
    - Engage and empower diverse actors in the co-production, planning and decision-making processes.

    UN-Habitat should work towards early ownership of stakeholders such as national governments already committing funds when policies are being drafted; include small-scale interventions when polices are drafted; and empower housing committees to engage with diverse stakeholders, which can also be done through partnerships among national and local levels in the context of tangible local projects17.

16 UN-Habitat and KU Leuven (2004), Urban Trialogues: Visions, Projects, Co-productions.

17 Examples:

1. Housing First based Danish Homelessness Strategy

In 2008 the Danish Parliament adopted the first national Homelessness Strategy. The Strategy is characterized by a close partnership between the local municipalities, the homeless population and the national level policy makers. A key aim of the programme was to develop and test internationally evidence-based interventions in a Danish setting. The Strategy combines the provision of resources for targeted initiatives with the testing of different intervention methodologies (an evidence-based approach). This means that a number of specific

72. **Recommendation 4**. UN-Habitat should revise its project budget structure and log frame concept, showing the detailed cost of specific activities per budget class and per country. Changes in project implementation should be visible in adjustable and subsequently adjusted budgets and log frames. Formal approval procedures for changes during project implementation should be institutionalised, light and enforced. This would facilitate more accurate M&E and keep the focus on the Project objective during implementation.
73. **Recommendation 5**. UN-Habitat should design and roll out strategies for rerouting projects during design and implementation. This particular project changed the selected countries on several occasions before the start of the Project and during implementation, causing delays and distraction from the Project objective.

    By comparison, other UN-Habitat projects funded by the UNDA, are operated at city level instead of national level. If the Project could not be implemented in the city that was originally targeted, they would roll it out in a different city. Changing cities instead of countries is easier, quicker and more cost-efficient.
74. **Recommendation 6**. UN-Habitat should clarify with the Development Account whether the Agency's own or the Development Account's *capacity development approach* should be used. In all cases, capacity development should be articulated in the Project documents and in the log frame. Projects should provide an evaluation framework for capacity development and align the expected results accordingly. Even if they opt to measure outputs and outcomes only, interventions should keep the long-term development goal in perspective.
75. **Recommendation 7**. UN-Habitat should agree with the Development Account that all the *crosscutting issues* of human rights, climate change and gender need to be mainstreamed in Account projects.
76. **Recommendation 8**. UN-Habitat should *refine* its networking and coordination and implementation mechanisms in housing when undertaking capacity development to improve local implementation prospects in housing. It should develop specific methods for coordination mechanisms in 18:
    - Improved consensus and teamwork: by strengthening the disposition or ability to act through improved collaboration within a group of people linked by a common task at the level of national and local housing institutions;
    - Strengthened coalitions: by strengthening the disposition or ability to act through improved collaboration among individuals or groups with diverse objectives to advance a common agenda, which includes housing committees and UN Agencies for example by strengthening housing in the UNDAF;
    - Enhanced networks: by strengthening the disposition or ability to act through improved collaboration among individuals or groups with a common interest but not a

housing support interventions are tested in the Homelessness Strategy, and that the use of the different interventions is continuously monitored. The target beneficiaries are Danish Homeless. Resources were also given to a range of local services and initiatives that supported the Project.

https://www.feantsa.org/download/lb_review4223864335925447213.pdf

2. Public good: Working Together on Adequate Housing in Belgium

The project is a Belgian initiative of various stakeholders working together on a cooperative housing model. Stakeholders include the provincial government, community-based organisations, and other partners. The target beneficiaries are poor families with children. Resources come from the government and other sources.

http://collectiefgoed.be

[18] World Bank Institute Guide (2012), The Capacity Development Results Framework: A Strategic and Results-Oriented Approach to Learning for Capacity Development.

formal common agenda for action, which includes donors, the private sector, academia, communities, etc.

ANNEX 1: TERMS OF REFERENCE

Evaluation of the Project for "Strengthening national capacities to formulate and adopt housing and slum upgrading strategies"
Terms of Reference
December 20171

1. Background and Context

The United Nations Human Settlements Programme, UN-Habitat, is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities and improve access to adequate housing for all. It is the focal point for all urbanization and human settlement matters within the UN system. The agency is to support national and local governments in laying the foundation for sustainable urban development.

UN-Habitat envisions well-planned, well-governed, and efficient cities and other human settlements, with adequate housing, infrastructure, and universal access to employment and basic services such as water, energy and sanitation. To achieve these goals, derived from the Habitat Agenda of 1996, UN-Habitat has set itself a medium-term strategy approach for each successive six-year period; the Medium-Term Strategic and Institutional Plan (MTSIP) 2008-2013 and the Strategic Plan 2014-2019.

The GHS build on the Global Strategy for Shelter to the Year 2000 (GSS2000), which was approved by 158 Member States between 1988 and 2000 and implemented by UN-Habitat in collaboration with Habitat Agenda partners. Several lessons have been drawn from this former global initiative, notably that the commodification of housing and the prevalence of market-dominated housing production have negatively impacted the availability of affordable housing supply worldwide. Additionally, generalized urban sprawl, the promotion of home ownership over other tenure modalities couples with the failure of housing markets to adequately respond to a variety of demands, especially of the most poor and vulnerable groups. This has contributed to increasing economic inequality and a social and spatial divide in cities.

The GHS seeks to readdress issues encountered in the implementation of the GSS2000 at global and country levels, mainly in the critical developing regions, where inequalities and urban poverty are more manifest and have had a greater impact on access to adequate and affordable housing.

This project enables the practical roll-out of the Strategy and the development of capacity in six countries of which five are least developed countries. 1 The project will draw on global processes to formulate housing and slum upgrading strategies and implementing UN-Habitat's GHS at country-level.1 Original target was six least developed countries (LDCs). Decision to include one not LDC made by project coordinator in 2015 and communicated to UNDA in the 2016 Annual Report. See also the Interim Report 2017(Guyana). Page 8 of 2017 Report.

The project has a regional approach to capacity building. The GHS approach is expected to result in an increased commitment of additional countries towards the progressive realization of the right to adequate housing, and the principles of inclusive, rights-based and gender-based policy development.

At the global level, it is expected that this approach results not only in the repositioning of housing with in the global contemporary debate on economically viable, environmentally

sustainable and socially inclusive cities but also on critical outputs such as shift in thinking and practice; stronger policy frameworks; systemic reforms promoted; strengthened linkages of housing with other parts of the economy; and decentralization of housing production and delivery systems.

The project contributes to EA1 of the 2014-2015 programme and budget through the formulation of rights based and gender responsive national housing policies and strategies. EA2 of the 2014-2015 programme and budget will be addressed by the project through the inclusion and consideration for the built environment in national housing and slum upgrading policies and strategies.

The project also addresses EA3 of the 2014-2015 programme and budget through the establishment of platforms for participation and representation of slum communities in policy making processes such as National Habitat Committees and other supporting measures to participation and representation of slum communities in decision-making processes.

The project is designed to contribute towards the Millennium Development Goal targets, specifically MDG7A: integrate the principles of sustainable development into country policies and programmes; MDG 7C: to halve by 2015 the proportion of people with sustainable access to safe drinking water and basic sanitation; MDG 7D: to significantly improve the lives of at least 100 million slum dwellers by 2020; MDG8 develop a global partnership for development; and MDG 8B: address the special needs of least developed countries.

The project builds on an existing initiative of UN-Habitat and the Office of the High Commissioner for Human Rights (UN OHCHR).

In line with UN-Habitat's ongoing Human rights Mainstreaming Initiative, the project will further reinforce UN-Habitat's capacity to integrate human rights in its work.

1.1. The project

The project is focused on developing capacity in six least developed countries to formulate and implement sustainable, inclusive and adequate housing, slum upgrading and prevention policies, strategies and programmes. The final selection of countries included one non-LDC country (Sri Lanka), in response to the strong demand from the government to strengthen its housing policy framework.

The capacity building will be undertaken through direct assistance to policy review or formulation and the strengthening of coordination and implementation mechanisms. The project also contributes to regional commitments for inclusive, rights-based, gender responsive and results-based sustainable housing and slum upgrading endorsed by governments.

The project has two expected accomplishments:

EA1: Establishment and strengthening of National Habitat Committees for formulating and implementing sustainable and inclusive housing, slum upgrading strategies and/or policies.

EA2: Commitments from additional countries through the target regions to the principles of the GHS for inclusive, right-based, gender-responsive, result-based sustainable housing and slum upgrading.

The strategy to achieve EA1 was revised in view of the lack of financial and human resources from countries to establish National Housing Committees and make these entities operational to trigger policy/strategy reform. More efforts were then placed in technical

advice, following up closely with selected countries, to the actual review and formulation of housing policies and strategies. This decision was taken to maximize the project's capacity to improve capacity to formulate housing policies and strategies and deliver policies and strategies during the timeframe of three years. The set-up of coordination and implementation mechanisms (i.e., National Housing Working Groups and National Habitat Committees) remained as critical recommendations from policies and strategies.

Project activities were initially considered in Haiti, Nepal, Pacific Islands, Vanuatu/ Solomon Islands, Djibouti, Liberia, Senegal and Mali. Because of the time gap between the design of the project and the allocation of funds and start of implementation, actual activities, however, were implemented in Lesotho, Mozambique, Myanmar, Afghanistan, Zambia and Sri Lanka. From the six countries selected, Sri Lanka was not an LDC. Its selection was considered due to the strong demand from the government, remaining high poverty levels and vulnerability following the civil war which affected housing conditions in several parts of the country. In addition to the six countries, the project also contributed to the strengthening of national housing policy frameworks in Guyana and Ghana, drawing on lessons learned in the six selected countries. The project started in June 2014 and ends in December 2017.

The project had a budget of US$629,000funded through the UN Development Account (UNDA).

1.2 Project Management

The management of the project is within the Housing Unit of the Housing and Slum upgrading Branch with involvement of focal points in the Regional Office for Africa and the Regional Office for Asia and thePacific.

2. Mandate and Purpose of the Evaluation

This evaluation of the national capacity building project on housing is mandated by the rules for UNDA 9th tranche projects. It is also in line with the UN-Habitat evaluation policy (2013) and the Revised UN-Habitat Evaluation Framework (2016).

UN-Habitat is undertaking this evaluation of the project in order to assess the performance of the project, to what extent it has been relevant, efficient and effective, and sustainable, as well as assess changes at outcome level and emerging impact to identify lessons to inform the implementation of future projects.

The evaluation is included in the 2017 UN-Habitat Evaluation Plan and will synthesize achievements, results and lessons learned from the project. The sharing of findings from this evaluation will inform UNDA partners, UN-Habitat and other key stakeholders, including governing bodies and Member States, on what was achieved and learned from the project.

3. Objectives of the Evaluation

The evaluation of the project is to provide UNDA partners and UN-Habitat with an independent and forward-looking appraisal of the project's operational experience, achievements, opportunities and challenges based on its performance and expected accomplishments. What will be learned from the evaluation findings are expected to be—one of various sources of information—informing implementation of future UNDA funded projects in planning and programming projects, influencing strategies, adjusting and correcting as appropriate, exploiting opportunities, replicating and up-scaling the implementation approach used, and generating credible value for targeted beneficiaries and addressing global, regional and national priorities. The evaluation results will also contribute to UN-Habitat's planning, reporting and accountability.

Key objectives of evaluation are:
a) To assess the achievement of expected accomplishments and performance of the project in strengthening national capacities to formulate and adapt housing and slum upgrading strategies. This will entail analysis of delivery of outputs, achievement of outcomes, and long-term effects.
b) To assess the extent to which the project has created 'value-for-money', and if the implementation approach used during the implementation of the project has worked well or not.
c) To make recommendations based on the findings of the evaluation, on what needs to be done to effectively implement, promote, develop and monitor UN-Habitat's support to national and local authorities in formulating and implementing national housing policies and strategies.

4. Evaluation Scope and Focus

The evaluation is expected to assess achievements, performance, challenges and opportunities of the project through an in-depth evaluation of results achieved.

The evaluation will take place at the end of 2017 at a time when the project's activities have been completed or are near completion.

The evaluation analysis will be based on the Theory of Change of the project and its logical framework, and will outline the results chain and pathways as well as assumptions.

5. Evaluation Questions Based on Evaluation Criteria

The assessments and ratings of performance made by the evaluation will follow UN-Habitat criteria for evaluation in terms of relevance, efficiency, effectiveness, impact outlook and sustainability and in line with standards and norms of evaluation in the United Nations system (Annex 1: UN-Habitat Evaluation Model). A five point rating scale is used (Table 1).

Table 1: Rating of performance

Rating of performance	Characteristics
Highly satisfactory (5)	The programme had several significant positive factors with no defaults or weaknesses in terms of relevance/ efficiency/ effectiveness/ sustainability/ impact outlook.
Satisfactory (4)	The programme had positive factors with minor defaults or weaknesses in terms of relevance/efficiency/ effectiveness/ sustainability/ impact outlook.
Partially satisfactory (3)	The programme had moderate to notable defaults or weaknesses in terms of relevance/efficiency/ effectiveness/ sustainability/ impact outlook.
Unsatisfactory (2)	The programme had negative factors with major defaults or weaknesses in terms of relevance/efficiency/ effectiveness/ sustainability/ impact outlook.
Highly unsatisfactory (1)	The programme had negative factors with severe defaults or weaknesses in terms of relevance/efficiency/ effectiveness/ sustainability/ impact outlook.

Source: UN-Habitat Evaluation Unit 2015

The evaluator may expound on the following issues, as necessary, in order to carry out the objectives of the evaluation.

Relevance

- To what extent is the project consistent with relevant national policies and strategies, and national development plans?
- To what extent is the implementation strategy responsive to MDGs, UNDA objectives, UN-Habitat's urban development and housing strategies and its strategies on human development priorities on vulnerable groups and poor, human rights, women and youth?
- To what extent are the project's intended outputs and outcomes relevant to the needs of target beneficiaries?

Efficiency

- How well was the project designed and implemented, and what have been the most efficient types of activities implemented?
- To what extent were the institutional arrangements adequate for achieving the expected accomplishments? What type of (administrative, financial and managerial) obstacles did the project face and to what extent has this affected project delivery of outputs and achievement of the expected accomplishments?
- To what extent was the project delivered in a cost-effective manner?

Effectiveness

- To what extent were the resources used to implement the project justified in terms of delivering on the expected accomplishments?
- To what extent have national and local stakeholders been involved in the design and implementation of the project?
- What types of products and services did the project provide to beneficiaries through activities implemented? What kind of changes to beneficiaries has resulted from products and services delivered?
- To what extent and in what ways has the ownership by local stakeholders impacted on the effectiveness of the project?
- To assess how well the Management of the project has learned from and adjusted to changes during implementation;
- To what extent monitoring and reporting on the implementation of the project has been timely, meaningful and adequate?
- To what extent were UN-Habitat's cross-cutting issues of gender, youth, climate change, and human rights integrated into the design, planning and implementation, reporting and monitoring of the project?

Impact Outlook

- To what extent has the project attained or not (or is expected to attain) its goal, and objective and expected accomplishments short, medium and long-term) to the targeted beneficiaries, participants, whether individuals, communities, institutions, partners, etc.?

Sustainability

- To what extent have local stakeholders been able to design, implement and sustain activities implemented during the project?

- To what extent did the project engage the participation of beneficiaries in design, implementation, monitoring and reporting?
- To what extent will the in-country activities be replicable or scaled up at national or local levels or encourage further collaboration between stakeholders?

6. Stakeholder involvement

It is expected that this evaluation will be participatory and involving key stakeholders. Stakeholders will be kept informed of the evaluation processes including design, information collection, and evaluation reporting and results dissemination to create a positive attitude for the evaluation and enhance its utilization. Relevant UN-Habitat and United Nations entities, national governments/ local authorities, beneficiaries, and other stakeholders may participate through a questionnaire, interviews or focus group discussions.

7. Evaluation methods

The evaluation shall be independent and carried out following the evaluation norms and standards of UN-Habitat and the United Nations System. A variety of methodologies will be applied to collect information during evaluation. These methodologies include the following elements:

a) Review of documents relevant to the project. Documents to be provided by relevant UN-Habitat entities, and documentation available with stakeholders and beneficiaries (such documentation shall be identified and obtained by the evaluation team).

Documentation to be reviewed will include:

- Project document, results framework and implementation plans;
- Annual Work Plan;
- Monitoring Reports;
- Publications;
- Reviews;
- Strategic plans, as deemed relevant, such as UN-Habitat's Strategic Plan (2014-2019), the GHS, relevant national development plans, and other relevant policy documents;
- Outreach and communication material.

b) Key informant interviews and consultations, including focus group discussions will be conducted with key national stakeholders and others, including UN-Habitat staff. The principles for selection of stakeholders to be interviewed as well as evaluation of their performance shall be clarified in advance (or at the beginning of the evaluation). The informant interviews will be conducted to obtain qualitative information on the evaluation issues, allowing the evaluators to assess project relevance, efficiency and effectiveness.

c) Surveys. In order to obtain quantitative information on stakeholders' views and perceptions, questionnaires to different target audiences (beneficiaries, local and national authorities, members of the National Habitat Committees, other stakeholders, etc.) will be deployed as deemed relevant to give views on various evaluation issues.

d) Field visits, if deemed feasible with resources available to the evaluation, to assess selected activities in one or two countries. Field visits should provide insight into both the scope (time), depth and range of activities. The evaluators will describe expected data analysis and instruments to be used in the inception report. Presentation of the evaluation findings should follow the standard format of UN-Habitat Evaluation Reports (evaluation purpose and objectives, evaluation methodology and approach, findings(achievements and performance rating assessments), conclusions, lessons learned, recommendations).

8. Accountability and Responsibilities

The independent Evaluation Unit of UN-Habitat will commission a centralized evaluation of the project and it will manage the evaluation, with logistical support from the Housing Unit, Housing and Slum Upgrading Branch (HSUB) on day-to-day basis and in consultation with the members of the evaluation reference group.

The Evaluation Unit will guide and ensure that the evaluation is contracted to a suitable candidate. The Evaluation Unit will advise on the code of conduct of evaluation and provide technical support as required. The Evaluation Unit will have overall responsibility of ensuring that contractual requirements are met and approve all deliverables (Inception Report with work plan, Draft and Final Evaluation Reports).

An evaluation reference group will be established at the start of the evaluation process with four members representing the Housing Unit (HSUB), focal points from the Regional Office for Africa and the Regional Office for Asia and the Pacific, and the Evaluation Unit. The reference group will be responsible for providing guidance on the process, approving the selection of evaluation team, and commenting on the inception report and drafts of the evaluation report.

The evaluation will be conducted by one consultant. The evaluator is responsible for meeting professional and ethical standards in planning and conducting the evaluation, and producing the expected deliverables in accordance with UN-Habitat evaluation policy and norms and standards for evaluation.

The evaluator will receive overall guidance from the reference group, technical support from the Evaluation Unit and logistical support from the Housing Unit.

9. Qualifications and Experience of the Evaluator

The evaluation shall be carried out by one consultant. To ensure complementarity within the evaluation team, the consultant should have proven evaluation expertise. The International Consultant is expected to have:

a) Extensive evaluation experience. The consultant 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 housing issues and UN-Habitat and its mandate.
c) 8-10 years of programme management experience in results-based management working with projects/ programmes in the field of housing, land, legislation and governance.
d) Advanced academic degree in political sciences, social economy, land and governance, public administration, or similar relevant fields.

e) Recent and relevant experience working in developing countries.

f) It is envisaged that the consultants would have a useful mix of experience and familiarity with public administration in various parts of the world.
g) Fluent in English (understanding, reading and writing) is a requirement.

10. Work Schedule

The evaluation will be conducted over the period of four weeks, including the desk review, from January2018 to March 2018. The evaluation team is expected to prepare an inception report with a work plan that will operationalize the evaluation. In the inception report, Theory of Change, understanding of the evaluation questions, methods to be used, limitations or constraints to the evaluation as well as schedule and delivery dates to guide the execution of the evaluation, should be detailed. The provisional timetable is as follows in section 13.

11. Deliverables

The three primary deliverables for this evaluation are:

a) Inception Report with evaluation work plan. Once approved, it will become the key management document for the evaluation, guiding evaluation delivery in accordance with UN-Habitat's expectations throughout the performance of contract. The draft inception report is reviewed and approved by the evaluation reference group.
b) Draft Evaluation Reports. The evaluation team will prepare evaluation report draft(s) to be reviewed by UN-Habitat. The draft should follow UN-Habitat's standard format for evaluation reports. The draft report is shared with the evaluation reference group for review and comments. The evaluation reference group will review and provide comments on draft reports.
c) Final Evaluation Report (including Executive Summary and Appendices) will be prepared in English and follow the UN-Habitat's standard format of an evaluation report. The report should not exceed 25 pages (excluding Executive Summary and Appendices). The report should be technically easy to comprehend for non-specialists. The final report is approved by the reference group.

12. Resources

The funds for the evaluation of the project are made available from the project's budget.

The remuneration rate of the consultant will be determined by functions performed, qualifications, and experience of the consultant. There are set remuneration rates for consultancies.

Payments will be based on deliverables over the consultancy period. The fees will be paid upon satisfactory delivery of outputs as per agreement.

Where applicable, travel costs of the consultant (airplane ticket economy class), transfers, and daily allowance as per the UN rate is payable in addition to the daily fee. Daily subsistence allowance will be paid only when working outside the official duty station (home-based) of consultant.

13. Provisional Time Frame

#	Task Description	Aug-Nov 17			Dec 17				Jan 18				Feb 18				Mar 18			
					1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
1	Development of TOR Evaluation Team (1 Int. Consultant)	X	X	X	X															
2	Call for expression of interest and recruitment of consultant			X	X	X	X	X	X											
3	Review of background documents									X	X									
4	Preparation and approval of inception report with work plan and methodology of work										X	X								
5	Data collection including document reviews, interviews, consultations and group meetings											X	X							
6	Analysis of evaluation findings, commence draft report writing and briefings to UN-Habitat											X	X	X	X					
7	Presentation of preliminary Findings to UN-Habitat (by Skype)														X					
8	Draft Evaluation Report														X	X				
9	Review of Evaluation Report															X	X	X	X	
10	Production delivery of Final Evaluation Report, including editing, and layout																		X	X

ANNEX 2: INDIVIDUAL PROJECT EVALUATIONS

AFGHANISTAN

AFGHANISTAN -	
TIMELINE	
2014.06.01	UNDA Planned Project Start Date
2015.06.12	First contact on needs assessment
2016	TOR for consultant to draft Afghanistan National Housing Profile and Housing Strategy
2016.02.27	First mission to Kabul
2016.03	Housing Rights and Human Rights Brief drafted
2016.06.15	(Second mission to Kabul Housing profile workshops Housing finance technical training workshop Housing profile draft)
2016.09.26	(Housing profile with the policy and strategy draft)
2016.10.24	US$25,000 co-financed by a UN-Habitat Afghanistan Office
2017.05	(Afghanistan Housing Profile drafted)
2017.06.04	(Third mission: Housing profile validation workshop)
2017.04.14	Change of housing consultant
2017.07.11	Government requests work plan for National Housing Policy and Strategy Government requests finalisation of National Housing Survey
2017.08	National Housing Programme
2017.12.10	National Housing Program 2017 – 2030 drafted
2017.12	TOR for National Housing Policy for Afghanistan
2017.12.31	UNDA Project end date
REPORTS	
2016.03	UN-Habitat, Housing Rights and Human Rights Brief
(2017.05)	(UN-Habitat and Islamic Republic of Afghanistan, Ministry of Urban Development and Housing (MUDH), Afghanistan Housing Profile, published
2017.05	Islamic Republic of Afghanistan MUDH, Afghanistan National Housing Program 2017 and Implementation Plan, draft

Country Demand: UN-Habitat engages with the Islamic Republic of Afghanistan‘s Ministry of Urban Development and Housing on housing under the Municipal Governance Support Programme (MGSP) and the Future of Afghan Cities Programme (FoAC). No formal request from the Republic for support to the GHS has been reviewed.

Outputs: UN-Habitat in Afghanistan provided policy advice and technical assistance during focus group and Steering Committee meetings, and supported various initiatives on housing during the project period of June 2014 – December 2017. (i) The National Housing Profile was drafted by a consultant and (ii) the Afghanistan National Housing Program 2017 – 2030 drafted by the government. There are no records of workshops on the GHS. The National Housing Profile was drafted before the start of the Account Project but its findings were disseminated through the Account Project.

Capacity development: Discussions during the evaluation demonstrated that the director of the National Housing Programme is knowledgeable about the GHS and he is inspired through the various housing initiatives by UN-Habitat. The TOR for ‘Developing a National Housing Profile for Afghanistan’ includes a capacity development component. But discussion during the evaluation revealed that the focus of the project was on the content of the Profile rather than on strengthening the government. The Housing Profile was developed under the MGSP and FoAC programme.

Follow-up: A National Housing Policy for Afghanistan was drafted in 2018 after the Account Project was already completed. It is expected to be approved shortly after which its implementation will start. World Bank proposes housing funds and pledges seed funding.

LESOTHO

LESOTHO	
TIMELINE	
2014.06.01	UNDA Planned Project Start Date
2013 – 2015	Participatory Slum Upgrading Programme
2014.05	NHC installed
2014.06.01	UNDA Planned Project Start Date
2014.10	Housing Profile Study finalized in the context of the GHS
2015	TOR for consultant to draft Review of National Housing Policy and formulation of National Housing Strategy for Lesotho
2015.01.06	First contact with consultant
2015.05	Habitat III National Report 2015, Third United Nations Conference on Housing and Sustainable Urban Development (HABITAT III)
2015.08.07	30.000USD financing from UNDP locally managed
2015.08.18	National consultant recruited
2015.09.17	International consultant recruited
2015.09.20	Agreement of corporation signed with government of Lesotho to review National Housing Policy
2015.10	National Housing Profile, final
2015.10.22	Actual start of the project First mission Launch of National Housing Policy review and Implementation Strategy Second consultation workshop Meeting with the minister
2015.11.24	Contact with minister
2015.12.13-16	Second mission Launch of National Housing Profile review and Implementation Strategy National Housing Policy consultation workshop
2016.08.03	Draft Policy and Strategy
2017.06.28	Second draft Policy and Strategy
2017.07	Change in government
2017.10.05	GHS peer-to-peer meeting in Head Office with representatives of Lesotho
2017.11.23	Third mission planned
2017.31.12	UNDA Project end date

REPORTS	
2014.09.09/10	UN-Habitat UNDP Government of Lesotho, Workshop, Lesotho Housing Sector Profile Validation Workshop, Programme.
2015.08.15	Agreement of Cooperation between UN-Habitat and the Government of the Kingdom of Lesotho for the period January 2015 – January 2016, including for the drafting of the NHP
	First mission/ workshop
2015.10.22	UN-Habitat UNDP Government of Lesotho, Inception Workshop, Report.
2015.10.22	UN-Habitat UNDP Government of Lesotho, Inception Workshop, Attendance List.
2015.10.22	UN-Habitat UNDP Government of Lesotho, Workshop, List of Housing Profile stakeholders.
2015.10.22	UN-Habitat UNDP Government of Lesotho, Workshop, Housing Profile Process, Presentation 1.
2015.10.22	UN-Habitat UNDP Government of Lesotho, Workshop, Lesotho Housing Profile Presentation 2.
2015.10.22	UN-Habitat UNDP Government of Lesotho, Workshop, Lesotho Housing Profile Presentation 3, Improving Access to Adequate Housing for All in Lesotho.

2015.10.22	UN-Habitat UNDP Government of Lesotho, Workshop, Lesotho Housing Profile Presentation 4, The right to adequate housing and the Human Rights-Based Approach.
2015.10.22	UN-Habitat UNDP Government of Lesotho, Workshop, Lesotho Housing Profile Presentation 5, Revision of the National Housing Policy and Formulation of a National Housing Strategy Main Strengths, Gaps and Opportunities.
2015.10.22	UN-Habitat, Lesotho Housing Policy/Strategy Matrix.
2015.10.22	UN-Habitat, PP Presentation, Launch of Lesotho National Housing Profile.
2015.10	UN-Habitat UNDP Government of Lesotho, Workshop 1, Lesotho Housing Profile Presentation 5, Revision of the National Housing Policy and Formulation of a National Housing Strategy Main Strengths, Gaps and Opportunities.
	Second mission/ workshop
2015.12.14	UN-Habitat UNDP Government of Lesotho, Consultative Workshop: Launch of Lesotho National Housing Profile and Review of the Draft National Housing Policy and Associated Strategy.
2017.6	UN-Habitat and Government of Lesotho Ministry of Local Government and Chieftainship, Lesotho National Housing Policy (by consultant).
2017	UN-Habitat and Government of Lesotho Ministry of Local Government and Chieftainship, Lesotho National Housing Policy Implementation Strategy 2017-2022 (by consultant).

Country demand: In 2010, the government drafted a National Housing Policy. Lack of consultation with stakeholders was identified as a reason why that Policy did not succeed. In August 2015, before the start of the Account Project, an agreement of cooperation was signed between UN-Habitat and the Government for 'the implementation of PSUP, Phase1'. It included capacity building, the drafting of a Housing Profile and of a National Urban Profile.
Outputs: UN-Habitat's Housing Unit undertook two missions to Lesotho. During (i) a first workshop held in October 2015, the Housing Unit disseminated the Lesotho Housing Profile that was drafted by the Housing Unit in 2014 and discussed next steps towards the revised National Housing Policy and developing a Housing Strategy. A broad range of 54 stakeholders, of which 56% were women, attended the workshop. The workshop programme included capacity building on the principles of the GHS. During a second mission, (ii) in December 2015 a joint workshop by UN-Habitat and UNDP discussed the National Housing Policy and Policy Implementation Strategy drafted by a consultant in between both workshops. The workshop brought together 88 key stakeholders in housing and urban development, including government ministries, the Mayor of Maseru and a wide array of other relevant stakeholders and institutions. Workshop reports were drafted. A third mission took place in March 2018, after the Account Project was completed, to provide and explain more detail of the Housing Policy and Strategy

Capacity development: The TOR for the National Housing Policy and Strategy includes a capacity development component and identifies expected learning outcomes. The Housing Officer of the Ministry of Local Government, Chieftainship and Parliamentary Affairs explained the merits of UN-Habitat's interventions in terms of strengthening the housing sector in Lesotho in a generic way. Other stakeholders felt that capacity development was more 'ad hoc' and specific and did not address capacity issues systemically.

Follow-up: The Housing Department now undertakes dialogues on housing in different forums and with the Cabinet to ensure that adequate budgets are allocated to housing improvements and slum upgrading projects. The Policy and Strategy are being used by different stakeholders as a tool for advocacy and to mobilize resources.

MOZAMBIQUE

MOZAMBIQUE	
TIMELINE	
2014.06.01	UNDA Planned Project Start Date
2015.03	MoU proposal
2015.03	Country negotiations
2015.11	Contact with Country Office to unlock the situation
2016.01	Country office drafts progress report
2016.03	MoU revised
2016.12	Inception report by consultant
2016.09	Governing Council bilateral meeting
2016.09	MoU between UN-Habitat and The Government of the Republic of Mozambique
2017.03/04	Consultant first mission to Mozambique
2017.04/05	Consultants second mission to Mozambique/ first workshop
2017.10	Draft report on implementation of the NHP
31st of December 2017	UNDA Project end date
REPORTS	
2015.12	Concept note and budget amendment
2016.08	In-house agreement of cooperation between ROAF and HSUB
2016.09	MoU between UN-Habitat and The Government of the Republic of Mozambique
2016	TOR for 'Strengthening national capacities to implement the national housing policy in Mozambique' (2016)
2017.11	Minutes of Inter-ministerial Meeting to Present the Strategy on the Implementation of Housing Policy
2017.11	Republic of Mozambique, National Housing Strategy – 2030, In Support of the Implementation of the National Housing Policy in Mozambique (by consultant under the GHS programme supported by UNDA)
2018	UN-Habitat and Republic of Mozambique, Mozambique Housing Profile (outside the UNDA project)

Country demand: In August 2016, an in-house agreement was signed between ROAF and the Housing Unit to 'Strengthening National Capacities to Implement the National Housing Policy in Mozambique'. The agreement focused on drafting the Strategy and included components to provide technical expertise and disseminate findings. The agreement was based on a detailed concept note and a budget of USD 91,499 by UN-Habitat and USD 47,500 by the government in kind.

In September 2016, a MoU was signed between UN-Habitat and the government in the context of the GHS programme including capacity development.

Outputs: A housing consultant undertook (i) two missions to Mozambique and led (ii) one workshop. Outputs further include (iii) the draft National Housing Strategy. The consultant's TOR included capacity development components in housing, addressing most of the 'intermediate capacity outcomes' and the 'institutional change objectives'.

Capacity development: No records could be reviewed. Interviews revealed that (i) the capacity of the (?) Directorate in the Ministry of Housing was strengthened but (ii) the learning method of the workshops was not always considered efficient or effective and (iii) working sessions to resolve specific bottlenecks with stakeholders would have been better.

Follow-up: Comments on the NHS – 2030 are awaited in anticipation of approval. UN-Habitat and Republic of Mozambique finalised the 'Mozambique Housing Profile', by a consultant in 2018.

MYANMAR

MYANMAR	
TIMELINE	
2014.06.01	UNDA Planned Project Start Date
2015.08	Project launch
2016.10	Agreement of Cooperation (AoC) signed with CHL
2016.12	First mission to Myanmar by a consultant
2017.02	Second mission to Myanmar by a consultant
2017.04	National Housing Strategy draft
31st of December 2017	UNDA Project end date
REPORTS	
2016	TOR for 'Refining Thematic Papers and Developing Housing Policy and Strategy for Myanmar'
2016.12.04/10	UN-Habitat, Mission Report.
2016.12	Consultant, Consultations and Field Visits Report.
2017.02.23/24	UN-Habitat, Mission Report.
2017	Community Housing Ltd and Republic of the Union of Myanmar, Housing Strategy Inception Report. (by consultant)
2017	UN-Habitat and Community Housing Ltd and Republic of the Union of Myanmar, National Housing Policy and Strategy – PP Presentation.
2017	UN-Habitat and Republic of the Union of Myanmar, National Housing Policy and Strategy, draft.

Country demand: UN-Habitat collaborates in the areas of housing and urban development in Myanmar for two decades and most significantly since 2008.

Outputs: A first mission by UN-Habitat and a consultant held (i) meetings and consultations with a wide range of stakeholders and undertook field visits to various settlements. No meetings were held with civil society organisations because of the specific country context, but the mission talked to families in the settlements. A second mission by UN-Habitat and a consultant, (ii) presented the National Housing Policy and Strategy to officials and (ii) undertook a participative workshop on the Housing Strategy with about 50 members of the 'National Habitat Housing and Urban Development Taskforce'. Myanmar does not have a Housing Profile.

Capacity development: The consultant's TOR for 'Refining Thematic Papers and Developing Housing Policy and Strategy for Myanmar' includes participation and capacity building components. The methods are (i) policy and strategy design process acting as a catalyst in capacity building and knowledge generation, (ii) consultant training key stakeholders in development and implementation of housing, slum upgrading and slum prevention policies, interventions and programs. The focus was on a participatory approach to develop the policy.

Follow-upThe National Housing Policy and Strategy included a long list of actions but none have been implemented yet. It was discussed that a more in-depth analysis and proposal focusing on a limited number of actions could have been more effective.

SRI LANKA

SRI LANKA	
TIMELINE	
2014.06.01	UNDA Planned Project Start Date
2014	Sri Lanka Housing Policy 2014 (not UNDA project)

2016	Framework for Urban Policy and Programme: People's Housing Movement (by consultant, not UNDA project)
2016.11	First meeting in Sri Lanka to draft National Housing Policy planning
2016.11	Sri Lanka Land Bank Programme Assessment completed (by consultant, under UNDA project?)
2016.11	Review of Housing Policy Outline completed
201.12	National Housing Policy Draft (by consultant)
2017.02	National Housing Policy Draft presented to Ministry
2017.6	Inception Report for railway resettlement project (under UNDA project?)
2017.08	Housing survey to be conducted
2017.12.31	UNDA Project end date
REPORTS	
2016.10	Letter from the Ministry of Housing and Construction requesting UN-Habitat for assistance to revise their National Housing Policy
2016.10	UN-Habitat and Government of Sri Lanka, National Housing Policy Formulation - Concept Note.
2016.10	Minutes of First Meeting of High Level Committee
2017.01	Government of Sri Lanka, National Housing Policy - Revision of January 2017.

Country demand: In June 2016, the Ministry of Housing and Construction wrote to UN-Habitat asking for technical and financial support for the 'Revision of the National Housing Policy of Sri Lanka'.

Outputs: In October 2016, (i) a High Level Committee was formed on housing development in the country and the government organised a stakeholder workshop on the revision of the national housing policy. UN-Habitant gave a presentation on the GHS. The revised National Housing Policy draft was prepared by an UN-Habitat consultant and presented to the Minister in February 2017. (ii) In December 2017, a revised National Housing Policy was presented to the Ministry at large.

Capacity development: The consultant's TOR for 'Developing a National Housing Policy for Sri Lanka' includes participation and capacity building components. However, there are no records of such capacity building activities.

ZAMBIA

ZAMBIA	
TIMELINE	
2014.06.01	UNDA Planned Project Start Date
2015.11	Scoping mission
2017.06	Request from the Government to comment on their National Housing Policy and Strategy draft
2017.07	UN-Habitat Centre's sends comments on draft to government
2017.08	Reply from government awaited
2017.12.31	UNDA Project end date
REPORTS	
2015.10	Government of the Republic of Zambia Ministry of Local Government And Housing, National Housing Sector Policy for Zambia.
2015.11	Mission report
2016.08	MoU between UN-Habitat and the government
2017.05	Government of the Republic of Zambia, National Housing Sector Development Strategy for Zambia – draft commented by UN-Habitat

Country demand: Since 2011, UN Habitat has been committed to partner with the government on the GHS program and it assisted in drafting the Housing Profile in October 2012. The government drafted the Zambia National Housing Policy in 2015. In August 2016

the government and UN-Habitat signed a MoU in the framework of the GHS. Capacity development was part of UN-Habitat's TORs.

Outputs: In November, the Housing Unit and ROAF undertook (i) a joint scoping mission and met with government, UN Resident Coordinator and UNDP Country Director, U.S. Agency for International Development (USAID), the Japan International Cooperation Agency (JICA) and the Zambia National Building Society (ZNBS). 35% of the 20 stakeholders were women. The mission discussed the GHS and the Zambia 2015 National Housing Policy. The government welcomed support to develop an Implementation Strategy for the Housing Policy. The Account Project provided technical advice and quality assurance. The Country Office supported the project with logistics. The government hired a local consultant, the National Institute for Management, and developed the National Housing Sector Development Strategy. UN-Habitat reviewed the National Housing Sector Development Strategy in May 2017 and comments from the government are still awaited. In June 2017 UN-Habitat participated in a NUP orientation workshop and delivered a presentation on 'Housing at the Centre of Urban Development in Zambia'.

- Capacity development:
- Strength of stakeholder ownership: government priority of housing was enhanced
- Efficiency policy instruments: the project undertook quality assurance of Policy and Strategy
- Effectiveness of organizational arrangements: a National Housing Authority and a Ministry of Housing and Infrastructure were created

Follow-up: Restructuring of the Housing sector in the government delayed the process of the Housing Policy and Strategy development.

ANNEX 3: LIST OF PERSONS INTERVIEWED

LIST OF PERSONS INTERVIEWED
UN-Habitat Head Office
LALANDE Christophe, Leader, Housing Unit, Housing and Slum Upgrading Branch, UN-Habitat
LONARDONI Fernanda, Human Settlements Officer, Housing and Slum Upgrading Branch, UN-Habitat
VILLANUEVA Jesús Salcedo, Associate Expert, Housing Unit, Housing and Slum Upgrading Branch, UN-Habitat
ACIOLY Claudio, Head Capacity Development Unit, Research and Capacity Development Branch
MWAI Angela, Unit Leader Gender Coordination and Support Unit, Programme Division
THOMAS David, Consultant Cross-cutting Issues, Programme Division
Afghanistan
AGARWALA Parul, Senior Human Settlements Officer (?), UN-Habitat Country Office Afghanistan
(MAJALE Michael, Housing Consultant)
POPAL Sayed Ahmad, Director of National Housing Program, Ministry of Housing, Afghanistan
POPURI Srinivisa, Senior Human Settlements Officer, ROAP
Lesotho
CHIRAMBA Thomas, Senior Human Settlements Officer ROAF
MAJALE Michael, Housing Consultant
LETHUNYA Kabelo, Housing Officer in the Housing Department of the Ministry of Local Government, Chieftainship and Parliamentary Affairs
Mozambique
DINIS Dinis, Project Coordinator, UN-Habitat Country Office Mozambique
SANTOS Sofia, Director Ministry of Housing Mozambique
Myanmar
FLOOD Joe, Housing Consultant
(POPURI Srinivisa, Senior Human Settlements Officer, ROAP)
Sri Lanka
(POPURI Srinivisa, Senior Human Settlements Officer, ROAP)
Zambia
CHIRAMBA Thomas, Senior Human Settlements Officer ROAF

ANNEX 4: PROJECT BUDGET

Object Class	Object Code	Description	Initial Budget	Final Budget
602		GENERAL TEMPORARY ASSISTANCE	USD 35.000	USD 105.099
604		CONSULTANTS AND EXPERT GROUPS:	USD 235.000	USD 234.977
	0111	INTERNATIONAL CONSULTANTS (FEE)		
	014	NATIONAL/REGIONAL CONSULTANTS (FEE)		
	2610	CONSULTANT TRAVEL		
	2620	EXPERT GROUP (TRAVEL)		
608	2302	TRAVEL OF STAFF	USD 60.000	USD 21.029
612	3908	CONTRACTUAL SERVICES	USD 120.000	USD 210.229
616	4707	OPERATING EXPENSES	USD 20.000	USD 22.082
618		SUPPLIES & MATERIAL & FURNITURE & EQUIPMENT		USD 2.385
				USD 190
621	7202	FELLOWSHIPS, GRANTS AND CONTRIBUTIONS	USD 159.000	USD 37.550
	7203	WORKSHOPS		
		TOTAL	USD 629.000	USD 633.542
		SUPPLEMENTARY FUNDING:		
		UNDP LESOTHO	USD 30.000	
		SIDA	USD 300.000	
		AFGHANISTAN HABITAT COUNTRY PROGRAMME	USD 30.000	
		MOZAMBIQUE HABITAT COUNTRY PROGRAMME	USD 50.000	
		BENEFICIARY COUNTRIES - IN KIND	USD 60.000	
		MADRID COUNCIL	USD 55.000	

ANNEX 5: BIBLIOGRAPHY

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