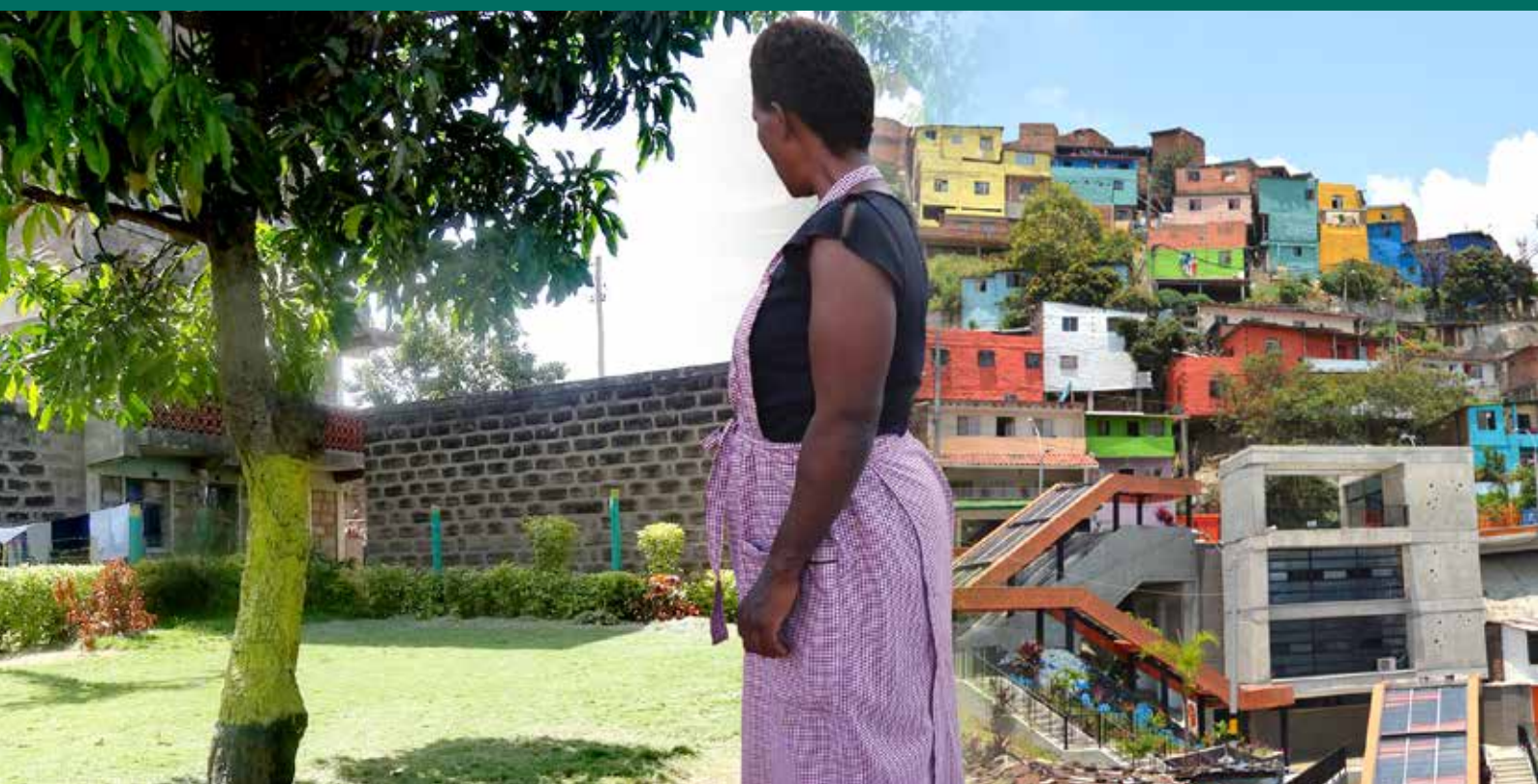


# EVALUATION OF THE COOPERATION AGREEMENT BETWEEN UN-HABITAT AND SWEDEN 2012-2015





**EVALUATION OF THE COOPERATION AGREEMENT BETWEEN  
UN-HABITAT AND SWEDEN TO SUPPORT THE IMPLEMENTATION OF  
THE UN-HABITAT INSTITUTIONAL AND STRATEGIC PLANS 2012-2015**

**EVALUATION REPORT 2/2016**

**UN  HABITAT**

Evaluation of the Cooperation Agreement Between UN-Habitat and Sweden 2012-2015

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## ACRONYMS AND ABBREVIATIONS

AOCB	Advocacy, Outreach and Communications Branch
ASUD	Achieving Sustainable Urban Development
CSO	Civil Society Organization
GHS	Global Housing Strategy
GLTN	Global Land Tool Network
GNSC	Global Network on Safer Cities
IATI	International Aid Transparency Initiative
ICT	Information and Communications Technology
IFUD	International Fund for Agricultural Development
INU	Italian National Planning Institute
LDC	Least Developed Country
LGA	Local Government Association
MTSIP	Medium-Term Strategic and Institutional Plan 2008-2013
NGO	Non-governmental organization
NIEN	Nairobi Interagency Evaluation Network
NUA	New Urban Agenda
OECS	Organization of Eastern Caribbean States
PAAS	Project Accrual and Accountability System
PIACB	Partners & Inter-Agency Coordination Branch
PPS	Project for Public Spaces
RBM	Results Based Management
SCP	Safer Cities Programme
Sida	Swedish International Development Cooperation Agency
SUD-Net	Sustainable Urban Development Network
UCLG	United Cities and Local Governments
UN	United Nations
UNACLA	UN Advisory Committee of Local Authorities
UNDESA	United Nations Department of Economic and Social Affairs
UNECA	United Nations Economic Commission for Africa
UNEG	United Nations Evaluation Group
UNGA	United Nations General Assembly
UNICEF	United Nations Children's Emergency Fund
UNICRI	United Nations Interregional Crime and Justice Research Institute
UNODA	UN Office for Disarmament Affairs
UNODC	United Nations Office on Drugs and Crime
UNOG	United Nations Office at Geneva
UNU	United Nations University
UPDB	Urban Planning and Design Branch

## EXECUTIVE SUMMARY

### Introduction

This evaluation of the 2012–2015 agreement between the Swedish International Development Cooperation Agency (Sida) and UN-Habitat was conducted in order to determine the extent to which the objectives of the agreement have been achieved and to support improvements in existing structures and processes. While it is not likely to contribute significantly to the new Sida/UN-Habitat agreement, it may be helpful to amendments which may occur following Habitat III in Quito, Ecuador, and the adoption of the new urban agenda. The evaluation exercise was undertaken in the months from December 2015 to March 2016 by Martha McGuire and Daniel Biau. The intended audience is the management of both Sida and UN-Habitat and staff responsible for coordinating the cooperation agreement and overseeing planning and implementation of Sida-funded projects.

The objectives of the evaluation were as follows:

1. To assess the design, implementation and progress made towards the achievement of results at the outcome level by Sida-supported projects and programmes implemented under the 2012-2015 cooperation agreement. This will entail analysis of actual versus expected results achieved by UN-Habitat
2. To assess the extent to which the modalities of the cooperation agreement as well as funding and coordination mechanisms were achieved and enabling to effectively define the results to be achieved, effectively deliver the projects/programmes and to report on performance of UN-Habitat
3. To assess the performance of the cooperation agreement in terms of relevance (to both Sida and UN-Habitat), efficiency, effectiveness, sustainability and impact outlook of the cooperation projects/programmes supported under the cooperation agreement
4. To determine whether the Sida-supported projects and programmes contributed to overall goals of poverty reduction and sustainable development
5. To assess the extent to which cross-cutting issues of gender, human rights, climate change, capacity building and youth have been integrated in design, implementation and outcomes of the Sida funded projects.
6. To identify weaknesses and strengths in the institutional capacity to implement the Sida funded projects and programmes for learning and future programming
7. Taking the intended user into account, identify lessons learned and provide recommendations for improving future cooperation agreements

### Methodology

The evaluation was designed to ensure that there were multiple sources using multiple methods for each evaluation question. Data collection methods included a review of relevant documents, interviews, a survey of beneficiaries and partners and field visits within the Nairobi area.

The strengths of this evaluation are the use of multiple lines of inquiry, use of mixed methods, an evaluation team that includes subject-matter expertise and an evaluation expert together with the collection of much of the data face-to-face. There was substantial existing data that was drawn upon.

A key limitation is the variable quality of the data. Monitoring data was poor with the exception of a couple of the projects. Because of that, it is very difficult to determine efficiency, effectiveness and impact. While the information provides some good descriptive material and examples of things working well, determining the accomplishments often required extensive sifting through reports and project products. Checking the project summary reports with focal points helped to offset this limitation.

### Summary of Main Findings

#### Achievement of results

Overall, the evaluation finds that the agreement recorded good performance as detailed in the overall assessment in Part I of the evaluation report with respect to project/programme designs, implementation processes and results. There was also evidence of good performance on achievement of results at project level, which is detailed in Part II of the evaluation report.



- One of the highlights of 2015 was the adoption of the 2030 Sustainable Development Goals and Goal 11, with the ambition to make cities and human settlements inclusive, safe, resilient and sustainable and which has a target that “by 2030, provide universal access to safe, inclusive and accessible, green and public spaces, particularly for women and children, older persons and persons with disabilities”. While this achievement is not entirely attributable to the work completed through the Sida-funded UN-Habitat projects, the projects did contribute to focusing attention on cities and human settlements.
- The majority of Sida-funded projects (about 74 per cent) were rated with highly satisfactory or satisfactory performance
- Out of the USD14,163,018 received, USD 13,847,367 was spent as of December 2015, with a utilization rate of 97.7 per cent
- All funds were allocated to projects that were relevant to both UN-Habitat and Sida
- All projects had accomplishments related to their areas of focus
- Partnerships were built or enhanced as the result of Sida funding. While this occurred to some extent with all projects, the ones which were specifically intended to build partnerships did achieve this goal. The UNACLA and Open UN-Habitat Transparency Initiative resulted in enhanced relationships and the Strengthening Partnerships for Habitat III and the Strengthening Urban Education, Research and University project resulted in an increased number of partners.
- Inter-branch collaboration, as well as collaboration with regional offices, contributed substantially to the success of a number of projects including SUD-Net, Pursuing Sustainable Urban Development, Enhancing Global Action for Safer Cities and the Global Land Tool Network. The operational projects all involved working with other branches as well.
- Policies related to safer cities were developed through the Enhancing Global Action for Safer Cities and those policies were demonstrated through SUD-Net, Mainstreaming and Strengthening Youth and Democracy at the Local Level to Create Safer Cities, and Pursuing Sustainable Urban Development projects
- The relationships with municipalities were improved through a number of projects including the Local Governance Catalytic project, the Improving Urban Legal Frameworks, Urban Planning and Design for Sustainable Urban Development and SUD-Net
- The three-pronged approach (finance, legislation and planning) adopted by UN-Habitat works towards the sustainability of cities with the Urban Planning and Design for Sustainable Urban Development and Improving Urban legal Frameworks for the Extensions and Densification of Cities projects providing the normative work, legal frameworks and tools
- Human rights and gender equity cut across almost all projects with much of the normative work being carried out by Promotion of Pro-poor Land and Housing: Sustainable Housing, Slum Upgrading and Community Development/ Mainstreaming Human Rights in Human Settlements projects
- UN-Habitat has focused on selected areas of great concern to most developing countries: land and shelter, urban governance and planning, national urban and housing policies. This has benefitted and directed the entire organization, both at headquarters and in the field. For example, security of land tenure has been addressed through the Global Land Tool Network programme.
- UN-Habitat also improved its capacity to carry out its work by:
  - ➔ Ensuring good communication between headquarters and regional offices
  - ➔ Institutionalizing Results-based Management into the UN-Habitat structure
  - ➔ Placing greater emphasis on evaluation, particularly of projects over USD 300,000
  - ➔ Developing the Project Accrual and Accountability System (PAAS) and a knowledge management system
  - ➔ Addressing the risk of fraud and corruption
  - ➔ Mitigating risk by providing legal advice

Based on these achievements, the overall rating for the implementation of the cooperation agreement is Satisfactory (4). For performance ratings of individual projects please refer to Part II of this report.

## Institutional arrangements

Institutional arrangement for implementation of the agreement was already in place to a great extent. The annual donor consultation meetings that discussed progress and actions plans to address pending issues enabled the delivery of the projects and programmes.

Rating: Satisfactory (4) ★★★★★

## Relevance

All projects were relevant to the key focus areas in the Sida-UN-Habitat original and amended agreements. Beneficiaries also found the work of UN-Habitat to be relevant. This was supported by a high level of involvement of beneficiaries in the design and implementation of the work.

Rating: Highly satisfactory (5) ★★★★★

## Efficiency

While it is difficult to determine the level of efficiency of projects, it is evident that the partnerships and leveraged funding support achieving a broader reach. Sida funding also contributed to operational improvements such as PAAS, Results Based Management, anti-corruption, legal support and evaluation which are intended to support both efficiency and effectiveness of programmes. UN-Habitat is still transitioning into using some of these systems so the potential efficiencies have not yet been gained. The potential for greater efficiency is likely to be realized once staff become more familiar with the systems.

Rating: Satisfactory (4) ★★★★★

## Effectiveness

All projects were effective to some degree. Most were satisfactory or highly satisfactory in the achievement of intended accomplishments. Interviews and products provide examples of the effectiveness of the various projects. As noted, systematic measurement of effectiveness is still in its early stages, but with the introduction of Results Based Management and regular evaluations, the ability to measure effectiveness should be improved in the next Sida/UN-Habitat agreement.

Rating: Satisfactory (4) ★★★★★

## Sustainability

The normative work arising from the Sida/UN-Habitat agreement is highly sustainable in that it lays the foundation for other work to occur at a national or municipal level. Many of the projects have taken on a life of their own through funding from other sources. However, the Sida funding continues to be important to the sustainability of many of the projects because it supports much needed core staffing.

Rating: Satisfactory (4) ★★★★★

## Impact Outlook

In general, UN-Habitat does not address impact. Impact evaluations require resources beyond the capacity of the Evaluation Unit. However, if Results Based Management (RBM) and the Project Accrual and Accountability System would focus more on monitoring the outcomes achieved, such evaluations would be possible. The Global Land Tool Network provides a good example of the potential of RBM, with the development of the monitoring framework and impact indicators.

Despite the challenge of determining impact, almost all of the normative work carried out under this agreement was intended to reduce poverty. A number of the projects are based on sustainable urbanization principles, which focus on the well-being of people within the community. Qualities of a sustainable urbanization include:

- Clean and safe physical environment
- Peace, equity and social justice
- Adequate access to food, water, shelter, income, safety, work and recreation for all
- Adequate access to health care services
- Opportunities for learning and skill development
- Opportunities to work

The emphasis on well-being, education and work helps to create an environment that reduces the negative impacts of poverty and supports poverty reduction. Additionally UN-Habitat has established a three dimensional framework which further supports sustainable urbanization:

- Participatory urban design and planning
- Sound urban finances
- Strong legislative base

Rating: Partially satisfactory (3) ★★☆☆☆

### Cross-cutting issues of gender, human rights, climate change and youth

Cross-cutting issues were addressed through developing policy papers and by integrating issues in activities across UN-Habitat. Everyone interviewed acknowledged the importance of these issues and provided examples of how they were being addressed in the specific projects.

Rating: Highly satisfactory (5) ★★★★★

## Lessons Learned

Some of the lessons learned through implementation of the projects funded through the Sida/UN-Habitat agreement are:

1. Engagement of beneficiaries and partners is essential to the sustainability and long-term impact of the projects. However, such engagement takes time and resources. This needs to be taken into account when planning and funding projects.
2. Much of the work of UN-Habitat is not likely to show immediate results. The normative work needs to be done and demonstration of the effectiveness of the norms can then be achieved through pilot projects. This is likely to take more than four years.
3. The impact of the work of UN-Habitat may not be evident for ten-15 years. However, it is important to monitor impact from the beginning of a project/programme so that impact can be demonstrated when it actually occurs.
4. Projects that include internal collaboration and pay attention to monitoring effectiveness are generally more successful than those that do not.

## Recommendations

1. The work that is being carried out through the Sida/UN-Habitat agreement is well grounded in the UN-Habitat strategic plan and is also consistent with Sida's priorities. The work needs to continue.
2. Sida should continue to provide soft ear-marked funds. In order for UN-Habitat to do its work it needs core funding for administrative/organizational functions. Sida is one of the few donors that permits this.
3. In order to improve its core funding, UN-Habitat should make every effort to negotiate a higher percentage for administrative costs from other donors so that it can better support projects.
4. A model for achieving effective results is evident in the projects that were rated as 'satisfactory' or 'highly satisfactory':
  - Clear measurable goals with a well-defined path of activities to achieve the goal, demonstrated through a theory of change or logic model
  - Normative work is carried out at headquarters in consultation with regional offices
  - Collaboration among branches, headquarters and other partners
  - Regional offices are primarily responsible for developing projects that are based on the normative work and seeking technical expertise from staff at headquarters
  - Funding is leveraged through the normative work for projects at a regional or country level

This appears to be a formula for success that should continue to be used. Where it is used it appears to increase the potential for the sustainability of a project.

5. Normative work should continue at all levels from global to regional, national and local, and should aim at providing policy guidance to governments and their partners. In conjunction with Habitat III and with the implementation of the new urban agenda, UN-Habitat should consider devoting more efforts to the global and regional levels, by promoting more energetically sustainable urban and housing policies which are central to its mandate. Sida may support

this effort, both financially and politically, as part of the new cooperation agreement.

6. The approach of inclusion, gender sensitive and participatory appears to contribute to the success of projects and should be continued.
7. In order to support transparency, collaboration and monitoring of the work of UN-Habitat incentives are needed to encourage project managers to upload and share information and data on their projects on a regular basis.
8. Monitoring systems that focus on outcomes and impact should be improved. It is essential that RBM move from a paper based approach to an electronic system that provides hard numbers that allow for improved analysis of benefits and create the possibility of cost-benefit analysis. This could be accomplished through PAAS. Specifically, the performance monitoring system should include:
  - Development of measurable indicators, using a template such as the following:

Name of Indicator	A descriptive title
Description	Details of what is to be measured, with definitions of any terms that might not be clear
Numerator	The amount intended to be achieved
Denominator	The potential population/amount
Disaggregations	This would include gender, age, location and sub-programmes
Method of measurement	The tool that will be used to measure, preferably one that has already been validated
Rationale	The reason the indicator was selected
Data source	Where the data will come from
Reference (s)	There are tools available to measure almost anything – these should be referenced

- A performance monitoring framework that includes:
  - ➔ Specific goals/objectives
  - ➔ Indicators for each of the goals/objectives
  - ➔ Baseline information
  - ➔ Target for each indicator with timeline for achieving
  - ➔ Source of information
  - ➔ Data collection method
  - ➔ Frequency of reporting
- Collection of baseline data as early in the project as possible
- Clear targets for each of the indicators
- Data stored electronically, using a system that can easily generate reports
- Regular reporting of progress to senior management, providing evidence of the extent to which projects have met their targets, keeping in mind that targets need to go beyond the products produced or services provided and measure the difference those products and services are making.

# PART I

## Evaluation Synthesis Report

### 1. Introduction

---

This evaluation of the 2012–2015 agreement between the Swedish International Development Cooperation Agency (Sida) and UN-Habitat was conducted in order to determine the extent to which the objectives of the agreement have achieved and to support improvements in existing structures and processes. While it is not likely to contribute significantly to the new Sida/UN-Habitat agreement, it may be helpful for amendments which may occur following Habitat III in Quito, Ecuador, and the adoption of the New Urban Agenda.

This report is divided into two parts. Part I contains an analysis of overall performance by evaluation criteria, identifies key achievements and gives some examples of successful interventions. Part II provides a more detailed review of each project implemented under the agreement and rating their performance.

### 2. Overview of Sida/ UN-Habitat Agreement

---

UN-Habitat is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all. In order to carry out its work, it enters into funding agreements with a number of donors. The following provides background on the agreement and the funding provided.

#### 2.1 Overview of the Agreement

Sida has been a major donor to UN-Habitat since the 1970s. Since 2009, Swedish contributions to UN-Habitat has been through programme cooperation agreements. Sida funded the Programme Cooperation Agreement for 2009-2011 with SEK 70 million (USD 8.4m), and for the current agreement with SEK 100 million.

The current cooperation agreement, 2012-2015, was intended to support the implementation the Medium-term Strategic and Institutional Plan 2008-2013 (MTSIP) for the 2012-2013 period and the implementation of the 2014-2019 Strategic Plan (SP) for the 2014-2015 period. The mandate of UN-Habitat and the overall objective of its strategic plans are to promote sustainable urbanization and adequate shelter for all.

Priority areas for Sida's contribution to UN-Habitat are consistent with the Swedish Strategy for Multilateral Cooperation, the Swedish Strategy for Global Programmes and Sida's policy for urban development.

The priority areas for Sida's support to the MTSIP during 2012 and 2013 were:

- Focus Area 2: Promotion of Participatory Planning, Management and Governance
- Focus Area 3: Promotion of Pro-Poor Land and Housing;
- Focus Area 6: Excellence in Management

Sida also supported efforts to streamline cross-cutting issues of poverty alleviation, gender equity, democracy, human rights and partnerships in the above prioritized focus areas. The cooperation agreement entered into in January 2012 was amended in 2015 in order to align with the 2014 -2019 Strategic Plan.

The priority areas for Sida's support related to the 2014–2019 Strategic Plan during 2014 and 2015 were:

- Focus Area 1: Urban Legislation, Land and Governance
- Focus Area 2: Urban Planning and Design
- Focus Area 5: Housing and Slum Upgrading

In addition, attention was given to:

- Operations
- Cross-cutting issues such as youth, safety, human rights and gender equity
- Partnerships

In order to support forward-thinking, this evaluation addresses the focus area of the Medium-Term Strategic and Institutional Plan 2008-2013, but places greater emphasis on the focus areas from the 2014-2019 Strategic Plan.

## 2.2 Sida-Funded Projects/Programmes

The following is a list of the 19 programmes/projects receiving funding through Sida (Table 1). Based on a preliminary review of the programme reports it appears that most of the intended objectives have been com-

pleted at this point. The work is predominately normative, although in some instances the projects operationalize norms through regional offices or joint initiatives with partners. Projects under themes 2, 3 and 4 correspond to high priorities of UN-Habitat's substantive mandate and work-programme (Focus Areas) while projects under themes 1 and 5 are of a cross-cutting nature in support of UN-Habitat's programme implementation capacities, both externally (theme 1) and internally (theme 5).

## 2.3 Logic Model/Theory of Change for the Sida/UN-Habitat Agreement

What follows is a logic model depicting the inputs, activities and outputs related to the agreement. It provides the framework within which projects are developed and implemented and the anticipated cumulative outcomes anticipated from the projects.

Some of the assumptions are:

- While a single project may have limited impact, the combined impact of the projects will work towards achieving the high level goals set out in the agreement
- That each of the projects will have inputs from UN-Habitat and possibly other sources and will have their own set of activities and outputs which support the achievement of individual project goals
- That the impact of any one project area is also dependent on the level of priority and resourcing

The logic model depicts the anticipated causal pathways. As shown, it is generally a combination of inputs and activities that lead to the intended outputs and, with the exception of projects in the category intended to improve operations, the combined outputs lead to the achievement of the goals. Improved operations refer to efficiency, accountability, risk management and anti-corruption.

The logic model indicates that the Sida/UN-Habitat agreement provides funding to support normative work which will be put into practice in the field through partnerships with regional offices and cooperation with other organizations. The funding serves to leverage funding from other sources, including from external support agencies and recipient countries. Hence, the primary contributions that the Sida/UN-Habitat agreement allows are:



**Table 1: List of Sida-funded Projects**

Focus Area & Operational Theme	Project code	Project Name	UN-Habitat Responsibility
<b>Theme 1: Partnerships</b>			
I Partnerships	J091	UN Advisory Committee of Local Authorities Project	External Relations Division
II Partnerships	T068	Open UN-Habitat Transparency Initiative	External Relations Division
III Partnerships	A130	Strengthening Partnerships for Habitat III: Focus on the Asia Pacific Region	External Relations Division
IV Partnerships	H150	Strengthening Urban Education, Research and University	External Relations Division
<b>Theme 2: Urban Planning &amp; Design</b>			
I Urban Planning and Design	J090	SUD-Net (Networking and Public Space Projects)	Urban Planning and Design Branch
II Urban Planning and Design	J100	Pursuing Sustainable Urban Development through National Urban Policies, Regional & Metropolitan Planning (SIDA)	Urban Planning and Design Branch
III Urban Planning and Design	J089	Urban Planning and Design for Sustainable Urban Development	Urban Planning and Design Branch
<b>Theme 3: Urban Land Legislation &amp; Governance</b>			
I Urban Legislation Land and Governance	G068	Global Land Tool Network Phase II (Sweden Contribution)	Urban Legislation Land and Governance Branch
II Urban Legislation Land and Governance	J092	Local Governance Catalytic Project	Urban Legislation Land and Governance Branch
III Urban Legislation Land and Governance	G070	Improving Urban Legal Frameworks for the extension and Densification of Cities	Urban Legislation, Land and Governance Branch
IV Urban Legislation Land and Governance	J093	Enhancing Global Action for Safer Cities Phase 3	Urban Legislation Land and Governance Branch Programme Division
V Urban Legislation Land and Governance	T069	Mainstreaming and Strengthening Youth and Democracy at the Local level to create Safer Cities	Programme Division
<b>Theme 4: Housing &amp; Slum Upgrading</b>			
I Housing and Slum Upgrading	G069	Promotion of Pro-poor Land and Housing: Sustainable Housing, Slum Upgrading and Community Development/ Mainstreaming Human Rights in Human Settlements	Housing and Slum Upgrading Branch
<b>Theme 5: Operations</b>			
I Operations	T071	Institutionalization of Results-Based Management in UN-Habitat	Management and Operations Division
II Operations	T072 & T080	Core Evaluation Activities for the 2014-2015 Workplan	Evaluation Unit
III Operations	T079	Implementation of Project Accrual and Accountability System (PAAS)	Management & Operations Division
IV Operations	A125	Development of Knowledge Management Systems	Management & Operations Division
V Operations	A132	Legal Advice and Assistance on a Range of Issues Pertaining to the Activities of UN-Habitat and to Reduce Exposure of Risks, Legal Claims and Liabilities	Management & Operations Division
VI Operations	A133	Addressing the Risk of Fraud and Corruption in UN-Habitat Projects – Anti-corruption and Audit Initiative (October 2014)	Management & Operations Division

1. Development of norms and tools
2. Leveraging additional resources
3. Supporting demonstrative field projects

These three contributions will be considered when determining the effectiveness of the Sida/UN-Habitat agreement.

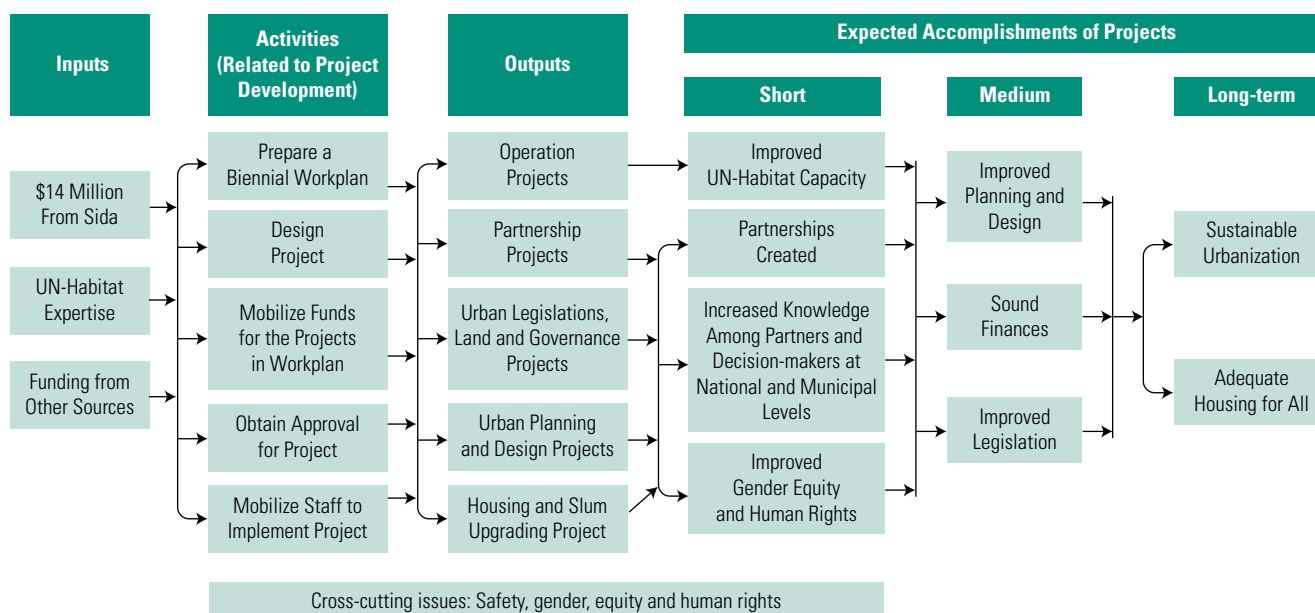
### 3. Evaluation design and Methodology

The evaluation design and methodology is based on the Evaluation Terms of Reference attached in Annex A.

#### 3.1 Purpose and Scope of this Evaluation

##### Objectives of the Evaluation

As indicated in the Terms of Reference (attached in Annex A), the evaluation will be used by UN-Habitat and Sida to make improvements to the existing structures and processes. The objectives of the evaluation are:

**Figure 1: Sida/UN-Habitat Agreement Logic Model**

1. To assess the design, implementation and progress made towards the achievement of results at the outcome level by Sida-supported projects and programmes implemented under the cooperation agreement 2012-2015. This will entail analysis of actual versus expected results achieved by UN-Habitat.
2. To assess the extent to which the modalities of the cooperation agreement as well as funding and coordination mechanisms were achieved and enabling to effectively define the results to be achieved, effectively deliver the projects/programmes and to report on performance of UN-Habitat.
3. To assess the performance of the cooperation agreement in terms of relevance to both Sida and UN-Habitat, efficiency, effectiveness, sustainability and impact outlook of the cooperation projects/programmes supported under the cooperation agreement.
4. To determine whether the Sida-supported projects and programmes contributed to overall goals of poverty reduction and sustainable development.
5. To assess the extent to which cross-cutting issues of gender, human rights, climate change, capacity building and youth have been integrated in design, implementation and outcomes of the Sida-funded projects.
6. To identify weaknesses and strengths in the institutional capacity to implement the Sida-funded projects and programmes for learning and future programming.
7. Taking into account the intended user, identify lessons learned and provide recommendations for improving future cooperation agreements<sup>1</sup>.

### Scope of the Evaluation

The evaluation is to determine the relevance, effectiveness, efficiency, sustainability and impact outlook of the cooperation agreement 2012-2015, focusing on projects and programmes that were funded by Sida.

### Key Evaluation Questions

#### Relevance

1. To what extent is the cooperation agreement consistent with the priorities of both UN-Habitat and Sida, and how does it contribute to sustainable development?
2. To what extent has the identification, design and implementation process of projects/ programmes involved the beneficiaries and been relevant to their development priorities?

<sup>1</sup> Request for Proposal



**Efficiency**

3. To what extent have UN-Habitat's normative and operational projects and programmes been cost-efficient?
4. What were the factors contributing to and detracting from efficiency?
5. What have been the efficient types of projects and why?

**Effectiveness**

6. To what extent has the cooperation agreement been effective in achieving its objectives?
  - Promoting participatory planning, management and governance
  - Promoting pro-poor land and housing
  - Reducing poverty
  - Developing capacities
  - Creating partnerships
  - Promoting gender equity
  - Addressing human rights
7. What was the cost compared to the benefit of achieving those objectives?
8. What were the contributions of Sida to achieving the objectives?
9. What were the contributions of UN-Habitat to achieving the objectives?
10. How effective (timely, credible and transparent) have UN-Habitat's systems been for monitoring, reporting and evaluation of results?

**Sustainability**

11. To what extent did projects and programmes build ownership of the beneficiaries?
12. To what extent will the projects and programmes supported by Sida be replicated, scaled up or institutionalized?

**Impact Outlook**

13. What is the overall impact of the cooperation agreement and its projects/programmes (intended and unintended)?

## 4. Evaluation Methodology

### 4.1 Data Collection Methods

The data collection methods used in carrying out this evaluation are described briefly in this section.

**Document review**

The document review contributed to all of the evaluation questions as well as providing background information for this inception report. A list of the documents reviewed is included in Annex B.

**Key Informant interviews**

Key informant interviews contributed to all of the evaluation questions. Interviews were conducted with representatives from UN-Habitat and Sida, selected beneficiaries in locations outside of Kenya, at focal points for each of the programmes/projects and at focal points for three of the four regional offices. Interviews with the regional offices provided information regarding the extent to which they are involved in planning and implementation of Sida-funded projects and a few examples of successful projects within the region. The list of persons interviewed is attached in Annex C.

**Surveys**

An online survey of direct beneficiaries (namely UN-Habitat entities and implementing partners) was conducted to help to determine the extent to which they benefitted from these programmes/projects, the changes that have occurred as a result of the project and the sustainability of those changes. Of the 59 people invited to participate in the survey, 35 responded, giving a 59 per cent rate. Three people sent emails indicating that they were not sufficiently involved and did not find the questions relevant to their situation. Eleven of the projects are represented in the responses, but without sufficient level of response for any single project to provide feedback specific to the project. Because the potential respondents were selected by UN-Habitat staff the survey responses may have a bias towards the positive. As well, because of the small sample and non-random selection of potential participants, the results of the survey cannot be generalized to all beneficiaries.

### Field Visits

Field visits were conducted to four locations within Nairobi:

- Nairobi City Hall (meeting with municipal planners)
- Jeevanjee Garden (a revived garden space in downtown Nairobi)
- Dandora (a slum in Nairobi)
- Mashimoni (a slum in Nairobi)

The field visits provided an opportunity to hear from beneficiaries in Nairobi and observe first hand some of the changes that have occurred.

## 4.2 Analysis and Interpretation of data

### Qualitative data

Content analysis was applied to the qualitative data (interviews, documents and field visits), looking for themes related each of the evaluation questions. In addition to themes, insightful and factual information from key stakeholders will be included in the findings.

### Quantitative data

Statistical analysis was applied to the quantitative data (closed ended questions from the surveys, numerical data from documents). The analysis was primarily description statistics (mean, rates, ranges and simple cross-tabulation) although if there is any data that looks at trends, it would be useful to determine whether any changes are statistically significant.

### Triangulation of data

The information was first incorporated into an individual summary of each of the projects. The summaries were reviewed by each focal point to obtain input on the accuracy and completeness of the information. The reports were then rolled up into this final report. Individual reports are included in Part II of this Report. It is important to note that these are not evaluation reports for each project, but simply a way of organizing the pertinent information.

The various sources of data were triangulated to assess the consistency of the information. Inconsistencies will be further explored in order to gain an understanding of why such inconsistencies exist.

### Rating

Based on the findings for each of the key areas of the evaluation (relevance, efficiency, effectiveness, sustainability and impact), a rating will be assessed for each of the projects using the tool attached in Annex D. This will contribute to an overall rating of the initiative.

### Interpretation of Findings

Interpretation of the findings included a presentation of preliminary findings to all project focal points. They were engaged in discussion regarding the implementation of the findings.

## 4.3 Strengths and Limitations

The strengths of this evaluation are the use of multiple lines of inquiry, use of mixed methods, a team that includes subject-matter expertise and the collection of much of the data face-to-face. There is substantial existing data that it can draw on.

A key limitation is the variable quality of the data. Financial reports were not readily available and, when they were accessed, the information was not consistent across reports, with amounts being slightly different for the same period of time in different reports. However, the information was sufficient for the purposes of the evaluation in that it was possible to determine the size and duration of a project. To ensure consistency within this report, the information used was taken from the Interim Financial Status as of 31 December 2015 for Sida/UN-Habitat 2012–2015 Agreement.

Monitoring data was poor with exception of a couple of the projects. Because of that, it is very difficult to determine efficiency, effectiveness and impact. The information provides some good descriptive material and examples of things working well. Determining the accomplishments often required sifting through reports and project products. A thorough review of project documents and checking the project summary reports with focal points helped to offset this limitation.

## 5. Main Findings

The findings in this report are rolled up from the reports on individual projects provided in Part II of this report. Included in the summaries are examples of achievements carried out by each of the projects in relation to their

intended accomplishments in relation to the Sida/UN-Habitat agreement

## 5.1 Achievements

Overall, the evaluation finds that agreement recorded good performance with respect to project/programme designs, implementation processes and achievement of results including:

- One of the highlights of 2015 was the adoption of the 2030 Sustainable Development Goals and Goal 11, with the ambition to make cities and human settlements inclusive, safe, resilient and sustainable has a target that “by 2030, provide universal access to safe, inclusive and accessible, green and public spaces, particularly for women and children, older persons and persons with disabilities.” While this is not entirely attributable to the work completed through the Sida-funded UN-Habitat projects, the project did contribute to focusing attention on cities and human settlements.
- The majority of Sida-funded projects (about 74 per cent) were rated with highly satisfactory or satisfactory performance
- Out of the USD14,163,018 received, USD 13,847,367 was spent as of December 2015, representing a utilization rate of 97.7 per cent
- All funds were allocated to projects that were relevant to both UN-Habitat and Sida
- All projects had accomplishments related to their areas of focus
- Partnerships were built or enhanced as the result of Sida funding. While this occurred to some extent with all projects, the projects specifically intended to build partnerships did achieve this goal. UNACLA and Open UN-Habitat Transparency Initiative resulted in enhanced relationships and the Strengthening Partnerships for Habitat III and the Strengthening Urban Education, Research and University project resulted in an increased number of partners.
- Inter-branch collaboration as well as collaboration with regional offices contributed substantially to the success of a number of projects including
  - SUD-Net, Pursuing Sustainable Urban Development, Enhancing Global Action for Safer Cities and the Global Land Tool Network. As well, the operational projects all involved working with other branches
  - Policies related to safer cities were developed through the Enhancing Global Action for Safer Cities and those policies were demonstrated through SUD-Net, Mainstreaming and Strengthening Youth and Democracy at the Local Level to Create Safer Cities and Pursuing Sustainable Urban Development projects
  - The relationships with municipalities were improved through a number of projects, which include the Local Governance Catalytic project, the Improving Urban Legal Frameworks, Urban Planning and Design for Sustainable Urban Development and SUD-Net
  - The three-pronged approach (finance, legislation and planning) adopted by UN-Habitat works towards the sustainability of cities with the Urban Planning and Design for Sustainable Urban Development and Improving Urban legal Frameworks for the Extensions and Densification of Cities projects providing the normative work, legal frameworks and tools
  - Human rights and gender equity cut across almost all projects with much of the normative work being carried out by Promotion of Pro-poor Land and Housing: Sustainable Housing, Slum Upgrading and Community Development/ Mainstreaming Human Rights in Human Settlements project
  - UN-Habitat has focused on selected areas of great concern to most developing countries: land and shelter, urban governance and planning, national urban and housing policies. This has benefitted and directed the entire organization, both at headquarters and in the field. For example, security of land tenure has been addressed through the Global Land Tool Network programme
  - UN-Habitat also improved its capacity to carry out its work by:
    - ➔ Ensuring good communication between headquarters and regional offices
    - ➔ Institutionalizing Results-based Management into the UN-Habitat structure

- ➔ Placing greater emphasis on evaluation, particularly of projects over USD 300,000
- ➔ Developing the Project Accrual and Accountability System and a knowledge management system
- ➔ Addressing the risk of fraud and corruption
- ➔ Mitigating risk by providing legal advice

Based on these achievements, the overall rating for this initiative is Satisfactory (4). For performance rating by individual project please refer to Part II of this report.

## 5.2 Cross-cutting issues of gender, human rights, climate change and Youth

Cross-cutting issues were addressed in two ways:

1. Developing policy papers such as:
  - Human Rights in Human Settlements
  - Housing for Persons with Disabilities
  - UN-Habitat Policy and Plan for Gender Equality and the Empowerment of Women in Urban Development and Human Settlements 2014-2019
  - Women and Housing
  - UN-Habitat Climate Change Strategy 2014-2019
  - Green Building
  - ICT, Urban Governance and Youth
  - What Land Means to Youth
2. By integrating the issues into the work across UN-Habitat. Human rights and gender equity is integrated into almost all projects through a variety of mechanisms including a direct focus where humans or gender is the primary focus of the tool or policy. The principles of inclusiveness and participation support approaches that consider human rights and gender. Climate change is also integrated in a number of projects, either directly or through consideration of issues such as energy, density and green development. Youth are considered explicitly

in at least eight of the projects.

## 5.3 Relevance

### To UN-Habitat

All projects were relevant to UN-Habitat, contributing to priority areas for Medium-Term Strategic and Institutional Plan 2008-2013 and/or UN-Habitat's Strategic Plan 2014-2019. The operational projects supported all of the other projects and were essential to the functioning of UN-Habitat, contributing to sustainable development.

### To Sida

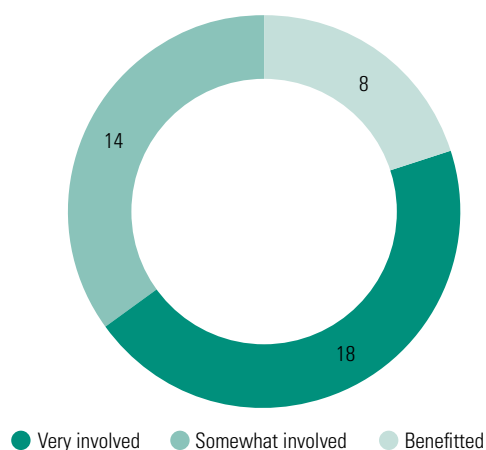
Similarly all projects were relevant to Sida. However, the Sida representative did express concern that safe cities, one of their priorities, was not given as much attention as were some of the other projects. Particular concern was expressed regarding the reduction in the number of staff now working on safe cities. It should be noted that safe cities work is integrated into other projects, particularly SUD-Net (Networking and Public Space Projects). The Executive Director of UN-Habitat indicates that there are currently a number of projects in the pipeline related to safe cities.

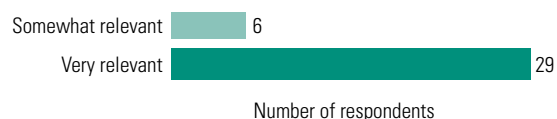
### To Beneficiaries

The processes for implementing almost all of the projects have involved engagement of beneficiaries, making it much more likely that the projects will be relevant to them. As indicated in Figure 2, most respondents to the survey felt very or somewhat involved in the process.

The survey of beneficiaries and partners indicates that all respondents found the projects to be very or somewhat relevant, with a vast majority indicating that the projects were very relevant (Figure 3).

**Figure 2: Beneficiaries' involvement in the process**



**Figure 3: Relevance of projects to beneficiaries**

## 5.4 Efficiency

### Sida/UN-Habitat Agreement Financial Picture

The information in Table 2 summarizes the actual amount received for each project and the amount spent. This is used to help determine efficiency of the projects. These figures are based on information provided by the financial department and are likely to change slightly once the system is fully migrated to Umoja, the new financial system.

### Outputs Achieved Compared to Cost

Efficiency is often measured by determining the cost of output produced and comparing it across projects. This is not a reasonable way to determine efficiency in this case because the outputs vary substantially in the effort required to produce each. Some require more extensive consultation than others. For this reason such a comparison will not be made.

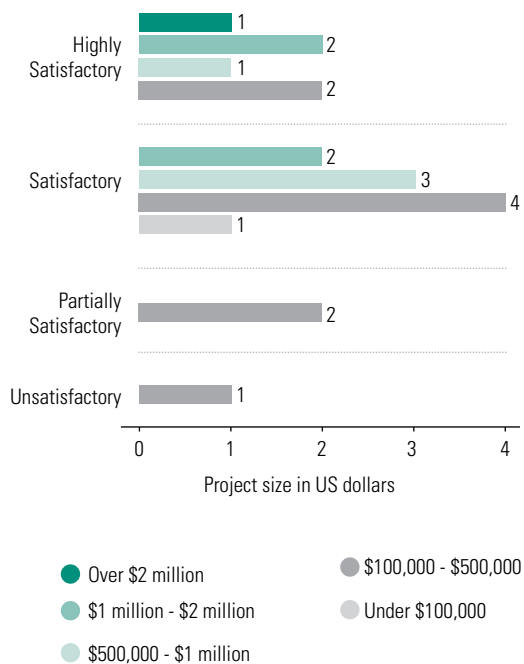
### Costs Compared to Benefits

Figure 4 shows the number of projects by rating and budget size. It seems that budget size does not appear to be a factor that contributes to the overall rating of a project. The vast majority of the projects were rated very satisfactory or satisfactory, indicating that they had achieved or were well on their way to achieving, their intended accomplishments. The one project that was deemed to be unsatisfactory ran into significant pro-

**Table 2: Distribution of Funding Across Projects**

Code	Project Name	Total (US\$)		Utilization Rate Per cent
		Received	Spent	
<b>Theme 1: Partnerships</b>				
J091	UN Advisory Committee of Local Authorities Project	876,123	846,976	96.67 per cent
T068	Open UN-Habitat Transparency Initiative	812,700	777,482	95.67 per cent
A130	Strengthening Partnerships for Habitat III: Focus on the Asia Pacific Region	598,937	584,142	97.53 per cent
H150	Strengthening Urban Education, Research and University	204,841	189,906	92.71 per cent
<b>Theme 2: Urban Planning and Design</b>				
J090	SUD-Net (Networking and Public Space Projects)	1,459,636	1,473,479	100.95 per cent
J100	Pursuing Sustainable Urban Development through National Urban Policies, Regional & Metropolitan Planning	340,772	341,405	100.19 per cent
J089	Urban Planning and Design for Sustainable Urban Development	1,572,268	1,660,349	105.60 per cent
<b>Theme 3: Urban Planning Legislation and Governance</b>				
G068	Global Land Tool Network Phase II (Sweden Contribution)	2,686,607	2,609,178	97.12 per cent
J092	Local Governance Catalytic Project	662,750	581,728	87.77 per cent
G070	Improving Urban Legal Frameworks for the extension and Densification of Cities	1,348,746	1,328,940	98.53 per cent
J093	Enhancing Global Action for Safer Cities Phase 3	662,750	550,894	83.12 per cent
T069	Mainstreaming and Strengthening Youth and Democracy at the Local level to create Safer Cities	102,034	99,606	97.62 per cent
<b>Theme 4: Housing and Slum Upgrading</b>				
G069	Housing and Slum Upgrading	1,319,171	1,340,314	101.60 per cent
<b>Theme 5: Operations</b>				
T071	Institutionalization of Results-Based Management in UN-Habitat	448,426	439,853	98.09 per cent
T072 & T080	Core Evaluation Activities for the 2014-2015 Workplan	438,535	485,182	110.64 per cent
T079	Implementation of Project Accrual and Accountability System (PAAS)	283,419	259,297	91.49 per cent
A125	Development of Knowledge Management Systems	61,562	61,860	100.48 per cent
A132	Legal Advice and Assistance on a Range of Issues Pertaining to the Activities of UN-Habitat and to Reduce Exposure of Risks, Legal Claims and Liabilities	113,496	88,071	77.60 per cent
A133	Addressing the Risk of Fraud and Corruption in UN-HABITAT Projects – Anti-corruption and Audit Initiative (October 2014)	170,245	128,705	75.60 per cent
<b>Total</b>		<b>14,163,018</b>	<b>13,847,367</b>	<b>97.77 per cent</b>

**Figure 4: Overall assessments of projects compared to budget size**



blems with the development of a portal early on and did not receive its full funding allocation. The funds were redistributed to other projects that showed more promising achievements.

Consideration of the funds leveraged through a project is another way of looking at costs compared to benefits. Staff from the following projects indicated that they were able to leverage additional funding in part because of the Sida money:

- Global Land Network Phase II - USD 2,609,178 leveraged approximately USD 30 million
- Promotion of Pro-Poor Land and Housing: Sustainable Housing, Slum Upgrading and Community Development - USD 1,340,314 leveraged USD 2,147,490
- Sustainable Urban Development through National Urban Policies, Regional and Metropolitan Planning - USD 341,405 leveraged USD 1,365,600
- Urban Planning and Design for Sustainable Urban Development - USD 1,660,350 leveraged USD 2,508,000

Staff from projects on Urban Planning and Design for Sustainable Urban Development and Enhancing

Global Actions for Safer Cities indicated that Sida funding supported leveraging additional funding from other sources, but they did not specify amounts.

The internal operations projects are all relatively small, ranging from USD 61,860 to a maximum of USD 485,182. All of these projects support the work of the rest of UN-Habitat. Because funding from other donors is almost always earmarked for specific projects, UN-Habitat is finding it increasingly challenging to maintain the infrastructure that is needed to support its normative and process work. Many funders resist funding core functions of administrative, monitoring and evaluation. Because Sida allows funding of these essential areas, it supports greater efficiency in the implementation of agreements with all donors.

### Contribution of UN-Habitat to Efficiency

During the period from 2012-2015, UN-Habitat has focused on improving its systems in order to support the rest of the organization. The intent was to ensure that the infra-structure supported efficient and effective delivery of programmes/projects.

As new systems are being developed and people are learning how to use them, staff frequently feel that efficiency suffers. There is no doubt that work does not flow as efficiently in times of transition. For example, UN-Habitat introduced the Project Accrual and Accountability System (PAAS), which was partially funded through Sida. It requires details of a project to be entered before funds can be released. If this is not done properly there can be delays in release of funding which in turn can cause delays in a project. Such delays should decrease as staff learn to use the system.

### Contribution of Sida to Efficiency

Funding that is 'softly' earmarked contributes substantially to the efficiency of programme delivery. UN-Habitat is able to readjust funding so that it can be easily directed to where it will be used. The timing of receipt of funding can interfere with efficiency if it is not available when a project needs it.

### Most Efficient Types of Projects

The most efficient projects are those with a clear goal and set of activities to achieve the goal. For example, the Global Land Tool Network has a clear goal of improving land governance and security of tenure in order to support broader development goals. The energy of staff is directed towards developing tools that can be used to improved land governance and tenure. With such a clear goal and path towards the goals, it is much easier to engage partners, many of which are also funders of



specific projects. Another example is the Urban Planning Lab, developed through Urban Planning and Design for Sustainable Urban Development, which has leveraged additional resources.

Similarly, the Sud-Net project initially focused its activities on developing networks specifically to move towards sustainable urbanization through improved capacity of Habitat Agenda Partners and networks for knowledge sharing and multi-sectoral collaboration. By 2020, the project is intended to contribute to a significant improvement in the lives of at least 100 million slum dwellers. The networking led to normative work which in turn led to projects to demonstrate implementation of the norms. Again, the activity path towards the goal is clear.

The least efficient projects appear to be those with a primary goal of partnering or knowledge development without a clear articulation of why such partnerships or knowledge development should occur. Such projects appear to spend time in defining their mandate and scope and hence are much slower to achieve the intended accomplishments. All projects are involved in partnership development and networking to some degree and all staff involved in projects noted that building partnerships takes time. They have also noted that such time is necessary in order to support the success and sustainability of projects. Hence, in order to build strong processes that have the buy-in of partners and beneficiaries, effectiveness rather than efficiency needs to be the focus.

## 5.5 Effectiveness

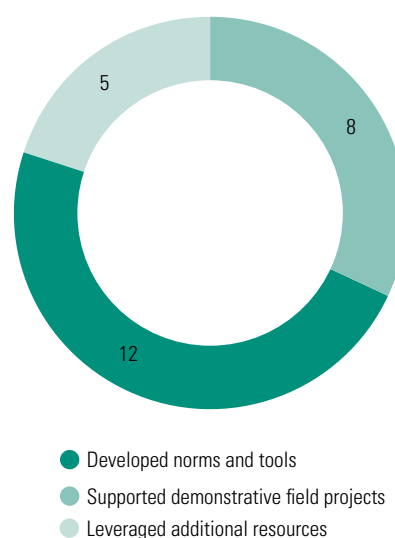
### Achievement of Objectives

Six of the projects were intended to increase UN-Habitat's capacity to support normative and demonstrative field projects. Some of the operational projects such as the one focused on anti-corruption also establish norms and tools which can be used by partners external to UN-Habitat. Figure 5 shows the number of projects that developed norms and tools, the number that supported field projects and the number that indicated where additional money was leveraged.

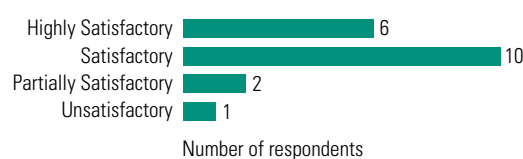
The total amount of funding leveraged is conservatively estimated to be approximately USD 34,513,090, over twice the amount provided by Sida. This only includes those projects that tracked the amount leveraged.

Figure 6 indicates the success rating across the 19 projects. More than 74 per cent of the project were highly satisfactory or satisfactory.

**Figure 5: Achievements of projects**



**Figure 6: Effectiveness of projects based on satisfactory achievement of intended accomplishments**



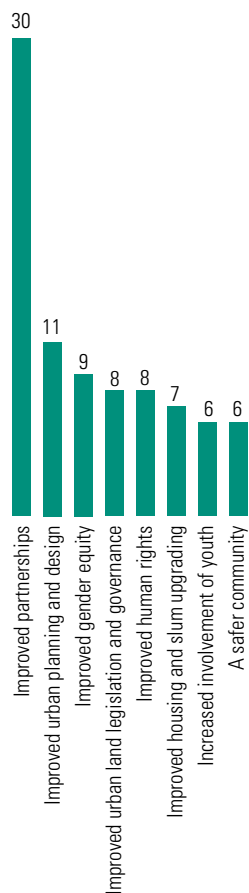
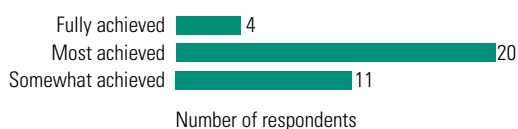
Survey respondents were asked what types of results they hoped would be achieved. Figure 7 provides the most frequent desired results.

It is interesting to note that improved partnerships was important almost for all of the respondents. The more substantive results are spread relatively evenly across respondents.

All survey respondents also indicated that the results they desired were achieved to some degree, as indicated in Figure 8.

### Examples of Success

These examples show how different tools/approaches can be used to engage a community. UN-Habitat makes a practice of starting with what the communities define as their needs, builds on existing initiatives and brings in tools that are appropriate for the particular situation. In both instances, UN-Habitat contributed

**Figure 7: Beneficiaries' desired results****Figure 8: Extent to which beneficiaries felt desired results were achieved**

to the success of the projects by working with partners and leveraging additional resources.

### **Contribution of Sida to Effectiveness**

All focal points for projects indicated that the accomplishments could not have occurred without Sida funding. They indicated that the Sida funding helped to establish the foundational work of the projects. The funding also put UN-Habitat in a better position to leverage additional funding, which allowed for larger projects than could have been achieved with Sida funding alone. Funding from Sida contributed substantially to the effectiveness of the projects.

Regional offices indicated that, while much of their work is funded through other donors, the normative

work carried out at headquarters through Sida funding is essential for the effectiveness of the projects implemented in the regions.

### **Effectiveness of UN-Habitat Systems in Measuring Results**

Sida funding has contributed to the development of a Results Based Management (RBM) system. A Results Framework of the UN-Habitat Strategic Plan (2014-2019) has been developed, placing UN-Habitat in a better position to monitor progress on this plan than on the Medium-Term Strategic and Institutional Plan 2008-2013. The indicators are predominately a measure of outputs but do include some outcome indicators. Project focal points are expected to report annually on achievement of the indicators. This is a paper-based system that must be manually analyzed and synthesized. Information regarding the status of implementation of programme work can be monitored through the Project Accrual and Accountability System (PAAS). Financial status of projects can be monitored through Umoja. The reports from focal points and information from PAAS are then incorporated into an annual report. The report is primarily narrative and does not present comparative information that could be used to determine progress towards goals.

Although UN-Habitat is compliant with the United Nations RBM requirements, its use of paper-based RBM system is not efficient. It increases the time required to analyze the data and is more subject to error. The Project Accrual and Accountability System has the capacity to track programme/project results, but it is not used by most projects. Some staff have reported that the system is not user-friendly. In fact, based on the observations of the evaluator, it is a fairly intuitive system that allows for input of both qualitative and quantitative data. Consistent use of the Project Accrual and Accountability System (PAAS) would create efficiencies and improve the effectiveness of RBM as a monitoring tool. There needs to be stronger links between RBM and PAAS.

For the most part, UN-Habitat staff does not have a good understanding about outcome monitoring. Most focus on outputs and if they do think about monitoring outcomes or impacts, they see it as something that they will do in the future. There is a lack of understanding regarding the importance of baseline data which needs to be captured prior to or at the very beginning of a project/programme in order to determine if the desired changes are occurring.

There are a few exceptions. The Global Land Tool Network (GLTN) has developed a conceptual framework



for the development of global land indicators and developed indicators. The GLTN see monitoring of indicators as integral to the work that they do.

Examples of indicators that address impact are:

- Percentage of men, women, communities and business with recognized evidence of tenure
- Percentage of men, women and businesses that perceive their land rights are recognized and protected
- Level to which women and men have equal rights to own, inherit and bequeath land resource

Monitoring these indicators can help to determine whether the GLTN is having the desired impact on land tenure security and if it can also contribute to planning future work.

Urban Planning and Design for Sustainable Urban Development also monitors the development of plans and designs.

### Effectiveness of UN-Habitat Systems in Evaluating Projects

The Evaluation Unit has developed UN-Habitat Evaluation Policy (2013) and biennial evaluation plans are updated on annual basis. for this work and established a schedule. Evaluation recommendations are tracked using on-line recommendation database integrated with the Project Accrual and Accountability System to determine the status of the recommendations implemented. A peer review conducted through UNEG and evaluation of UN-Habitat by OIOS spoke of the high quality of evaluation reports. The unit provides training and support in carrying out all evaluations. It intends to develop a training manual which links evaluation to the Results Based Management system.

The Executive Director has announced that all programmes with a value of over USD 300,000 must be evaluated. A key challenge is getting sufficient funding to conduct the evaluations. The unit itself is not sufficiently resourced. It is proposed that a cost recovery approach be used, whereby programmes will need to pay for the evaluation costs out of their budgets. While in theory this makes sense, many funders, although they want evaluation, are not willing to allow earmarked programme/project funding to be used for such a purpose. Currently, only Sida's contribution of earmarked funding for evaluation is what makes the evaluation work possible.

### Box 1: Dandora – The second largest slum in Nairobi is transformed by youth

Today, it is difficult to take a picture of Dandora that truly looks like a slum. A collaborative project, that began with the previous round of Sida funding and continued with this round through the SUD-Net project, has created safe public spaces and improved housing for people in Dandora. All this was accomplished through the mobilization of the youth. And the project is not yet complete.

Phase 3: Just getting started. Although the housing has not yet been improved, the streets are clean and free of garbage. As residents see the potential, they are motivated to improve their streets even without additional funding. It does give an idea of what Dandora was like prior to the transformation project.

Once the transformation is complete each of the courts which make up the community become places to live, work, go to school, sleep and play in safety. The street becomes a vibrant market that attracts people. Courts compete to be well-maintained and attractive. The design of the gates was supported by UN-Habitat using MineCraft. See Part II, project J090.

People participate and take pride in the community. The youth are proud of their accomplishments. The youth proudly claim a crime rate has decreased by 70 per cent since the project began. The number of violent deaths has decreased. Youth can find work within the community and are in a better position to work outside the community. Dandora is now on a trajectory towards becoming a safe healthy community. Residents are determined to continue the process.



Dandora – The second largest slum in Nairobi is transformed by youth © Martha McGuire

## Box 2: Mashimoni in Nairobi Kenya– securing land tenure

The people sitting around the table in Mashimoni, a settlement in Nairobi, are worried about staying in their homes. Using GLTN's Social Tenure Domain Model, UN-Habitat has helped people in this community define what residency is and helped them to keep their homes secure from land-grabbers.

But it is not only about land security, it is about improving the neighbourhood so it is better for everyone. It is about having streets that are clean and safe. Having a place where artists can carry out their work and sell their wares. Having a place where children can go to school. Without security of tenure, it is difficult to plan improvements in the community. Mashimoni residents has made plans for improving their community. UN-Habitat and the county of Nairobi will continue working with them towards their goal. The residents feel that they would not have been taken seriously by the municipal government without UN-Habitat's support. Although it has been a long and difficult journey, the residents of Mashimoni now have hope that they can feel secure in their homes and begin serious improvements in the neighbourhood. See Part II, project G068.



Mathare Mashimoni Project main water network



Discussions on improving neighbourhoods in Mashimoni, Nairobi Kenya © Martha McGuire



### Box 3: Land readjustment in Medellin, Colombia

*Land readjustment is a tool that can support sustainable urban development by allowing for planned and managed urban extension and densification. This technique brings a group of landowners in a partnership for voluntary land contribution or sharing, joint planning and the servicing of their adjoining plots.*

UN-Habitat provided a small amount of seed funding that was multiplied by four through the involvement of the Regional Office for Latin America and the Caribbean. It resulted in a local project in Medellin, Colombia, that is recognized globally using the Participatory and Inclusive Land Readjustment tool (PILaR). It is an example of how sustainable urban development can be achieved at scale, through improved planning with an emphasis on pro-poor. See Part II, project G070.



A view of an improved slum in Medellin, Colombia © Julius Mwelu-UN-HABITAT

## 5.6 Sustainability

### The Value of Normative Work

Much of the work completed through the Sida/UN-Habitat agreement is normative, establishing and demonstrating best practices in urban planning and development. The norms, standards and tools that are developed are available for countries and municipalities to access. These would be sustained even if further funding were not available. However, it is unlikely that the norms, standards and tools will be used to the fullest extent possible without the support from UN-Habitat.

The expertise within UN-Habitat can assist countries and municipalities in adapting the norms and standards to their own particular situation. The partnerships that have been developed are sustainable and contribute to the over sustainability of the projects.

### Engagement of Beneficiaries

As indicated previously, most beneficiaries responding to the survey indicated that they were 'very' or 'somewhat' involved in the planning and implementation of projects. In addition, as shown in Figure 9, most respondents believe that it is 'very likely' or 'somewhat likely' that the results of the projects will be sustained.

### Replication and Scaling Up

Seven of the 19 projects funded under the Sida/UN-Habitat involved replication of demonstration pilots in a number of countries. The ability to scale up efforts is

dependent on the availability of resources. At least five projects are currently receiving funding from sources other than Sida, which allows the project to be implemented on a larger scale.

## 5.7 Impact Outlook

Impact is not measured at any systematic way in 16 of the 19 projects. While evidence of impact is available through anecdotes, the extent of the impact cannot be generalized from these stories. Overall there is limited understanding about what impact is – really making a difference for countries, municipalities and the people in them. The evaluation unit measures the impact of their work through tracking the implementation of recommendations emerging from evaluation reports.

The GLTN has developed a comprehensive set of indicators with an implementation framework. Once this has been implemented, it will be possible to determine the impact of their work on land tenure security as well as gender. The work of this unit can serve as an example to others.

**Figure 9: Beneficiaries' perceptions of sustainability of projects**



The work of UN-Habitat, including that funded through the Sida/UN-Habitat agreement has tremendous potential for impact. More effort is needed to measure it in a systematic way through the Results Based Management framework and linked to PAAS. The development of programme theory with a clear results chain would assist in measuring impact.

## 6. Evaluative Conclusions

### 6.1 Achievement of results

Overall, the evaluation finds that agreement recorded 'good' performance with respect to project/programme designs, implementation processes and achievement of results. About 74% of the 19 Sida funded projects were rated with satisfactory or highly satisfactory performance. Out of the USD 14,163,018 received, USD 13,847,367 was the actual amount spent as of December 2015, with a utilization rate of 97.7 per cent. One of the highlights of 2015 was the adoption of the 2030 Sustainable Development Goals and Goal 11.

Rating: Satisfactory (4) ★★★★★

#### ***Institutional arrangements***

Institutional arrangement for implementation of the agreement were already in place to a great extent. The annual donor consultation meetings that discussed progress and actions plans to address pending issues enabled the delivery of the projects and programmes.

Rating: Satisfactory (4) ★★★★★

#### ***Relevance***

All projects were relevant to the key focus areas in the Sida-UN-Habitat original and amended agreements. Beneficiaries also found the work of UN-Habitat to be relevant. This was supported by a high level of involvement of beneficiaries in the design and implementation of the work.

Rating: Highly satisfactory (5) ★★★★★

#### ***Efficiency***

While it is difficult to determine the level of efficiency of projects, it is evident that the partnerships and leveraged funding supports a broader reach. Sida funding

also contributed to operational improvements such as the Project Accrual and Accountability System, Results Based Management, anti-corruption, legal support and evaluation which are intended to support both efficiency and effectiveness of programmes. UN-Habitat is still transitioning into using some of these systems so the potential efficiencies have not yet been gained; the potential for greater efficiency is likely to be realized once staff become more familiar with the systems.

Rating: Satisfactory (4) ★★★★★

#### ***Effectiveness***

All projects were effective to some degree. Most were satisfactory or highly satisfactory in the achievement of intended accomplishments. Anecdotes and products provide examples of the effectiveness of the various projects. As noted, systematic measurement of effectiveness is still in its early stages but, with the introduction of RBM and regular evaluations, the ability to measure effectiveness should be improved in the next Sida/UN-Habitat agreement.

Rating: Satisfactory (4) ★★★★★

#### ***Sustainability***

The normative work arising from the Sida/UN-Habitat agreement is highly sustainable in that it lays the foundation for other work to occur at a country or municipal level. Many of the projects have taken on a life of their own through funding from other sources. However, the Sida funding continues to be important to the sustainability of many of the projects because it supports much needed core staffing.

Rating: Satisfactory (4) ★★★★★

#### ***Impact Outlook***

In general, UN-Habitat does not address impact. Impact evaluations require resources beyond the capacity of the evaluation unit. However, if the Results Based Management (RBM) system and the Project Accrual and Accountability System focused more on impact, such evaluations would be possible. The Global Land Tool Network provides a good example of the potential of RBM, with the development of the monitoring framework and impact indicators.

Rating: Partially satisfactory (3) ★★★★★

### ***Cross-cutting issues of gender, human rights, climate change and youth***

Cross-cutting issues were addressed in two ways: through developing policy papers and by integrating issues in work across UN-Habitat. Everyone interviewed acknowledged the importance of these issues and provided examples of how they were being addressed in the specific projects.

Rating: Highly satisfactory (5) ★★★★★

## **7. Lessons Learned**

Some of the lessons learned through implementation of the projects funded through the Sida/UN-Habitat agreement are:

- Engagement of beneficiaries and partners is essential to the sustainability and long-term impact of the projects. However, such engagement takes time and resources. This needs to be taken into account when planning and funding projects.
- Much of the work of UN-Habitat is not likely to show immediate results. First the normative work needs to be done, then demonstration of the effectiveness of the norms can be achieved through pilot projects. This is likely to take four to five years.
- Impact of the work of UN-Habitat may not be evident for ten–15 years. However, it is important to monitor impact from the beginning of a project/programme so that impact can be demonstrated when it actually occurs.
- Projects that include internal collaboration and pay attention to monitoring effectiveness are generally more successful than those that do not

### **7.1 Recommendations**

1. The work that is being carried out through the Sida/UN-Habitat agreement is well grounded in the UN-Habitat strategic plan and is also consistent with Sida's priorities. The work needs to continue.
  2. Sida should continue to provide soft ear-mark funds. In order for UN-Habitat to do its work it needs core funding for administrative/organizational functions. Sida is one of the few donors that permits this.
  3. In order to improve its core funding, UN-Habitat should make every effort to negotiate a higher percentage for administrative costs from other donors so that it can better support projects.
  4. A model for achieving effective results is evident in the projects that were rated as 'satisfactory' or 'highly satisfactory':
    - Clear measurable goals with a well-defined path of activities to achieve the goal, demonstrated through a theory of change or logic model
    - Normative work is carried out at headquarters in consultation with regional offices
    - Collaboration among branches, headquarters and other partners
    - Regional offices are primarily responsible for developing projects that are based on the normative work and seeking technical expertise from staff at headquarters
    - Funding is leveraged through the normative work for projects at a regional or country level
- This appears to be a formula for success that should continue to be used. Where it is used it appears to increase the potential for the sustainability of a project.
5. Normative work should continue at all levels including global, regional, national and local and should aim to provide policy guidance to governments and their partners. In conjunction with Habitat III and with the implementation of the new urban agenda, UN-Habitat should consider devoting more efforts to the global and regional levels, by promoting more energetically sustainable urban and housing policies which are central to its mandate. Sida may support this effort, both financially and politically, as part of the new cooperation agreement.
  6. The approach of inclusion, in a way that is gender sensitive and participatory, appears to contribute to the success of projects and should be continued.
  7. In order to support transparency, collaboration and monitoring of the work of UN-Habitat incentives are needed to encourage project managers to upload and share information and data on their projects on a regular basis.

8. There is a need for improved monitoring systems that focus on outcomes and impact. It is essential that Results Based Management systems move from a paper-based approach to an electronic system that provides hard numbers that allow for improved analysis of benefits and create the possibility of cost-benefit analysis. This could be accomplished through the Project Accrual and Accountability System. Specifically, the performance monitoring system should include:

- Development of measurable indicators, using a template such as the following:

<b>Name of Indicator</b>	<b>A descriptive title</b>
Description	Details of what is to be measure, with definitions of any terms that might not be clear
Numerator	The amount intended to be achieved
Denominator	The potential population/amount
Disaggregations	Such as gender, age, location, sub-programmes
Method of measurement	The tool that will be used to measured, preferably one that has already been validated
Rationale	The reason the indicator was selected
Data source	Where the data will come from
Reference (s)	There are tools available to measure almost anything – these should be referenced

- A performance monitoring framework that includes:
  - ➔ Specific goals/objectives
  - ➔ Indicators for each of the goals/objectives
  - ➔ Baseline information
  - ➔ Target for each indicator with timeline for achieving
  - ➔ Source of information
  - ➔ Data collection method
  - ➔ Frequency of reporting
- Collection of baseline data as early in the project as possible
- Clear targets for each of the indicators
- Data and stored electronically, using a system that can easily generate reports
- Regular reporting of progress to senior management, providing evidence of the extent to which projects have met their targets, keeping in mind that targets need to go beyond the products produced or services provided and measure the difference those products and services are making.

## PART II

# Individual Project Performance Reports

## A125: Development of Knowledge Management Systems

### Relevance

#### To UN-Habitat

- Promotion of participatory urban planning, management and governance
- Partnerships
- Excellence in management

#### To Sida

- Promotion of participatory urban planning, management and governance

#### To beneficiaries

- No contact with beneficiaries

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	-	61,562	-	-	61,562
Spent	-	61,860	-	-	61,860

Utilization rate: 100.48 per cent

#### Contributing factors

- Availability of in-house expertise

#### Detracting factors

- Limited funding
- Upgrading the platform for the documents

### Effectiveness

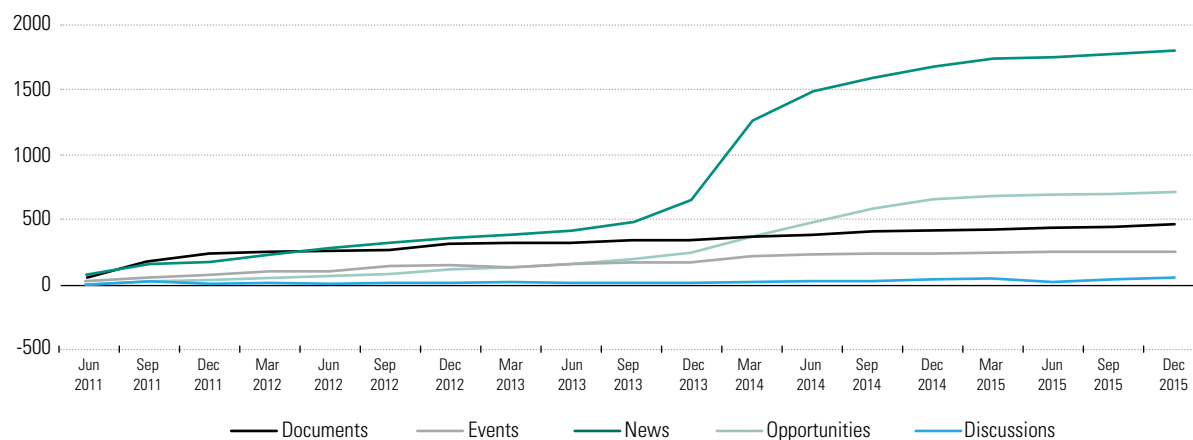
#### Extent of achieving objectives

Expected accomplishments	Extent expected accomplishments achieved
To create the Urban Gateway website	The website was created

#### Cost compared to the benefit of achieving those objectives

- The cost has been minimal. The Urban Gateway was created using internal expertise.
- Enhancement of the Committee of Permanent Representatives (CPR) Extranet was carried out using in-house expertise

## Visits to Urban Gateway Pages



### Contributions of Sida to achieving the objectives

- Funding

### Contributions of UN-Habitat to achieving the objectives

- In-house expertise
- Organizational structure

### Effectiveness of UN-Habitat's systems to measure achievement of objectives

- Uses google analytics to track usage of Urban Gateway

### Sustainability

- It is being sustained through UN-Habitat expertise

### Impact Outlook

#### Intended

- 7380 individual members
- 575 organizational members

While this measures usage, it is difficult to know the impact the site has on users. It might be useful to include a survey for returning visitors to complete.

### Overall Rating of Performance

The project had positive factors with minor defaults or weaknesses in the project design, requiring a change in the platform for hosting documents.

Rating: Satisfactory (4) ★★★★★



## A130: Strengthening Partnerships for Habitat III: Focus on the Asia Pacific

### Relevance

#### To UN-Habitat

- Creating a 'pro-poor' network
- Will support Asia-Pacific area in actively participating in Habitat III
- Support UN-Habitat's mainstreaming focus on human rights, youth and women while enhancing engagement of people in vulnerable situations specifically the urban poor
- Enhance participation of all stakeholders at regional and global platforms and their engagement with governments at national, regional and UN-led processes (Habitat III, SDGs, World Urban Forum and so on)
- Improve the implementation of the UN-Habitat 2014-2019 Strategic Plan through effective partnerships coordination
- Establishment of an online Habitat Universities Network
- Support to UN-Habitat branches and offices including the Capacity Development Unit, the Public Space Secretariat and Regional Office of Asia Pacific in establishing Habitat universities network, identifying three partners to collaborate in launching public space projects and coordination UN-Habitat engagement in the region respectively.

#### To Sida

- Creating a 'pro-poor' network
- Streamline Partnerships Coordination to augment inclusive approach in all programmes including Sida funded projects
- Enhance participation of all stakeholders in the planning, implementation and monitoring of the New Urban Agenda, and 2030 Agenda for Sustainable Urban Development

#### To beneficiaries

- Empower and build capacity of Habitat Agenda partners for effective and recognized participation at global processes aimed at sustainable urban development
- Encourage local and national governments to adopt inclusive approach in planning and implementation of policies and programmes for sustainability

- Establish platform for people in vulnerable situations to voice their contributions on issues affecting them
- Improve relationships between UN-Habitat and all stakeholders through in house coordination and streamlined engagement with Habitat Agenda Partners for enhanced success of UN-led processes
- Strengthened partnerships between state and non-state actors in developing and managing policies and programmes on sustainable urban development

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	-	-	333,740	265,197	598,937
Spent	-	-	219,285	364,858	584,142

Utilization rate: 97.53%

### Effectiveness

#### Extent of achieving objectives

Goal: Enhanced engagement of all Habitat Agenda Partners (HAP) (including pro-poor organizations) in sustainable urban development

Intended accomplishment	Status
Governments identify and engage with HAPs in policy meetings, workshops and debates completed	<ul style="list-style-type: none"> <li>• Governments have identified members of the committee</li> <li>• Facilitated and offered technical and financial support to six events in Asia Pacific including (i) Partners Workshop in Bangkok, (ii) APUF-6 EGM in Bangkok, (iii) Two sessions at APUF-6 in Jakarta, (iv) the youth forum APUF-Y in Jakarta, and (v) urban lectures during APUF-6 forum.</li> <li>• Governments and Habitat Agenda partners including pro-poor and academia, engaged in discussions, debates, and networking opportunities at these platforms</li> <li>• Memorandum of understanding with UNESCO, UNDP, UNWomen, UNFPA, UNEP, UNHCR, FAO and UNICEF regarding contributions to promote sustainable development</li> <li>• Supported 45 participants: 34 Habitat Agenda partners, and 11 government representatives.</li> <li>• Working with regional institutions such as United Cities and Local Governments-ASPAC, Asia Commission for Housing Rights, UNESCAP and APUF and ABD to engage their networks</li> </ul>
Pro-poor organizations empowered	<ul style="list-style-type: none"> <li>• Technical and financial support for participation of 16 pro-poor organizations at the partners' capacity building workshop in Bangkok</li> </ul>

Intended accomplishment	Status
HAPs structured into thematic networks	<ul style="list-style-type: none"> <li>The first phase of the project (inception phase) categorized all partners from the region into seven main groups and themes: development partners, UN agencies, pro-poor organizations, human rights, gender and youth, academia, and governmental institutions. The second phase of the project (given the success of the first phase) will advance the above structures into specific thematic areas and include a wider regional scope to include other regions.</li> </ul>
HAPs are accredited	<ul style="list-style-type: none"> <li>Through the project support (financial and technical -as proposed in the project document) the Partners and interagency branch in collaboration with the Governing Council secretariat managed the accreditation of 149 organizations. The team has also contributed to the accreditation Habitat Agenda partners to ECOSOC through raising awareness.</li> </ul>

#### **Cost compared to the benefit of achieving those objectives**

- Staff indicate that the project mandate is large compared to the funding provided

#### **Contributions of Sida to achieving the objectives**

- Soft ear-marked funding

#### **Contributions of UN-Habitat to achieving the objectives**

- Organizational infra-structure
- Expertise

#### **Effectiveness of UN-Habitat's systems to measure achievement of objectives**

No monitoring reports were made available for this evaluation. Staff indicate that the in-house project assessment groups (committee) measures achievement of the set outputs prior to approval of the project extension. Since outputs are aligned to the agency's 2014-2015 biennium work plan, progress is easily monitored through research conducted by the programmes division. However, this is not a monitoring system.

## Sustainability

Staff indicate that the project has established long term working relations with key partners: UCLG-ASPAC, Asian Coalition for Housing Rights, Kemitraan Habitat, Public Space Secretariat, APUF-6 Secretariat, and UNESCAP. These partners will work with UN-Habitat in planning and implementing the capacity building of Habitat Agenda partners; the establishment of the pro poor network; launching the public space project and the inclusion of youth in Minecraft projects; the management of the Habitat universities network and the support to state and non-state partnerships.

## Impact Outlook

Staff indicate that as of December 2015 the project had had the following impact:

- Inclusion of the voice of Habitat Agenda partners (especially the urban poor, youth and women) to the outcome of the Asia Pacific Urban Forum
- Establishment of the online platform of Habitat Universities (note: this is an output not an impact)
- Contribution to working relationships between state and non-state actors through organizing multi-sectoral meetings aimed at capacity building, networking opportunities and debates/discussions on sustainable urban development

## Overall Rating of Performance

The project's objectives are extremely broad with no mechanism for measuring whether those objectives are achieved. The anecdotal evidence indicates the project looks positive but it is difficult to get a good understanding of what difference it is actually making. However, the accrediting of 149 HAPs is a substantial achievement.

Rating: Satisfactory (4) ★★★★★

## A132: Legal Advice on Range of Issues

### Relevance

#### To UN-Habitat

- Supports all other functions including regional offices by providing legal advice, guidance and training on a wide range of legal issues; and representation of UN-Habitat before the United Nations Dispute Tribunal (UNDT) and other dispute settlement bodies.

#### To Sida

- Contributes to excellence in management ensuring compliance with regulations, rules and ethical standards, which are priorities of Sida.

#### To beneficiaries

- Beneficiaries are all departments and staff in UN-Habitat, governing bodies and partners – services are directed by beneficiaries

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	-	-	62,814	50,682	113,496
Spent	-	-	32,329	55,742	88,071

Utilization rate: 77.60 per cent

It is difficult to determine efficiency when service is client driven. It could be determined by the length of time to begin service or the turn-around time for review of contracts. The length of any engagement would depend on the complexity. However, the project has successfully given advice to various departments that has resulted in reduction of risks and liabilities. Staff indicate that the services have led to a significant reduction in risk and liabilities and that all claims have been successfully defended with no loss to the organization.

### Effectiveness

#### Extent of achieving objectives

Intended accomplishment	Status
Ensures compliance with the rules of the organization and UN ethical standards and processes	<ul style="list-style-type: none"> <li>• In-house legal counsel</li> <li>• Reviews all contracts and agreements</li> <li>• Work to avoid risks</li> <li>• Addresses situations when they arise, including field visits for legal assessments</li> <li>• Do training and dialogue on ethics</li> <li>• Defends UN-Habitat before the UNDT and other dispute settlement bodies.</li> </ul>
Educates staff regarding the rules of the organization and UN ethical standards and processes	<ul style="list-style-type: none"> <li>• Conducts ethics dialogues and legal training to keep staff abreast with developments affecting the organization and their work.</li> <li>• Conducts field visits to projects to carry out legal evaluation of projects and other activities</li> </ul>
Represents the organization in disputes	<ul style="list-style-type: none"> <li>• Successfully represented the organization</li> </ul>

#### Cost compared to the benefit of achieving those objectives

As one person interviewed stated, “without legal we could not carry out our business”. It helps to avoid unnecessary risks and expenditures. During the period of 2012-2015, the Legal Office has defended cases with no cost implications. Compliance with UN rules and regulations is evident, especially in project approvals and implementation.

#### Contributions of Sida to achieving the objectives

Sida money helps the legal services to hire consultants to review its systems, case laws of the Tribunal, assist with tracking rules, bulletins and other directives.

#### Contributions of UN-Habitat to achieving the objectives.

Organizational infrastructures

#### Effectiveness of UN-Habitat's systems to measure achievement of objectives

No effort to measure. However, UN-Habitat has systems to ensure compliance with UN rules, including accountability framework, financial rules and ethical standards. Period reports of cases are sent to the UN Controller's Office in New York and feedback received through UNON is acted upon by UN-Habitat.

### Sustainability

It is dependent on Sida funds and would need to charge back to projects without Sida funding.

## Impact Outlook

This was not measured. Staff report that risks and liabilities have been significantly reduced. Cases have also been successfully defended with no resultant financial or reputational loss to the organization.

## Overall assessment

Because this is a responsive service it is difficult to determine whether it has met expectations. Those who referred to legal services appeared to be satisfied. It performs a much needed service. A satisfaction and utilization survey would help determine whether changes are needed.

Rating: Satisfactory (4) ★★★★★

## A133: Anti-corruption and Audit Initiative

### Relevance

#### To UN-Habitat

- Excellence in management
- Supports the work of other projects

#### To Sida

- Excellence in management
- Supports the work of other projects

#### To beneficiaries

- N/A

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	-	-	94,222	76,023	170,245
Spent	-	-	59,412	69,293	128,705

Utilization rate: 75.60 per cent

### Effectiveness

#### Extent of achieving objectives

Intended accomplishment	Status
<b>Anti-Fraud Anti-Corruption</b>	
UN-Habitat anti-fraud anti-corruption benchmarking	<ul style="list-style-type: none"> <li>• Consultant finalized work in November 2015</li> <li>• Responses to recommendations to be discussed with Risk Committee on 17 February 2016</li> </ul>
UN-Habitat anti-fraud policy	<ul style="list-style-type: none"> <li>• Draft to be discussed by Risk Committee on 17 February 2016</li> </ul>
Anti-fraud training	<ul style="list-style-type: none"> <li>• Developed and scheduled for 3 March 2016</li> </ul>
<b>Risk management</b>	
Enterprise Risk Management Framework	<ul style="list-style-type: none"> <li>• Risk Policy approved by Senior management and ED</li> <li>• Risk Oversight Committee chaired by ED put in place</li> <li>• Top Corporate risks identified</li> </ul>
Project risk register and Mini Guide	<ul style="list-style-type: none"> <li>• Draft being reviewed for finalization</li> </ul>
Risk Management presentation to Senior Management by an international risk expert	<ul style="list-style-type: none"> <li>• Presentation delivered during the SM retreat – Nov 2015.</li> </ul>

Intended accomplishment	Status
<b>Accountability</b>	
UN-Habitat Accountability Framework	• Approved by Senior Management and ED
Implementation action plan of the Accountability Framework	• Under discussion
<b>Implementing partners (IP)</b>	
IP risk management policy	• Draft to be discussed by Risk Committee on 17 February 2016
IP selection committee	• Draft to be discussed by Risk Committee on 17 February 2016
IP standard operating procedures	• Draft to be finalized
Capture of ALL agreements with IP in the Project Accrual and Accountability System (PAAS)	• Completed
<b>Automation of business processes</b>	
Automation of a portal and PAAS to automate all reports and monitoring of IP activities	• Work underway
Automation of income agreements and agreements with implementing partners	• Work underway
<b>Internal Audit</b>	
Internal audit coverage of ALL four regional offices	• Completed Internal audit coverage of ALL four regional offices
<b>Implementation of International Public Sector accounting Standards (IPSAS)</b>	
Data cleaning in preparation for the implementation of IPSAS	<ul style="list-style-type: none"> <li>• Completed</li> <li>• 2014 was first year of implementation of IPSAS</li> <li>• Clean audit opinion achieved</li> </ul>

#### **Cost compared to the benefit of achieving those objectives**

- No information on benefit. The benefit has to be assumed

#### **Contributions of Sida to achieving the objectives**

- Softly earmarked funding

#### **Contributions of UN-Habitat to achieving the objectives**

- Organizational infrastructure
- Expertise

#### **Effectiveness of UN-Habitat's systems to measure achievement of objectives**

- Tracks accomplishments against intended outcomes

## **Sustainability**

- Systems have been put in place that do seem able to be sustained. There has been consideration to extending them to countries and municipalities but this can only occur with additional funding.

## **Impact Outlook**

- There is no monitoring data to address the critical question of whether corruption and fraud decreased as a result of this project.

## **Overall Rating of Performance**

The project has had several significant positive factors with no defaults or weaknesses in terms of relevance/appropriateness of project design, efficiency, effectiveness or sustainability. The impact has not been measured.

Rating: Highly satisfactory (5) ★★★★★

## G068: Global Land Tool Network Phase II

The Global Land Tool Network (GLTN) is an alliance of global, regional and national partners contributing to poverty alleviation through land reform, improved land management and security of tenure particularly through the development and dissemination of pro-poor and gender-sensitive land tools. It is a partnership of international civil society organizations, international research and institutions, development partners and professional bodies.

### Relevance

#### To UN-Habitat

- Creation of partnerships
- Pro-poor
- Gender sensitivity
- Securing land tenure
- Includes finance, legislation and planning

#### To Sida

- Creation of partnerships
- Pro-poor
- Gender sensitivity

#### To beneficiaries

- Securing land tenure. The participatory process used ensures that it is relevant to the beneficiaries

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	879,234	678,571	656,752	472,050	2,686,607
Spent	92,204	1,597,237	263,976	655,760	2,609,178

Utilization rate 97.12 per cent

This initiative is one of the best financed and has also been one of the most productive.

#### Contributing factors

- Soft ear-marked funding from Sida
- Partnerships

### Effectiveness

#### Extent of achieving objectives

Goal: Promoting secure land and property rights for all in order to contribute to the wider sustainability development goals.

Expected accomplishments	Status
Partnerships	<ul style="list-style-type: none"> <li>• Seven bilateral organization</li> <li>• 11 professional bodies</li> <li>• Four multi-lateral organizations</li> <li>• 24 training/research institutions</li> <li>• 13 civil society organizations</li> </ul>
Tool/policy development/briefs	<ul style="list-style-type: none"> <li>• Examples</li> <li>• Designing and evaluating land tools with a Gender Perspective</li> <li>• The Continuum of Land Rights</li> <li>• Land Use Planning for Tenure Security</li> <li>• Global Land Indicators Initiative</li> <li>• Land Based Financing</li> <li>• Customary Tenure Security</li> <li>• Gender Evaluation Criteria</li> <li>• Valuation of Unregistered Lands</li> <li>• How to Establish a Land Sector Non-State Actors Mechanism</li> <li>• Youth and Land Responsiveness Criteria</li> <li>• Participatory and Inclusive Land Readjustment</li> </ul>
	<ul style="list-style-type: none"> <li>• Costing and Financing of Land Administration Services</li> <li>• Capacity Assessment for Land Policy Implementation</li> <li>• Social Tenure Domain Model</li> <li>• What Land Means to Youth</li> <li>• Fit-For-Purpose Land Administration</li> </ul>
Implementation projects using Social Tenure Domain Model (STDM)	<ul style="list-style-type: none"> <li>• Uganda – 83 settlements mapped across 19 cities (10,255 households)</li> <li>• Kenya – Mashimoni settlement in Nairobi (1,600 households), Mombasa County (840 households)</li> <li>• Democratic Republic of Congo – Luhonga (600 households)</li> <li>• Colombia – Ciudadela Sucre (Bogota)</li> <li>• Namibia (100,000 families)</li> <li>• Zambia – country level plan</li> <li>• St. Lucia</li> <li>• St. Vincent</li> </ul>
Create indicators for global monitoring with framework for operationalizing	<ul style="list-style-type: none"> <li>• Have developed a total of 15 indicators in four focus areas: 1) land tenure security 2) land disputes 3) land administration and 4) land use</li> <li>• Have developed a comprehensive framework for operationalizing the monitoring indicators</li> <li>• Two indicators will most likely to be adopted as part of the Sustainable Development Goals (SDGs)</li> </ul>

#### Cost compared to the benefit of achieving those objectives

- USD 2.6 million from Sida leveraged approximately USD 30 million from the Netherlands, IFAD, UNECA, Cities Alliance, Norway and UN Women.

#### Contributions of Sida to achieving the objectives

- Soft ear-marked funds
- Partnership
- Strategic guidance in the inception phase and development of the GLTN concept and programme



### **Contributions of UN-Habitat to achieving the objectives**

- Organizational infrastructure
- Expertise
- Vehicle for other donors to contribute
- Three key regular budget posts

### **Effectiveness of UN-Habitat's systems to measure achievement of objectives**

This project has established performance indicators and tracks its work in improving the capacity of partners to implement projects and initiatives. Looking at the number of households that have gained land tenure security would be the ultimate objective at impact level. Once the performance monitoring framework is implemented, it will be possible to do a cost benefit analysis of this project.

### **Sustainability**

The process engages partners at all levels and obtains their commitment to the process.

This a well-established process which has been replicated in a number of locations. It can be scaled up depending on government involvement and financial resources. This could be strengthened through increased participation of national governments.

### **Impact Outlook**

This project has achieved its intended global impact of increasing security of land tenure for people living in poverty. The network involves academics, experts, professionals, NGOs and CSOs. Project staff report on the following impacts on national land policy processes:

- In Eastern Caribbean, the Members States have:
  - ➔ Enhanced appreciation of cross-cutting issues – especially gender – applicable in pro-poor land policy development in the Caribbean as a result of GLTN support
  - ➔ Developed country issues papers highlighting land challenges at country level and how they can be addressed
  - ➔ Development of national land policies in St Lucia and St Vincent
  - ➔ Generic Land Policy Guidelines have been developed for Organization of Eastern Caribbean States (OECS) to ensure the smooth

development of the land policies

- In Iraq, joint efforts led to the approval by the Office of the Prime Minister of a road map for the National Land Policy and Land Management project in July 2015
- In the Democratic Republic of Congo, the Ministry of Land Affairs has completed a land reform review process. The Minister is also undertaking a land sector review as part of the Land Policy development process – working closely with UN-Habitat/GLTN and using them for financial and technical support.
- In Uganda and Namibia, governments are using and integrating GLTN tools to implement the national policies

### **Unintended**

The tools used can be applied in post-conflict situations so that people returning to their communities are able to reclaim their land and so that overall improved land governance addresses root causes of conflict.

### **Overall Assessment**

The project has demonstrated a significant impact on land security in several countries, particularly for people living in poverty. It has a pro-poor, gender-equity and youth focus. It is relevant with appropriate project design, appears to be efficient in that it has accomplished what it intended, and has been effective in securing land rights and leveraging funds.

However, GLTN has faced the difficulty of establishing priorities due its broad membership and limited funding. Some tools are more important for some members than for others; an example of this being rural land tenure, which is not part of UN-Habitat mandate but it is addressed by GLTN. Some very important issues at the core of national urban policies such as land information systems, residential land markets, land-based financing, did not receive much attention until recently. In its new phase and, in relation to Habitat III, it is expected that the UN-Habitat component of GLTN will move a bit more towards influencing national and municipal public policies without abandoning its pro-poor and gender focus.

Rating: Highly satisfactory (5) ★★★★★

## G069: Promotion of Pro-Poor Land and Housing: Sustainable Housing, Slum Upgrading and Community Development

### Relevance

#### To UN-Habitat

- Housing and slum upgrading
- Housing rights

#### To Sida

- Housing and human rights.

#### To beneficiaries

- It is primarily doing policy work at country level so governments of least developed countries (LDCs) are considered to be the main beneficiaries.

### Efficiency

#### Efficiency of project

The actual amounts received and expenditures are both difficult to determine because in 2014 G069 is split into three different reporting lines. It then returns to a single line in 2015. The following show the totals of the three lines:

	2012	2013	2014	2015	Total
Received	239,791	384,762	436,493	258,125	1,319,171
Spent	187,568	437,027	408,306	307,413	1,340,314

Utilization rate – 101.60%

### Effectiveness

#### Extent of achieving objectives

Expected accomplishments	Status
Enhance governments' commitment and responses towards improving access to adequate housing for all.	<ul style="list-style-type: none"> <li>• Elaborated Housing Profiles created with comprehensive assessments of constraints and priority areas for action in housing sector development, including access to sanitation facilities and water, access to land, tenant/owner ratios, institutional/legislative reforms, efforts to improve the supply of adequate housing, new and more inclusive housing finance institutions and products plus climate change and sustainable development strategies in 15 countries</li> </ul>

Expected accomplishments	Status
	<ul style="list-style-type: none"> <li>• Respondent partners from 66 countries registered to the GHS in 2014 against the target of 60</li> <li>• National Housing Policy review and Implementation Strategy guidelines developed and progress towards implementing the GHS at country level – piloting in 7 countries</li> <li>• Global Housing Strategy framework documented elaborated and Global Housing Strategy Resolution HSP/GC/24/9 approved in the 24th session of the Governing Council of UN-Habitat</li> <li>• GHS Implementation further endorsed by Resolution HSP/GC/25/L.6 approved in the 25th Session of the Governing Council of UN-Habitat</li> <li>• Eight publications finalized in addition to the Housing Profiles</li> <li>• Additional funds of USD 2,147,490 leveraged from partners and countries to advance GHS activities</li> <li>• Advisory services provided to 39 countries</li> </ul>
Provide advisory services, produce tools/normative work/ training related to human rights and forced evictions	<ul style="list-style-type: none"> <li>• Researched rights of cities vs. human rights moving towards Habitat III</li> <li>• Concept paper and strategy: human rights in human settlements – 174 advisory services</li> <li>• Provided advice through a help desk</li> <li>• 14 briefings/training for 144 colleagues delivered</li> <li>• Three presentations to external stakeholders delivered</li> <li>• Nine online training modules delivered</li> <li>• 12 human rights briefing notes finalised</li> <li>• Seven brown bag sessions delivered</li> <li>• 60 advisory services at country level delivered</li> <li>• Seven publications finalized</li> <li>• Programmatic guidance note for UN-Habitat staff on the promotion and protection of human rights</li> <li>• The right to adequate housing for persons with disabilities living in cities</li> <li>• Women and housing: towards inclusive cities</li> </ul>
	<ul style="list-style-type: none"> <li>• Right to adequate housing fact sheet</li> <li>• Accessibility of housing</li> <li>• Handbook for assessing impact of evictions</li> <li>• Forced evictions fact sheet</li> <li>• Four additional publications in progress</li> </ul>
The development of a Global Housing Strategy	<ul style="list-style-type: none"> <li>• Global norms and guidelines are being prepared to support policy-makers and build collective understanding on housing policies but have not yet been developed</li> <li>• The Global Housing Strategy is seen by the Executive Director as the entry point for housing in the New Urban Agenda.</li> </ul>

#### Cost compared to the benefit of achieving those objectives

For approximately USD1 million, they have completed national housing profiles of eight countries, and produced or started additional 15 publications, provided advisory services for more than 60 countries and leveraged funds of USD 2,147,490. In addition, the component on human rights has produced very useful outcomes, including for UN-Habitat staff.



**Contributions of Sida to achieving the objectives**

- Soft ear marked funds
- Explicit support of pro-poor work

**Contributions of UN-Habitat to achieving the objectives**

- Organizational infrastructure
- Internal expertise

**Effectiveness of UN-Habitat's systems to measure achievement of objectives**

- The UN-Habitat Global Housing Strategy's Housing Profile evaluation looks at the effect the work has had on policies and understanding of housing need in ten different countries.

**Sustainability**

It is not clear that it can be sustained without Sida funding. The normative products remain a priority of UN-Habitat, particularly in conjunction with Habitat III. However, without measuring impact, it will be difficult to show that the project could be sustained. Further, the development of the Global Housing Strategy is essential to the sustainability of the initiative. Global norms remain to be elaborated to support policy-makers and build collective understanding on housing policies.

**Impact Outlook**

Impact on country policy and understanding of housing issues has been evaluated.

**Overall assessment**

The project has focused primarily on normative work at country level without a global perspective. There are currently pilots in seven countries and work going on in more than 60 countries. UN-Habitat now intends "to re-establish the role of housing for the future of sustainable urbanization" and "to put housing at the centre of the New Urban Agenda" (October 2015). This could be seen as a major internal impact of the project. The project still needs to complete the Global Housing Strategy.

Rating: Satisfactory (4) ★★★★★

**G070: Urban Legal Frameworks for the Extension and Densification of Cities****Relevance****To UN-Habitat**

- Urban Land Legislation and Governance

**Efficiency****Efficiency of project**

	2012	2013	2014	2015	Total
Received		1,086,496		262,250	1,348,746
Expenditure		1,088,134		240,806	1,328,940

Utilization rate: 98.53 per cent

**Contributing factors**

- Worked in collaboration with the Achieving Sustainable Urban Development (ASUD) initiative as well as with the Urban Planning and Design Branch

**Effectiveness****Extent of achieving objectives**

Expected accomplishments	Status
Selected national and local governments have developed, adopted or implemented enabling legislation, including measures that improve urban extension, increased security of tenure and improved equitable access to land and housing in a gender and youth responsive manner	<ul style="list-style-type: none"> <li>• Egypt project</li> <li>• Rwandan government workshop</li> <li>• Phillipines</li> <li>• Medellin Colombia</li> </ul>
Selected Habitat Agenda Partners, national and local governments have increased supply of serviced land through an orderly and negotiated process of land readjustment	<ul style="list-style-type: none"> <li>• Partnerships established with universities and research institutions in five regions</li> <li>• Two urban law research centres established in China and United Kingdom</li> <li>• Attaining Sustainable Urban Development (ASUD) Projects</li> <li>• PILaR Medellin led to a formally adopted feasibility study created 5.5 hectares of serviced land and can be replicated across Medellin</li> </ul>
	<ul style="list-style-type: none"> <li>• In Egypt, the Banha project with an adopted and approved feasibility study for ten hectares is already being replicated in upper Egypt with a target of 400 hectares</li> </ul>

Expected accomplishments	Status
Selected Habitat Agenda Partners, national and local governments have increased capacity to design and implement urban legal reform and innovative and consensual land acquisition programs	<ul style="list-style-type: none"> <li>Formally adopted action in Egypt, Colombia and Rwanda</li> <li>City of Kigali would not have requested further UN-Habitat support for land readjustment pilots</li> <li>City of Medellin have adopted PILaR into its Rio Norte Macro Project.</li> </ul>
Improved capacity for UN-Habitat to develop practical and appropriate urban legislation tools to facilitate good urban development, particularly in the area of land readjustment	<ul style="list-style-type: none"> <li>UN-Habitat's legislation agenda defined and integrated with the wider work plan and budget</li> <li>Methods for legislative analysis and reform processes developed</li> <li>Land readjustment and PILaR completed to tool stage</li> <li>New platform for comparative urban law, UrbanLex, established</li> <li>Urban Legal Network established</li> <li>UN-Habitat has joined the Rule of Law Coordination and Resource Group</li> <li>The role of legislative and regulatory frameworks in the Habitat III agenda is recognized</li> </ul>
Increased availability of 'at scale' serviced land in pilot project cities.	<ul style="list-style-type: none"> <li>This is a longer-term goal that is beginning to occur in Egypt</li> </ul>

#### **Cost compared to the benefit of achieving those objectives**

- The project is laying the ground work for achieving the objectives and had some success with pilot projects.

#### **Contributions of Sida to achieving the objectives**

- Soft ear-marked funds

#### **Contributions of UN-Habitat to achieving the objectives**

- Organizational infra-structure
- Linkages with other initiatives such as Global Land Tool Network and Attaining Sustainable Urban Development
- Strategic direction that made land readjustment a priority

#### **Effectiveness of UN-Habitat's systems to measure achievement of objectives**

- This programme tracks activities and outputs rather than results.

## **Sustainability**

- This is heavily reliant on Sida funding.

## **Impact outlook**

Impact is not measured. In 2013 and 2014 the project put emphasis on information and awareness products. More recently it started the development of assessment tools which should allow to measure impact. It is not clear what impact the UrbanLex database will have in the future.

## **Overall assessment**

While the programme is laying the groundwork for achieving its objectives, there will be difficulties in knowing whether it has had an impact as there appears to be no baseline data, only descriptions of activities and outputs. While it may be many years before the impact is seen, it would be useful to know the number of countries/municipalities where enabling legislation has been passed and the availability of serviced land at the time of passage. In this way the project will be better able to monitor its progress. Project staff indicate they are beginning to reflect on progress in some case studies of land readjustment.

On the positive side, the Legislation Unit works with several other branches of UN-Habitat with the understanding that rules and regulations are only means to achieve broader objectives. It intends to develop a 'guide to essential planning law' (including tools and methodologies) which could be used by many countries undertaking institutional and policy reforms in the aftermath of Habitat III.

Rating: Satisfactory (4) ★★★★★

## H150: Habitat Partner University Initiative

### Relevance

#### To UN-Habitat

- Partnerships

#### To Sida

- Partnerships

#### To beneficiaries

- Learning opportunities

### Efficiency

#### Efficiency of project

	2012	2013*	2014	2015	Total
Received		204,840		-	204,840
Spent		189,906		-	189,906

\*Only year funding was received

Utilization Rate – 92.71 per cent

Staff indicate that the project was inefficient in that a new portal had to be developed when it was found that the first did not work. Funds came late, there was never a clear reporting system to know for sure how much was available and then funding was stopped.

#### Detracting factors

- Only received funding in 2013.
- Underestimated the amount of time required for engagement and coordination
- There was a large time gap between design and implementation

### Effectiveness

#### Extent of achieving objectives

Expected accomplishments	Status
Harness knowledge from universities	168 institutional partners 10,503 individual partners
Develop portal to manage partnerships and information	Ran into difficulties with initial portal Replaced it with a new portal
Create hubs of specific knowledge	Nine hubs created with universities agreeing to specific topics

According to project staff, this only achieved 60 – 70 per cent of what they set out to do. Expectations were built with universities and then the funding was no longer available.

#### Cost compared to the benefit of achieving those objectives

- In the beginning Sida funding helped to leverage funds from universities. The portal is still used for Global Urban Lectures. The challenges with the portal cost many of the partners. About 30 per cent have signed up for the new portal.

#### Contributions of Sida to achieving the objectives

- Soft earmarked funding

#### Effectiveness of UN-Habitat's systems to measure achievement of objectives

- It was very clear that, while partnerships were established, the goals of the project were not achieved.

### Sustainability

There is now an open portal for use by partner universities. This has resulted in ongoing communication and learning opportunities.

### Impact Outlook

#### Unintended

The loss of partner interest because of problems with the original portal.

### Overall Assessment

The project had major flaws in the implementation of the initial portal which was a key element. This resulted in the loss of partners and a very reduced project. On the other hand, it has continued with a smaller group and a portal that is functioning better than the initial one.

Rating: Unsatisfactory (2) ★★☆☆☆

## J089: Urban Planning and Design for Sustainable Urban Development

### Relevance

#### To UN-Habitat

- 2012–2013: Promotion of Participatory Planning, Management and Governance
- 2014-2015: Urban planning and design

#### To Sida

- 2012–2013: Promotion of Participatory Planning, Management and Governance
- 2014-2015: Urban planning and design

#### To Beneficiaries

- Nine beneficiaries/partners responded to the survey. Most were seeking improved partnerships and most indicated that goal was mostly or somewhat achieved.

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	505,688	415,543	349,302	301,735	1,572,268
Spent	463,797	426,928	358,200	411,424	1,660,349

Utilization rate: 105.60 per cent

#### Contributing factors

- Having soft earmarked money from Sida – it allowed trying different solutions and a different way of working
- Having the planning lab with of hub of experts within UN-Habitat enables rapid and flexible response to internal and external demand
- SIDA funding for urban planning project has been instrumental for the branch and strategically helped to improve the organizational capacities through the establishment of a Lab equipped with a group of technical experts. The Lab has also contributed to improving organizational infrastructure and played vital roles in enhancing internal and external collaboration with other units and branches and partner cities respectively.

### Effectiveness

#### Extent of achieving objectives

Expected accomplishments	Status
<ul style="list-style-type: none"> <li>• Improved policies and legislation</li> <li>• Frameworks of collaboration with various agencies supported and further developed to include the promotion of new urban planning principles</li> <li>• Urban planning frameworks in target countries are reformed through urban planning legislation and frameworks revision for sustainability</li> <li>• Governance arrangements to promote sustainable urban patterns, frameworks for urban planning and approaches to urban growth, local green economy, low carbon cities and cities in fragile ecosystems are documented and discussed</li> </ul>	<ul style="list-style-type: none"> <li>• Since 2012 Urban Planning has gained recognition in the international debate as tool to address sustainability of cities and communities. (Ref: SDG 11)</li> <li>• Planned City Extension and Infills created as a key strategy for addressing urban growth, especially for intermediate cities facing rapid population growth.</li> <li>• Urban Planning for City Leaders translated in more than seven languages and disseminated through partners and training</li> <li>• UN-Habitat Plan Assessment Tool has been used to assess Master Plans of Kigali (Rwanda), Lusaka (Zambia) and Lima (Peru), as well as of secondary cities in Myanmar and Saudi Arabia</li> <li>• Strategic partnerships were established in order to promote UN-Habitat principles and approaches with professional/private sector (Isocarp, Commonwealth Association of Planners, national planning associations), Knowledge centres/academia, (Intermediate Cities Network (UNESCO), JKUAT (Kenya), Centre for Livable Cities (Singapore)), Cities associations and departments of planning (including UCLG and CityNet). This resulted, among other things, in access to planning expertise for partner cities, the production of the Africa Planning Report, training for African Architects.</li> </ul>
<ul style="list-style-type: none"> <li>• Increased capacities of institutions and stakeholders</li> <li>• Good practices and lessons learned documented in all regions, and shared on various dimensions of urban planning, social equity and gender responsiveness, green economy and growth management.</li> <li>• Urban Planning Tool set (including Quick Guides) developed and training modules prepared and rolled out in selected target countries in collaboration with Planners Associations and other stakeholders</li> <li>• Knowledge hub and resource cities established in selected cities, with exchange programmes and regional trainings.</li> </ul>	<ul style="list-style-type: none"> <li>• UN-Habitat Plan Assessment Tool has been used to assess Master Plans of Kigali (Rwanda), Lusaka (Zambia) and Lima (Peru), as well as of secondary cities in Myanmar and Saudi Arabia. Historical examples planned city extension were also analysed and published.</li> <li>• Definition of an assessment framework operating at various levels and which includes human rights, gender, youth and climate change as cross cutting issues</li> <li>• Documentation of historic examples, principles and case studies</li> <li>• Strategic partnerships were established in order to promote UN-Habitat principles and approaches with professional/private sector (Isocarp, Commonwealth Association of Planners), Knowledge centres/academia, (Intermediate Cities Network (UNESCO))</li> <li>• Training and capacity development of planners and city leaders through training modules based on UN-Habitat's publication Urban Planning for City Leaders, aiming at bridging the gap between technical experts and decision makers. A total of about 450 planners and decision makers were trained.</li> </ul>

Expected accomplishments	Status
<ul style="list-style-type: none"> <li>• Cities implement new urban planning and design initiatives</li> <li>• Urban planning and design approaches for growth management and equity adopted by cities</li> <li>• Inputs provided to ongoing partners' (and UN-Habitat's) activities on urban planning at city and national level, including on urban patterns for the green economy and social equity.</li> </ul>	<ul style="list-style-type: none"> <li>• A total of 15 city level plans were adopted</li> </ul>

Most significant change: Demand from inside UN-Habitat and external requests for the projects planning knowledge have shown that planning is relevant.

#### **Cost compared to the benefit of achieving those objectives**

No formal cost benefit is available. Sida funding help to leverage funding from other sources such as Norway as well as contributions from cities such as Johannesburg (2014) and Kisumu (2015), NGOs (Creative Industries Holland in 2015) and others (Centro CEMEX, Mexico)

#### **Contributions of Sida to achieving the objectives**

- Funding

#### **Contributions of UN-Habitat to achieving the objectives**

- Organizational infrastructure
- Internal expertise
- A network of partners and projects in the field which have facilitated reaching target cities

#### **Effectiveness of UN-Habitat's systems to measure achievement of objectives**

For the most part, the project is systematic in measuring the achievement of objectives and has established indicators with targets and track against those targets. An important follow-up would be for UN-Habitat to monitor the implementation of the plans which were elaborated and adopted with its assistance.

### **Sustainability**

The programme is trying to have transformative projects that are sustainable through elements such as legal frameworks and statutory plans. The intent is to

change the rules of the game by improving local planning systems. The project staff work with colleagues from legal and finance branches and linking with the National Urban Planning project is important with the adoption of the International Guidelines on Urban and Territorial Planning (approved by United Nations member states in 2015).

To ensure sustainability, the project intends to focus more on the institutional dimensions of urban planning in the future and on consolidating a Global Network of (municipal) Planning Departments. This will be done in collaboration with UN-Habitat regional offices with due respect for the cultural and political diversity of partner countries and cities. Capacity-building has started during the past two years but will be given more importance in the future.

### **Impact Outlook**

It is still early to measure impact and there is a need to be more systematic about gathering information about impact. Project staff have indicated they would consider putting a mechanism in to gather information in two to five years' time. However, putting in such a mechanism at the time that impact is likely to occur makes measuring very difficult because there will be no baseline data. Such mechanisms should be established at the start of a project. Monitoring the implementation of plans developed and adopted with assistance from this project would contribute to a better understanding of the project's impact.

### **Overall Assessment**

The project focuses on having global impact through its normative work and seeing it operationalized through working with partners. The project is relevant, has a design that is working, is achieving its intended accomplishments and effects can be sustained beyond the life of the project. It is important that the project remains demand-driven and does not promote ready-made solutions that could fit all urban contexts and traditions.

Rating: Highly satisfactory (5) ★★★★★

## J090: SUD-Net/Public Space

### Relevance

#### To UN-Habitat

- Focus Area 2: Urban Planning and Design
- Focus Area 5: Housing and Slum Upgrading
- Cross-cutting issues of youth, women and safety

#### To Sida

- Focus Area 2: Urban Planning and Design
- Focus Area 5: Housing and Slum Upgrading
- Cross-cutting issues of youth, women and safety

#### To beneficiaries

- Focus Area 2: Urban Planning and Design
- Focus Area 5: Housing and Slum Upgrading
- Cross-cutting issues of youth, women and safety

### Efficiency

#### Efficiency of project

- The following table outlines the funds received from Sida and the expenditures:

	2012	2013	2014	2015	Total
Received	277,630	415,543	464,728	301,735	1,459,636
Spent	221,221	458,264	488,918	305,076	1,473,479

100.95 per cent utilization rate

#### Contributing factors

1. Leveraging funding from a number of different sources, which include Mojang, Ax:son Johnson Foundation and local authorities
2. Building on existing initiatives such as the Participatory Slum Upgrading programme in Haiti and Nairobi, the Urban Mobility unit in Addis Abeba and Ruiru, the Water and Sanitation Branch in Nepal and the Safer Cities Programme in Nairobi. The Public Space programme also builds on local initiatives, such as the Dandora project in Nairobi which had already been developed by the Dandora Transformation League.

#### Detracting factors

- Late receipt of tranche
- Processes take time – need to sort out issues such as partners' contributions and ensuring the land is actually a public space
- Issues around ownership of land make residents reluctant to invest in public spaces

### Effectiveness

#### Extent of achieving objectives

- Overall objective: Sustainable urbanization through improved capacity of Habitat Agenda Partners and networks for knowledge sharing and multi-sectoral collaboration
- Relation to MDG: By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers

Expected accomplishments	Extent expected accomplishments achieved
UN-Habitat's capacity to organize and mobilize partners and networks around sustainable urban development issues and initiatives is strengthened.	<ul style="list-style-type: none"> <li>• Examples of external partners include:               <ul style="list-style-type: none"> <li>• Nairobi: Nairobi City Council, GoDown Arts Centre, Placemakers, Dandora Transformation League, KUWA, University of Nairobi and Technical University</li> <li>• Mumbai: Mumbai Environmental Social Network, Mumbai Metropolitan, Regional Development Authority</li> <li>• Kathmandu: Centre for Integrated Urban Development</li> <li>• New York: Project for Public Spaces</li> <li>• Stockholm: Axel and Margaret John Foundation for Public Benefit</li> <li>• Rome: National Planning Institute (INU)</li> <li>• Colombia, Mexico, Ecuador, Argentina: Regional office (ROLAC) Country Offices, Fundacion Avina (regional implementing partner)</li> <li>• Spain: United Cities and Local Government (UCLG)</li> <li>• Manila: League of Cities of the Philippines</li> <li>• Bangladesh: KuhlNa University and KuhlNa City Corporation</li> <li>• Honiara: Honiara City Council; Mogadishu: Mogadishu Planning Authority)</li> <li>• This project also involves a number of internal partners.</li> </ul> </li> </ul>
UN-Habitat is recognized and effectively services as a global hub for partners and networks which are strategically interacting, producing knowledge and collaborating on the issue of quality public space.	<ul style="list-style-type: none"> <li>• Some examples of knowledge management, advocacy and tools include:               <ul style="list-style-type: none"> <li>• Training workshops on 'Urban Planning for City Leaders' were delivered in Nigeria, Bangladesh, Vietnam, Indonesia, Somalia and Rwanda. The training covers the recommended steps to be followed in securing better public spaces in cities.</li> </ul> </li> </ul>



Expected accomplishments	Extent expected accomplishments achieved
	<ul style="list-style-type: none"> <li>• A Global Public Space Toolkit: From global principles to local policies and practices was published in May 2015 following an Expert Meeting in Rome in January 2014</li> <li>• Tools for citywide inventory and assessment of open public spaces and market places at city level have been developed and tested</li> <li>• Issue paper for Habitat III on Public Space widely acknowledged and setting scene for issue to be important in new urban Agenda including cross-cutting issues such as safety, women, children and people with disabilities</li> <li>• Developed methodology and guide on the use of Minecraft as a community participation tool for design of public spaces</li> </ul>
Modalities of operation	<ul style="list-style-type: none"> <li>• Operations achieved</li> </ul>
Pilot projects on public spaces	<ul style="list-style-type: none"> <li>• A total of 17 public spaces designed in 11 countries with a number of other project in preparation or in the pipeline</li> </ul>
Knowledge nodes on public spaces	<ul style="list-style-type: none"> <li>• Working with the UN-Habitat Urban Planning Lab</li> <li>• The 'Future of Places' is a multi-stakeholder initiative which was established by Ax:son Johnson Foundation, UN-Habitat and Project for Public Spaces (PPS) and in 2014 Buenos Aires and the Institut pour la Ville en Mouvement and Copenhagen and Jan Gehl Architects.</li> <li>• Italian National Planning Institute (INU) on public space tool</li> </ul>

The adoption of SDG 11.7 provides significant recognition of the importance of public space to sustainable development.

#### **Cost compared to the benefit of achieving those objectives**

No formal cost benefit analysis is possible as UN-Habitat has not kept data on costs of the project compared to the monetary benefits accrued but, with a conservative estimate, about 14,400 people have been reached by the six implemented public space projects<sup>2</sup>. To date the programme has mobilised about USD 2.5 million over three years from the Minecraft community for the implementation of participatory design.

Benefits of projects include:

- More cohesive communities
- Reduction in crime rates
- Increased safety within the communities (Dandora has reported a 70 per cent reduction in crime since

the pilot project began)

- Increased economic activity
- Increased awareness by communities, private sector and government on the importance of public spaces
- Better management and maintenance of public space

#### **Contributions of Sida to achieving the objectives**

- Softly earmarked funding that allowed for flexibility in implementation

#### **Contributions of UN-Habitat to achieving the objectives**

- Organizational infrastructure
- Connections to other programmes including safer cities, participatory slum upgrading, basic urban services, urban economy and urban design
- Ability to leverage other funding
- Entry point into municipalities

#### **Effectiveness of UN-Habitat's systems to measure achievement of objectives**

This is an area that needs improvement. Although there are regular annual reports that demonstrate substantial activity and outputs, there is not a good system for measuring what difference the programme makes for municipalities and their citizens. If impact is to be measured then such a system should be put in place as soon as possible. It may be too early to see the impacts on health, livelihoods, economic vitality, social cohesion, bio-diversity and environmental impact but without a baseline it will be difficult to know what improvements have occurred. However, the project has developed a public space inventory and assessment tool which, if used consistently, will contribute to a better understanding of the level of effectiveness.

## **Sustainability**

#### **Ownership by beneficiaries**

The partnership approach supports sustainability. Local governments as well as community members and NGOs involved in the pilot projects report the intention to continue the efforts and to seek other funding sources. Local governments work towards developing citywide public space strategies and ensuring that resources are allocated for the implementation of the strategy such as Nairobi, Kirtipur and Johannesburg.

#### **Replication, scaling up or institutionalized**

The process has been replicated through several pilot projects, with plans for additional scaling up in the next phase of project. The first volume on policies, principles and practice has been produced and will contribute to a public space toolkit. The second volume of the toolkit

1. The public space average area of influence is 400 metres, and with average densities of 150 inh/ha, each public space will have an impact on the access to open space and recreation for about 2,400 people. In developing countries over half of those would be youth and children and about 50 per cent women and girls.

will be produced this year and focus more on tools to support cities and local governments in (1) understanding the situation with public space - the quantity, quality, accessibility, and distribution, (2) identifying the gaps, developing the citywide public space strategy/policy and institutionalization, (3) implementation and (4) monitoring and evaluation.

The spaces that have been improved will remain once a project is completed and replication and scaling-up is linked with the local government developing a citywide strategy/action plan/policy on public space. In Nairobi, for example, the Governor has committed to upgrading 60 additional spaces in the city. The pilot projects are often the entry point to support municipal authorities, providing an example of the viability and then working towards a city-wide policy.

There is a platform of partners that has come together around public space. SUD-Net hopes to take this forward on the global level through a Global Centre on Public Space.

## Impact Outlook

### *Intended*

- Safer urban environments
- Involved citizens
- UN-Habitat being recognized as a global hub for partners and networks which are strategically interacting, producing knowledge and collaborating on the issue of quality public space
- UN-Habitat's capacity to organize and mobilize partners and networks around sustainable urban development issues and initiatives is strengthened
- Stronger relationships with other UN-Habitat programmes

Most significant change: the adoption by the UNGA of the SDG 11 and Target 7 – specifically on public space

### *Unintended*

- Momentum around the design, planning, management and governance of public space – the recognition of the linkages with other issues such as urban mobility, slum-upgrading, safety, risk reduction, urban legislation, urban economy
- The series of Future of Places Conferences has resulted in the discussions on the establishment of a Global Centre for Public Space

## Lessons Learned

Work on public spaces requires substantial time and works best when members of the community are engaged throughout the planning and development process

## Overall Rating of Performance

The programme had several significant positive factors with no defaults or weaknesses in term of relevance/appropriateness of project design/efficiency/effectiveness/sustainability/impact outlook. It is working at different levels within municipalities in order to ensure sustainability of the initial results.

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Rating: Highly satisfactory (5) ★★★★★

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## J091: UN Advisory Committee of Local Authorities Project

### Relevance

#### To UN-Habitat

- 2012–2013 - Promotion of Participatory Planning, Management and Governance
- 2014–2015 - Partnerships

#### To Sida

- 2012–2013 - Promotion of Participatory Planning, Management and Governance
- 2014–2015 - Partnerships

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	319,721	200,076	197,209	159,118	876,123
Spent	161,553	405,789	147,045	132,589	846,976

Utilization rate – 96.67 per cent

### Effectiveness

#### Extent of achieving objectives

Intended accomplishment	Status
Improved policies, legislations and strategies support inclusive UPMG	<ul style="list-style-type: none"> <li>• UNACLA has been reviewing its mandate and membership. It is not clear what has accomplished. The most recent minutes indicate agreement that having a forum for municipal voices is important and a vision for the future that will allow this group to play a strong advisory role to the Executive Director of UN-Habitat</li> <li>• Participatory work amongst members that led to definition, publication and dissemination of two thematic reports on Local productivity and job creation and Transport and Mobility.</li> </ul>
Improved awareness of sustainable urbanization issues at the national and global levels	

An enabling policy and institutional framework which promotes expanded access to environmentally-sound urban infrastructures and services

Improved partnerships and collaboration with local authorities and their association in the implementation of agreed programmes activities

Improved capacity for participatory, accountable, pro-poor, gender- and age-sensitive urban governance and planning

Enhanced regional, national and local capacity to implement human settlements policies, strategies and programmes with special focus on the reduction of urban poverty and the response to natural and man-made disasters

- UNACLA Evaluation that led to the restructuring of the Rules of Procedure on reporting and membership. The membership was made institutional to consist of United Cities and Local Government (UCLG) Regional Committees and members of Global Task Force and other Local Government Associations (LGA) who were active in the urban governance and planning
- Work has started in defining UNACLA's contribution to the Habitat III process.

#### Cost compared to the benefit of achieving those objectives

UNACLA has spent much time determining its membership and mandate. It has produced two thematic reports to date.

### Sustainability

#### Ownership by beneficiaries

The members of the Committee are active in defining the mandate and membership.

#### Impact Outlook

Has not measured impact and it does not appear yet to have had significant impact.

### Overall Rating

The project seems to be primarily focused on process – redefining the mandate and membership of UNACLA. While there appears to be some potential, there is not yet evidence of effectiveness or impact.

Rating: Partially satisfactory (3) ★★★★★

## J092: Local Governance Catalytic Project

### Relevance

#### To UN-Habitat

- The Local Governance Catalytic Projects supports local and central governments and other Habitat Agenda partners to strengthen local institutions and governance procedures and to promote urban governance and inclusive urban management.

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	127,889	312,575	64,936	157,350	662,750
Spent	69,412	240,505	175,973	95,838	581,728

Utilization rate: 87.77 per cent

#### Contributing Factor

Soft earmarked funds from Sida were employed to support the consolidation of the Legislation and Governance Unit, including the development of initial proposals that were not finally developed into fully-fledged projects.

#### Detracting factors

Money going to cost recovery.

### Effectiveness

#### Extent of achieving objectives

Expected accomplishments	Status
A conceptual framework for the analysis and strengthening metropolitan governance.	<ul style="list-style-type: none"> <li>• Unpacking Metropolitan Governance for Sustainable Development</li> <li>• Metropolis Initiative in Metropolitan Governance promoted and facilitated. Lead by the State Government of São Paulo, the initiative was launched in 2012 with a first meeting where more than 20 partners, representing metropolitan regions of Brazil and the world, presented the first data to perform a comparative research and technical works on Metropolitan governance systems and viable alternatives for metropolitan projects</li> </ul>
A validated conceptual framework on youth and information and communications technology- (ICT) enabled governance	<ul style="list-style-type: none"> <li>• ICT, Urban Governance and Youth</li> <li>• Enhanced local governance and urban management via smart technologies – The Uraia Platform, ongoing and fully funded by UNCDF for 2016.</li> <li>• Report E-Governance and urban policy design in developing countries published</li> </ul>

Expected accomplishments	Status
A multi-level governance financing assessment framework and methodology	<ul style="list-style-type: none"> <li>• Multi-level governance mechanisms analysed through the development of three in-depth case studies in order to engage further in advisory services and developing tools for improved coordination and peer-learning services, based on partnerships with Metropolis and FMDV (Global fund for city development). The three case studies are Bandung, Indonesia; Durban, South Africa and Guadalajara, Mexico; they will be made public in 2016.</li> </ul>
Capacities of local government associations reinforced and boosted	<ul style="list-style-type: none"> <li>• Strong alliances promoted and joint work-plan of activities implemented with Local Governments Associations and City Networks (UCLG, CLGF, Metropolis, CEMR, Forum for Cities in Transition and FMDV).</li> <li>• Technical assistance to the Commonwealth Local Government Forum (CLGF) in areas such as local economic development programming, multi-level governance strategies and decentralization,</li> </ul>
	<ul style="list-style-type: none"> <li>• Transparency and accountability in the provision of basic services. The technical assistance has also included the systematization of best practices on innovative municipal management in Western Africa. This was co-funded by SIDA and CLGF and is ongoing while further funding by partners is sought.</li> </ul>
Urban and decentralized governance mainstreamed in global processes	<ul style="list-style-type: none"> <li>• Strong presence of local governments and local governance issues during the process of elaboration of the SDGs, attributable to the Unit's contribution to the 'Localizing SDGs' successful consultation in collaboration with UNDP and the Global Task Force of local and regional governments during the whole of 2014 and its follow up on the elaboration of a Toolkit during 2015. Completed with success.</li> <li>• Paper on the role of governance in sustainable urban development and the role of local and regional government and other stakeholders in ensuring good governance. The paper included innovative practices, trends and challenges in the field of urban governance identified to inform and provide content and advise in the implementation process of the Post-2015 agenda and HABITAT III and was developed in close collaboration with the 'Decentralization and Local Self-Government Committee' (DAL Committee) from UCLG. It is ongoing.</li> </ul>

Expected accomplishments	Status
	<ul style="list-style-type: none"> <li>• Strategy to advocate for the role of local and regional governments in the Post-2015 Agenda and the financing of sustainable urban development through the support of a Mayors' delegation in the 3rd Conference on Financing for Development in Addis Ababa (Ethiopia) facilitated in close coordination with the Global Taskforce. Increased visibility of the issues related to local financing, which is critical to make the new global agenda work at local level, was broadly ensured and the decentralized governance approach was widely promoted. Completed.</li> </ul>
Understanding of decentralized governance improved through Urban Governance mapping	<ul style="list-style-type: none"> <li>• Urban Governance Survey - a global database on current models of urban governance for public dissemination, comparative policy and research analysis developed and launched in collaboration with LSE Cities and the UCLG Committee on Decentralization and Local Governance (<a href="https://urbangovernance.net">https://urbangovernance.net</a>). Decentralized governance is in this case illustrated through user-friendly website highlighting local governments' challenges in terms of jurisdiction, political representation and government structure; financial resources, assets and fiscal power; multi-level governance and decision-making processes; strategic planning instruments and, finally, urban Governance Challenges. A total of 78 cities responded and are taking part into the 'How cities are Governed' initiative that explores new and innovative ways of communicating and mapping decentralized governance. This is ongoing and is co-funded by LSE Cities and MacArthur Foundation.</li> </ul>

The focal point indicated that a number of projects were initiated but not completed. As with the political work that is done, it is difficult to show results.

The most significant change has been shown in the work of mainstreaming decentralized governance in global processes through the International Guidelines on Decentralization.

#### **Cost compared to the benefit of achieving those objectives**

This project has developed strategic alliances with municipalities and with local government associations and has produced a series of documents as well as platforms for knowledge and best practice sharing in the topics related to urban governance and inclusive urban management.

#### **Contributions of Sida to achieving the objectives**

Soft earmarked funds

#### **Contributions of UN-Habitat to achieving the objectives**

- Organizational infra-structure
- The focal point indicated that funding for this project has also contributed substantially to UN-Habitat.

#### **Effectiveness of UN-Habitat's systems to measure achievement of objectives**

This project measures the number of strategies developed by partners, the number of partners using the new tools and the number of partners in targeted countries with strategies and plans that articulate multi-level governance.

#### **Sustainability**

Most of the outputs and activities developed with Sida funds are part of the ongoing work of the the unit. While the work developed the Uraia Platform, which will be funded by UNCDF for 2016, several project proposals are being developed by the unit in order to give continuity to the work on transparency, localization of SDGs and urban governance mapping, among other issues.

#### **Impact Outlook**

- There is no indication of impact.

#### **Overall Assessment**

The project has completed its intended achievements.

Rating: Satisfactory (4) ★★★★★

## J093: Enhancing Global Actions for Safer Cities

### Relevance

#### To UN-Habitat

- Sustainable urban development
- Urban governance
- Housing and public spaces

#### To Sida

- Safer cities is an area of particular relevance to Sida. Concern was expressed that less attention was being given to this area by UN-Habitat.

#### To beneficiaries

The field visit to Dandora indicated that the youth are very interested in participating in projects that will improve the appearance of their communities, make spaces safer and provide improved livelihoods for them.

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	127,889	184,686	192,825	157,350	662,750
Spent	91,701	221,180	132,848	105,165	550,894

Utilization rate: 83.12 per cent

#### Contributing factors

- Working with other UN-Habitat initiatives including SUD-Net and the Partner University Initiative
- Working with more than 121 partners globally
- Formed Global Network on Safer Cities (GNSC)
- Provided supports to initiatives led by partners
- Focus on the youth with emphasis on sports and recreation rather than police relations
- Focus on street upgrading rather than housing
- Moved away from criminalizing people who are living in poverty

#### Detracting factors

- Relatively small amount of funding
- Cost recovery funds taken by management decrease the amount that can go to normative work and pilots
- Sometimes the priorities/focus of partners are different from those of UN-Habitat. For example UNWomen focuses primarily on sexual violence, while UN-Habitat looks at urban safety in broader terms.

### Effectiveness

#### Extent of achieving objectives

Expected accomplishments	Status
Demonstrate successful interventions which have improved safety at the local level and improve the livelihoods of youth and the governance relationship between local authorities and the youth-engaged project.	<ul style="list-style-type: none"> <li>• Global partnerships are in place through the Global Network on Safer Cities (GNSC), with global UN partners (UNODC, UN-Women, UNICEF, UNICRI, UNODA, UNDESA, UNOG, UNU and the World Bank) and other international organisations.</li> <li>• 'Safety' adopted as a central feature of SDG Urban Goal 11 and the GNSC programme is developing new UN Guidelines on Safer Cities.</li> <li>• Awareness raising on issues affecting youth through normative and operational work. In 2014, the UN-Habitat Safer Cities Programme (SCP) and the Youth Unit piloted safety applications with two NGOs – the Harassmap in Cairo and the Spatial Collective in Nairobi, two youth-led initiatives.</li> <li>• GNSC partners increased to 121 in 2015 up from 47 at the end of 2012, supporting its work at global, regional and country levels.</li> <li>• Working with established Partner-led Technical Working Groups on Safety and Peacebuilding led by the Geneva Peacebuilding Platform; on Safety and Smart Cities led by SAP Germany and on Gender and Safety led by Women In Cities International.</li> <li>• One hundred promising practices on safer cities have demonstrated the role of local authorities in improving safety and security for all.</li> <li>• A feasibility report has been developed to support local government access to funding options to generate additional non-traditional sources of funding for the implementation of city crime prevention and urban safety strategies.</li> <li>• Collaborated with Universities Initiative to enhance research and training based on Safer Cities 2.0 framework. More than 25 new institutions of higher learning are using the safer cities normative papers and reports in their curricula and in the development of Master Programmes</li> <li>• Provided quality technical assistance throughout the reporting period for implementation and monitoring of practical measures to crime and violence. The final report of the Burkina Faso/Ouagadougou Safer Cities Initiative was produced.</li> <li>• Jointly conducted safety audits with local authorities and other stakeholders in 3 cities (Nairobi, Delhi and Bogota), including security officials, women, young people and children, to identify the factors that create risk and insecurity.</li> <li>• Inclusion of safety in the Charter of the Africa Ministerial Conference on Housing and Urban Development (AMCHUD) in 2014.</li> <li>• Strengthened collaboration at the local level by involving women, youth and children in decision-making processes on policies and budgets that determine available infrastructure and services in their neighbourhoods. The "Because I am a Girl Programme" with Plan Canada</li> </ul>



Expected accomplishments	Status
	<ul style="list-style-type: none"> <li>Hanoi, Kampala and Lima has led to over 74 community meetings and 24 street plays involving 1400 adolescent girls and over 6800 government stakeholders, community members and adolescent boys</li> <li>Developed common indicators to be tracked across programme including violence and crime (disaggregated by gender and age), public perception of insecurity, the prevalence of violence and conflict, etc. and to be piloted in Mexico.</li> </ul>
Consolidate handbook on strengthening good urban governance, safety and democracy through youth focused mapping initiatives as an early warning system to urban violence	<ul style="list-style-type: none"> <li>Safer City Guidelines now applied across all UN agencies</li> <li>Mainstreaming opportunities for urban safety issues: UN-Habitat has established understanding, tools and partnerships for the scaling up of its contribution to urban safety with a continued core focus on the urban poor and social exclusion</li> <li>UN-Habitat Governing Council passed Resolution 24/7 requesting for the development of UN system-wide Guidelines on Safer Cities which resulted in an Inter-agency Framework on Safer Cities that has produced a first draft of the UN system wide Guidelines</li> </ul>
A policy brief to be fed into the Devolution and Urban Working Groups that detail the steps of the project and its challenges and successes so as to illustrate the for new local governance processes and policy that include youth and the can feed into the ongoing devolution debates.	<ul style="list-style-type: none"> <li>Increased coordination and dissemination of learning and knowledge on safer cities for all - Following UN-Habitat Governing Council Resolution 24/7 on Safer Cities, GNSC was the vehicle for development and implementation of the UN Guidelines on Safer Cities</li> <li>Moving towards a recognition that municipalities need to be integrated with national governments and policies</li> </ul>

The most significant change has been the placement of youth within the structure of municipal government, there are now one-stop youth centres and institutionalization of youth as key actors at the municipal level.

At the global level the project has leveraged new partners such as UNICEF, Planning International and Microsoft.

**Cost compared to the benefit of achieving those objectives**

This has probably been one of the most cost-effective projects because of the partnering with others and the opportunity to leverage resources through those partnerships.

**Contributions of Sida to achieving the objectives**  
Funding and seeing safer cities as a priority.

**Contributions of UN-Habitat to achieving the objectives**

UN-Habitat is supported by the projects rather than the other way around.

**Effectiveness of UN-Habitat’s systems to measure achievement of objectives**

This project has established outcome indicators. It needs to integrate those indicators into PAAS and ensure that the data is entered regularly and kept up to date.

**Sustainability**

**Ownership by beneficiaries**

The example of Dandora indicates that the beneficiaries own the project. While UN-Habitat’s contribution is greatly appreciated, the project would carry on regardless because the beneficiaries have been involved from the start and see what they have gained - a 70 per cent reduction in crime rates, a formal agreement with police around law enforcement and fewer violent deaths in the community.

**Replication, scaling up or institutionalized**

These projects have been replicated, scaled up and institutionalized. The relationships with partners supports the continuance of the initiative.

**Impact Outlook**

The potential impact of this project can be seen in the dramatic improvements in slums where pilots are occurring, the inclusion of youth in the urban agenda and the inclusion of safer cities as part of SDG 11. The actual impact is not being measured.

**Overall Assessment**

This project has completed normative work and worked with partners on projects globally. The design of the project has helped to leverage resources, both within UN-Habitat and externally. Despite its very limited human resources and its unclear institutional placement in UN-Habitat structure, the project provides an excellent example of how collaboration across branches can enhance the work of any initiative. Crime prevention has become an international concern and this is partly due to the Safer Cities networking approach.

Rating: Highly satisfactory (5) ★★★★★

## J100: Sustainable Urban Development through National Urban Policies, Regional and Metropolitan Planning

### Relevance

#### To UN-Habitat

Urban Planning and Design - improved national urban policies and spatial frameworks for compact, integrated and connected cities adopted by partner metropolitan, regional and national authorities.

- Linked to target 11a of SDG 11

Linked to the three-pronged approach: finance, legislation and planning

- Linked to Habitat III; evidenced by the policy unit three (3) on National Urban Policy (more info here: <https://www.habitat3.org/the-new-urban-agenda/policy>)

#### To Sida

- Urban Planning and Design - Improved national urban policies and spatial frameworks for compact, integrated and connected cities adopted by partner metropolitan, regional and national authorities
- Sida acts as a partner, not just a funder

#### To beneficiaries

Responding to growing recognition that the achievement of productive, sustainable and equitable urbanization requires increasing attention from national governments, evidenced with many countries developing national policies/frameworks to manage urbanization

The design of any project starts with knowledge gained through consultation so that it is relevant to the beneficiaries.

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	-	-	189,904	192,481	340,772
Spent	-	-	138,287	203,118	341,405

Utilization rate: 100.19 per cent

Appears to have connected with a number of partners, with a relative small budget.

#### Contributing factors

- Soft ear-marked funding from Sida.

#### Detracting factors

- The cost of outputs varies because of language and availability of technical expertise.

### Effectiveness

#### Extent of achieving objectives

Expected accomplishments	Status
Improved national urban policies or spatial frameworks for compact, integrated and connected, socially-inclusive cities adopted by targeted partner metropolitan, regional and national authorities:	<ul style="list-style-type: none"> <li>• Working in 22 different countries</li> <li>• Used by 30 local and national authorities</li> <li>• Technical and advisory services given to countries engaged in NUP including Rwanda, Zambia, Angola, Cameroon, Egypt, Madagascar, Kenya, Uganda, South Sudan and so on. More than a dozen countries are at different stages of the NUP process.</li> <li>• Technical and advisory services given to countries engaged in regional/and metropolitan planning including Rwanda, Saudi Arabia, Egypt, Brazil Iraq, Madagascar and Mozambique</li> </ul>
• Number of partner metropolitans that have adopted national urban policies (12)	• Have developed a process that is context specific focusing on urban legislation, economy and planning and design
• Number of regional partners that have adopted national urban policies (12)	• Developed International Guidelines on Urban and Territorial Planning
• Number of national authorities that have adopted national urban policies (12)	• Have defined national urban policies as the unifying element that helps to coordinate the different sectors and levels of government
	• Compendium of Inspiring Practices to illustrate the conditions and benefits of the IG-UTP developed
	• First Expert Group Meeting (EGM) on NUP held in Madrid, Spain on 17-18 March 2014
	• Discussion Paper on Urban-Rural Linkages to support the dialogue during the upcoming GC25
	• EGM on the 'The Role of Intermediate Cities in Strengthening Urban-Rural Linkages Towards the New Urban Agenda' in Colombia on 27-29 October 2015
	• The Evolution of National Urban Policies: A Global Overview published with Cities Alliance in December 2014 and translated into Spanish and French
	• Diagnostic and assessment tools developed and piloted: Framework for a rapid diagnostic and Assessment framework on NUP
	• Global Exchange Platform on National Urban Policies launched in April 2015
	• First International Conference on National Urban Policy in Incheon, South Korea in December 2015
	• Pilot testing of National Urban Policy Capacity Development and Learning event in December 2015

**Cost compared to the benefit of achieving those objectives**

The program indicates that it has been able to leverage approximately USD 4 for every USD 1 that comes from Sida. Many of the countries are engaged in separate fundraising or have received funds from other sources to fund the development of national urban development policies.

**Contributions of Sida to achieving the objectives**

- Soft ear-marked funding

**Contributions of UN-Habitat to achieving the objectives**

- Costs of outputs vary because of language and availability of technical expertise.
- Recognising NUP as one of the ten policy units for the New Urban Agenda
- Considering of NUP as one of the possible indicators for target 11a of SDG
- UN-Habitat is mobilising more resources and receiving more funding from countries to support the NUP
- The development and use of the International Guidelines on Urban and Territorial Planning to support the review of various plans and strategies

**Effectiveness of UN-Habitat's systems to measure achievement of objectives**

This programme has set out clear output objectives. There are no impact indicators.

**Sustainability****Ownership by beneficiaries**

National governments are putting in resources to implement their national policies. For example in Rwanda, once the policy is adopted the government will put in resources for implementing it. Because the process is participatory, governments get committed to implementing national policies and put in their own resources.

**Replication, scaling up or institutionalized**

This is being replicated as each new country chooses to partner. In a next step, the programme will continue to develop guidelines and frameworks to assist governments in designing the much needed NUPs and to support the sharing of experiences. This will be very useful provided this action is accompanied by institutional building efforts at national and local levels. In principle this project should continue to provide major inputs to the New Urban Agenda (to be adopted in Quito) as the NUA should orient all NUPs for the next 20 years.

**Impact Outlook**

Impact is not measured. It is assumed that policies adopted will result in compact urban centres with increased density and gender sensitivity. While there are numerous successes in terms of activities and output, it is not clear what difference this project really makes for people. This needs to be measured.

**Overall assessment**

This programme has exceeded its objectives in terms of the number of partners with which they are working. It is relevant, the design appears to appropriate and participatory and it has a number of elements that contribute to sustainability.

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Rating: Satisfactory (4) ★★★★★

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## T068: Open UN-Habitat Transparency Initiative

### Relevance

#### To UN-Habitat

- Excellence in management
- Effective advocacy monitoring and partnerships for sustainable urbanization

#### To Sida

- Excellence in management
- Effective advocacy monitoring and partnerships for sustainable urbanization

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	334,509	207,772	164,340	106,079	812,700
Spent	280,604	255,733	146,020	95,125	777,482

Utilization rate; 95.67 per cent

#### Contributing factors

- Soft ear-marked funding

#### Detracting factors

- Lateness of tranches

### Effectiveness

While the model is persuasive, it is too early to make an evidence-based assessment of it. Implementation will require systemic action across the agency, involving behavioural, cultural, procedural and organizational adjustments as proposed in the Recommendations.

#### Extent of achieving objectives

The results are taken from the January 2016 evaluation of this project

Expected Outcomes and Accomplishments	Results
Creation of a web portal for the public to search, compatible with IATI registry	<ul style="list-style-type: none"> <li>• Establishment of a transparency portal (<a href="http://open.unhabitat.org">http://open.unhabitat.org</a>)</li> </ul>
Transparency approach adopted by UN-Habitat staff	<ul style="list-style-type: none"> <li>• Promoted transparency reporting within the United Nations system</li> <li>• Transparency targets in 2016-2017 work programme</li> <li>• Established and integrated International Aid Transparency Initiative (IATI) reporting procedures</li> </ul>

Expected Outcomes and Accomplishments	Results
	<ul style="list-style-type: none"> <li>• Accrual and Accounting System (PAAS)</li> <li>• Establishment of IATI reporting procedures</li> <li>• Most UN-Habitat staff indicate that the initiative has had no effect on internal communication within the agency</li> <li>• Learnings from the initiative's implementation relate to gaining greater understandings about the transparency movement in general and its place within UN-Habitat in particular.</li> </ul>
Increased public trust and discourse with the organization	<ul style="list-style-type: none"> <li>• There is a widespread perception that Open UN-Habitat has positively affected transparency and that the initiative is supportive of UN-Habitat's reputation as a leader in development aid transparency. Several organizations have adopted the Open UN-Habitat website platform</li> </ul>
Increased productivity within the organization	<ul style="list-style-type: none"> <li>• Staff report 'no effect'</li> </ul>
Increased credibility with donors and partners	<ul style="list-style-type: none"> <li>• Many external stakeholders see the initiative as having fostered partnerships with donors and partners</li> <li>• It is still too early to determine whether the initiative will result in increased donor funding. However, positive perceptions among donors and partners suggest favourable prospects.</li> </ul>
A renewed reputation for UN-Habitat as being a leader in the global call for aid transparency	<ul style="list-style-type: none"> <li>• There is a widespread perception that Open UN-Habitat has positively affected transparency and that the initiative is supportive of UN-Habitat's reputation as a leader in development aid transparency. Several organizations have adopted the Open UN-Habitat website platform.</li> </ul>

#### Cost compared to the benefit of achieving those objectives

The January 2015 evaluation of this initiative found it difficult to develop an informed assessment of the initiative's cost-effectiveness. Figures for available funds, approved funds and expenditures are not consistent, and no benchmarks or criteria exist.

It further states: 'Considerable investment has gone into the Open UN-Habitat Transparency initiative in terms of financial and human resources. Yet, the potential of these investments and the benefits of recognition do not seem to have been fully realized.'

#### Contributions of Sida to achieving the objectives

- Soft-earmarked funding

#### Contributions of UN-Habitat to achieving the objectives

- Organizational infrastructure

### **Effectiveness of UN-Habitat's systems to measure achievement of objectives**

An evaluation was completed of this project. The evaluation concluded the following regarding effectiveness: 'Performance is satisfactory. The expectation that the initiative would result in publication of open data for all ongoing projects was fully met. This information is now routinely published and updated on the IATI website and UN-Habitat's own dedicated web portal, which is now integrated in the agency's main website. However, use of the data is still quite limited, and there is little evidence that internal communication has benefitted. Remaining challenges include increasing awareness and outreach, as well as responding to interest in publishing data beyond the IATI standard.'

### **Sustainability**

The following recommendations made in the January 2016 evaluation report indicate that the following is needed.

1. Formal and public endorsement of the initiative by senior management. Such validation will set a tone and offer a normative framework that will support actions and practices to strengthen transparency internally and in the field
2. Establishing a Focal Point for transparency. This action would help ensure continuity of the initiative, assist in coordination of transparency-related activities, and provide a central point of contact

Implementation of these recommendations would help support sustainability.

The evaluation concluded:

Performance is satisfactory. The jury is still out on actual funding increases owing to the initiative but prospects are more favourable with improved perception of the agency's transparency by a key donor (Sida) and other external stakeholders. External partnerships are seen to have been strengthened, but there is little indication that internal collaboration is stronger. There is broad interest in learning more about the initiative and only a few see risks in doing so. The future of PAAS and the integration of the IATI standard into Umoja are yet to be determined. Study participants offer concrete suggestions for more fully realizing the initiative's potential. The satisfactory rating of the initiative's performance on 'sustainability' took into account constraints stemming from insufficient time having passed to render a definitive judgment. This constraint is not a reflection on the initiative itself but means more time is needed before a final rating is possible.

### **Impact Outlook**

While there was some indication that the initiative has had an impact internally improving the agency's transparency, the evaluation concluded that it was too early to know the external impact. The evaluation concluded:

Performance is satisfactory. The initiative is perceived internally and externally as having improved the agency's transparency, but not so much its productivity. The initiative is widely seen as having established UN-Habitat as being on the forefront of international development aid transparency. Several organizations have adopted the agency's platform for publication of open data. Impact will be enhanced by greater portal usage and publication of additional data.

### **Overall Assessment**

The programme has many positive factors, with the evaluation indicating satisfactory in all areas. It has developed the portal but it is not yet clear as to the impact that will have. There does need to be higher utilization. In addition incentives are needed to encourage project managers to upload and share information and data on their projects on a regular basis. At the moment information available on many projects is insufficient and randomly updated.

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Rating: Satisfactory (4) ★★★★★

## T069: Mainstreaming and Strengthening Youth and Democracy at the Local level to create Safer Cities

### Relevance

#### To UN-Habitat

- Cross-cutting issues such as youth, safety, human rights and gender equality
- Participatory urban planning, management and governance
- Achieving full and productive employment and decent work for all including young people

#### To Sida

- Cross-cutting issues such as youth, safety, human rights and gender equality

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	-	102,034	-	-	102,034
Spent	-	99,606	-	-	99,606

Utilization Rate – 97.62 per cent

#### Contributions to efficiency

- Building on previous work
- Engaging with partners

### Effectiveness

#### Extent of achieving objectives

Expected accomplishments	Status
Demonstrate successful interventions which have improved safety at the local level and improved the livelihoods of youth and the governance relationship between the local authorities and youth-engaged projects	<ul style="list-style-type: none"> <li>• Published Global Youth-Led Development Report Series</li> <li>• ICT Urban Governance and Youth (focus on how ICT can positively impact the youth's engagement in governance and creation of safer cities)</li> <li>• Global Network on Safer Cities (GNSC)</li> <li>• Youth and new technologies for good urban governance</li> <li>• Sisi Ni Amani – a youth-led group focused on creating safer spaces in cities for young women</li> </ul>

Expected accomplishments	Status
	<ul style="list-style-type: none"> <li>• Awareness raising on issues affecting youth through normative and operational work. In 2014, the UN-Habitat Safer Cities Programme (SCP) and the Youth Unit piloted safety applications with two NGOs – the Harassmap in Cairo and the Spatial Collective in Nairobi, two youth-led initiatives</li> <li>• 296 projects in six years through the Urban Youth fund</li> </ul>
Consolidated handbook on strengthening good urban governance, safety and democracy through youth-focused mapping initiatives such as an early warning system to urban violence	<ul style="list-style-type: none"> <li>• Making Egypt's Schools and Universities Harassment Free Zones (use of mapping)</li> </ul>
Policy brief for the Devolution and Urban Working Groups to illustrate the potential for new local governance processes and policy that include youth and feed into the ongoing devolution debates	<ul style="list-style-type: none"> <li>• Policy brief completed with the University of Colorado</li> </ul>

#### Cost compared to the benefit of achieving those objectives

- This is a relative small project that built on prior work, with significant accomplishments for the amount of funding received.

#### Contributions of Sida to achieving the objectives

- Funding

#### Contributions of UN-Habitat to achieving the objectives

- Prior work in the area
- Linkages to other initiatives
- The organizational structure to support the project

#### Effectiveness of UN-Habitat's systems to measure achievement of objectives

- This is an area that needs improvement

### Sustainability

#### Ownership by beneficiaries

- The project continues to be carried out in a number of countries.



## Impact Outlook

- While information is not kept on impact, project staff report that this project has allowed scaling up of similar programs.

## Overall Rating of Performance

The project built on existing work so it was able to advance substantially with the funding provided by Sida. For the most part it accomplished what it set out to do.

Rating: Satisfactory (4) ★★★★★

## T071: Institutionalisation of Results-Based Management in UN-Habitat

### Relevance

#### To UN-Habitat

- Excellence in management

#### To Sida

- Excellence in management

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	185,838	92,343	94,222	76,023	448,426
Spent	137,782	141,667	53,651	106,753	439,853

Utilization Rate – 98.09 per cent

#### Contributing factors

- Soft ear-marked funds from Sida
- Commitment to Results Based Management (RBM) by senior management

#### Detracting factors

- Staff who need to submit information do not see the importance of RBM
- Staff constraints make it difficult to contribute information to monitoring systems

### Effectiveness

#### Extent of achieving objectives

Expected accomplishments	Status
Results-based management principles applied	
At least four compliance inspections carried out	<ul style="list-style-type: none"> <li>• UN-Habitat is now a RBM compliant organization with its policies, processes and activities being firmly results focused and oriented. RBM is now embedded and institutionalized in planning, monitoring and reporting. Strategic and programme planning function</li> </ul>
95 per cent of audit recommendations from the External Board of Auditors and Office of Internal Oversight Services are implemented within the required time	
100 per cent of programmes and projects are contributing to focus area results	<ul style="list-style-type: none"> <li>• The biennial strategic framework and work programme and budget and projects are fully aligned to the strategic plan, with 100% of them now being fully aligned since 2013</li> </ul>

Expected accomplishments	Status
	<ul style="list-style-type: none"> <li>• Examples of contributions</li> <li>• GLTN – working with 66 partners and 2,115 individuals using pro-poor and gender-responsive tools</li> <li>• University Network Initiative has 1336 individual partners and 148 institutional members</li> <li>• Network of 160 cities, 200 communities and 135 countries in African, Caribbean and Pacific regions implementing slum upgrading strategies</li> <li>• Placing greater emphasis on results rather than outputs</li> </ul>
Expected outputs	<ul style="list-style-type: none"> <li>• Status</li> </ul>
Biannual programs reports of the ED on the implementation of MTSIP	<ul style="list-style-type: none"> <li>• Reports completed</li> </ul>
Biennial work programme 2014 – 2015	<ul style="list-style-type: none"> <li>• Work programme completed</li> </ul>
Database of programmes and projects	<ul style="list-style-type: none"> <li>• Could occur through PAAS but is not used. The monitoring information is not completed.</li> </ul>
Evaluation database (electronic depository of UN-Habitat operational and normative work)	<ul style="list-style-type: none"> <li>• City Prosperity Index - working with 50 partner cities</li> <li>• UrbanLex – an urban legislation database</li> </ul>
Habitat annual work plans	<ul style="list-style-type: none"> <li>• Done</li> </ul>
Integrated capacity-building programme in results-based planning, programme management, monitoring and evaluation (training seminars, mentoring and systematic on-the-job-training)	<ul style="list-style-type: none"> <li>• Developed manual and training modules</li> <li>• Primarily do training at HQ because of limited resources</li> <li>• In 2014, carried out training for Arab States in Jordan. In 2015 in DRC where staff working in Southern and East Africa in Maputo and Cameroon were trained</li> <li>• Have developed indicators through a participatory process</li> <li>• RBM is institutionalized through annual programme/project reports.</li> </ul>
Key strategic evaluations	<ul style="list-style-type: none"> <li>• The 2012 RBM CapScan - Capacity assessment for effective implementation RBM confirmed the huge strides made by the organization in this respect.</li> </ul>
Programme performance report for the biennium 2012–2013	<ul style="list-style-type: none"> <li>• Completed</li> </ul>
Quality assurance reports on programmes	<ul style="list-style-type: none"> <li>• Reports progress towards goals, but not on the quality of the work done</li> </ul>
Results-based management internal capacity assessment report	<ul style="list-style-type: none"> <li>• Updated and more effective RBM tools</li> <li>• RBM supportive policies have also been developed and are under application.</li> </ul>
Staff survey on organizational effectiveness	<ul style="list-style-type: none"> <li>• Not completed</li> </ul>
Strategic Framework 2014–2015	<ul style="list-style-type: none"> <li>• Completed</li> </ul>
System for institutionalizing results based programme/project planning	<ul style="list-style-type: none"> <li>• Regular reporting is instituted with performance indicators. The work is carried out manually.</li> </ul>

Expected accomplishments	Status
Tool to further strengthen the application of results-based management	<ul style="list-style-type: none"> <li>• Developed manual and training modules</li> <li>• About 438 staff in Regional Offices, Nairobi and Country Offices have improved capacity to apply RBM in their work. This has been done through training, periodic briefings and coaching on all aspects of RBM</li> </ul>

### **Cost compared to the benefit of achieving those objectives**

- The annual cost is very low for an RBM system

### **Contributions of Sida to achieving the objectives**

- Funding

### **Contributions of UN-Habitat to achieving the objectives**

- Organizational support

### **Effectiveness of UN-Habitat's systems to measure achievement of objectives**

These are being developed but not used to the extent they should be and this needs to move to an electronic system.

## **Sustainability**

### **Ownership by beneficiaries**

There is variable ownership on the part of UN-Habitat staff. Most do not understand that activities, outputs and results are quite different.

### **Replication, scaling up or institutionalized**

While the institutionalization process is underway, it has not yet had commitment by all UN-Habitat staff.

The programme intends to scale up by reaching a critical mass of staff who are competent in RBM through training, updating tools, as well as developing new ones. It intends to include implementing partners in our capacity building as they are the ones who achieve results on the ground.

## **Impact Outlook**

The potential for impact is substantial but the system is limited to a manual operation.

### **Overall Rating of Performance**

The RBM system has shifted from measuring outputs to measuring outcomes but it is still a manual system. To some extent reports are narrative and, therefore, subjective in nature. The system needs to make better use of PAAS and be better linked to IMDIS and Umoja.

Rating: Satisfactory (4) ★★★★★

## T072/T080: Core Evaluation Activities for the 2012 - 2015 Workplans

### Relevance

#### To UN-Habitat

- Links to all focus areas – supports effective programmes/projects

#### To Sida

- Links to all focus areas – supports effective programmes/projects

### Efficiency

#### Efficiency of project

	2012	2013	2014	2015	Total
Received	111,503	100,039	125,629	101,364	438,535
Spent	-	211,637	117,656	155,889	485,182

Utilisation rate – 110.64 per cent

#### Contributing factors

- Soft earmarked money from Sida
- Internal evaluation expertise
- Peer review by UNEG of Evaluation unit
- Policy regarding evaluation
- Revised Evaluation Framework and Executive Directive for increasing evaluation coverage
- Focal points for evaluation in all regional offices and branches

#### Detracting factors

Resources for the evaluation function have been substantially reduced since 2013. Programme and project budgets usually do not include funding for evaluation. Although funders want evaluations, they are often not prepared to pay for it.

### Effectiveness

#### Extent of achieving objectives

Expected accomplishments	Status
2012-2013	
Programme work is effectively managed	<ul style="list-style-type: none"> <li>• Evaluation has supported programme managers in managing their work more effectively by providing feedback and recommendations for improvement where evaluations have occurred</li> </ul>

Expected accomplishments	Status
Institutionalizing evaluation in the context of RBM	<ul style="list-style-type: none"> <li>• Developed an evaluation policy</li> <li>• Need for better integration between RBM and evaluation</li> <li>• Section on evaluation in RBM manual</li> <li>• Need evaluation manual</li> </ul>
Evaluation products meet quality requirement for norms and standards of UNEG	<ul style="list-style-type: none"> <li>• Ten Sida-funded evaluations completed 2012–2015</li> <li>• Peer review indicated that the quality of evaluation products of UN-Habitat meet the UNEG norms and standards</li> </ul>
Communicating findings are clear and concise	<ul style="list-style-type: none"> <li>• Management responses indicates an understanding of findings and recommendations</li> </ul>
Evaluation findings and recommendations are used	<ul style="list-style-type: none"> <li>• Monitor use of evaluation through an evaluation plan that is updated biannually</li> <li>• 2014 survey indicates findings and recommendations are often used</li> <li>• Use PAAS to track evaluations and evaluation use. The Evaluation Recommendation Tracking Database is integrated in PAAS</li> </ul>
Evaluation capacity is developed	<ul style="list-style-type: none"> <li>• The manual is a step in this direction</li> <li>• The peer review concluded that the internal evaluation capacity increased through training programmes and guidance</li> </ul>
Synergy with other evaluation functions in the UN System	<ul style="list-style-type: none"> <li>• Member of United Nations Evaluation Group (UNEG)</li> </ul>
2014-2015	
Harmonized evaluation products of UN-Habitat meet the UNEG norms and standards for quality evaluation	<ul style="list-style-type: none"> <li>• OIOS evaluation of UN-Habitat indicated that the quality of evaluation reports of UN-Habitat Evaluation were satisfactory</li> </ul>
Enhanced internal evaluation capacity through training programmes, tools and guidelines	<ul style="list-style-type: none"> <li>• Carried out training in the Regional Office for Africa and Latin America and the Caribbean</li> <li>• Provided one-on-one consultation</li> <li>• The peer review concluded that the internal evaluation capacity increased through training programmes and guidance</li> <li>• General outreach through for the Nairobi Interagency Evaluation Network (NIEN) for which the Unit is the acting Secretariat.</li> </ul>
Increased accountability, learning and performance through improved use of evaluations in design, planning, management, allocation of resources and implementation of UN-Habitat policies, strategies, programmes and projects	<ul style="list-style-type: none"> <li>• Peer review indication improved use of evaluations in programme design, planning, management, allocation of resources and implementation of UN-Habitat policies, strategies, programmes and projects</li> <li>• Monitor use on PAAS</li> <li>• Monitor use on PAAS, Habnet and corporate evaluation website <a href="http://www.unhabitat.org/evaluation">www.unhabitat.org/evaluation</a></li> <li>• In 2014, 19 recommendations were in the process of being implemented while 11 had been implemented</li> <li>• In 2015, 16 were in the process of being implemented and 1 had been implemented</li> </ul>

The most significant change was the perception towards evaluation as people recognised that evaluation adds value and they are beginning to use it.

#### **Cost compared to the benefit of achieving those objectives**

- Relatively low budget for the number of evaluations completed and the evaluation activity

#### **Contributions of Sida to achieving the objectives**

- The evaluation unit depends on Sida funds to fulfil their evaluation plans.

#### **Contributions of UN-Habitat to achieving the objectives**

- Provides the organizational infrastructure and evaluation expertise

#### **Effectiveness of UN-Habitat's systems to measure achievement of objectives**

- The Evaluation Unit tracks all evaluations and monitoring use of findings through the biannual report.

### **Sustainability**

#### **Ownership by beneficiaries**

- Evaluation is increasingly becoming an accepted means for fulfilling accountability responsibilities.

#### **Replication, scaling up or institutionalized**

- The evaluation unit could easily be scaled up if the resources were available.

### **Impact Outlook**

It is unclear regarding the impact on quality of programmes/projects. Due to scarce resources, impact evaluations are not a top priority but, with improved monitoring, this could change.

### **Overall Assessment**

The programme has several significant positive factors (monitoring progress and having achieved intended accomplishments) with no defaults in terms of relevance, appropriateness of programme design, efficiency, effectiveness or sustainability.

Rating: Highly satisfactory (5) ★★★★★

## **T079: Implementation of PAAS**

### **Relevance**

#### **To UN-Habitat**

- It is relevant to all areas because, with proper use, this system has the potential to track outcomes for every programme and project and find excellence in management

#### **To Sida**

- It supports Sida's need to know whether its money is being well-spent – excellence in management

#### **To beneficiaries**

- The potential beneficiaries are focal points for all programmes/projects in UN-Habitat. At this point the beneficiaries do not understand the potential and are not committed to making it work.

### **Efficiency**

#### **Efficiency of project**

	2012	2013	2014	2015	Total
Received	-	138,515	94,222	50,682	283,419
Spent	-	138,255	44,138	76,904	259,297

Utilization rate: 91,49 per cent

#### **Contributing factors**

- Soft ear marked funds from Sida
- Support from Executive Director
- Endorsement of project by New York Headquarters

#### **Detracting factors**

- Does not have sufficient funding and senior management support for output and results reporting to ensure that it is used properly
- Lack of links and use by RBM. There is potential, but it is not used.
- Umoja was introduced without an interface to PAAS – this is currently being addressed by security policy approval and bringing in additional software that will allow the systems to communicate
- No funding for data entry and verification
- Need training for staff that is integrated with RBM and evaluation
- Lack of core funding to support this function

## Effectiveness

### Extent of achieving objectives

Expected accomplishments	Status
Central repository of financial and qualitative information on UN-Habitat's projects, income and implementing partner agreements, travel and consultants	<ul style="list-style-type: none"> <li>Previously there was production of financial reports on UN-Habitat's projects portfolio – this function now occurs through Umoja – allowed an easier transition to Umoja. Information from PAAS is still needed to produce financial reports consolidated by thematic area</li> <li>All new projects are entered into PAAS before they are approved with the system providing tools for validation and to support quality control by ensure all mandatory information is entered in line with Project Based Management Policy</li> <li>All sub-programme expected accomplishments in the organization's work programme and budget are entered in PAAS to ensure alignment of new projects with the work programme and budget</li> <li>The system is used to support activity-based budgeting when preparing the biennial work programme and budget</li> <li>In theory, enabled collecting data and reporting on progress towards expected accomplishments. This has not been populated, with few exceptions such as evaluation.</li> <li>Supported enhanced management of agreements with partners, particularly income and implementing partner agreement, due to regular reports on income received and payments made on the agreements in comparison with agreed income and payment schedules</li> <li>Exception reports developed to ensure that any financial management issues is addressed in timely manner.</li> <li>Improved management information on travel and consultancies, including those recruited by external parties due to up-to-date reporting on all official travel and recruitment of consultants has facilitated, cost management and containment.</li> </ul>
	<ul style="list-style-type: none"> <li>Supports enhanced transparency will be particularly helpful if staff input data about expected accomplishments</li> <li>Has potential for enhanced efficiency in providing timely responses to ad hoc queries from management and external stakeholders</li> <li>Has the ability to generate reports to facilitate biennial and annual budgeting exercises and enable more accurate forecasting of income and expenditure.</li> <li>Staff skills database has facilitated mobility and assignment of staff to projects</li> <li>Provision of data for the open.unhabitat.org website which is part of the International Aid Transparency Initiative</li> </ul> <ul style="list-style-type: none"> <li>The donor information system is integrated into the system, providing contribution history information of all donors</li> <li>The tools to enable monitoring and reporting of implementing partner outputs and results are under implementation in PAAS.</li> </ul>

### Cost compared to the benefit of achieving those objectives

The system delivered the expected benefits with regard to financial management; however, the information relating to monitoring outputs is not yet functioning as it should because the monitoring information is not input systematically. It does require basic project information including performance indicators to be provided prior to payments being released. Hence, there is basic programme information in a single repository.

### Contributions of Sida to achieving the objectives

- Soft ear-marked funds
- Expectation for better reporting

### Contributions of UN-Habitat to achieving the objectives

- Organizational infrastructure
- Expertise

### Effectiveness of UN-Habitat's systems to measure achievement of objectives

- This system is critical to UN-Habitat's ability to measure achievement of objectives. RBM and project focal points need to make better use of the system. Once PAAS is able to communicate with Umoja, the capacity to generate quality reports and provide information for the open.unhabitat.org will be increased.

## Sustainability

### Ownership by beneficiaries

The system is used mainly by the finance staff, resource mobilization staff and those in the programme division to produce a variety of corporate level reports, reports for external stakeholders including the Committee of Permanent Representatives, and to produce briefs to support resource mobilization. However, use of the system by other beneficiaries (programme/project focal points) is not yet widespread. It must be sustainable or a new system needs to be developed that will allow for integration of financial, implementation progress and outcome data.

## Impact Outlook

The potential for impact on UN-Habitat's programmes/project is huge. That impact has not yet been achieved. PAAS might want to consider having input of outcome data tied to the final annual payment. This would need to be supported by additional training and a link to RBM.

## Overall assessment

Rating: Partially satisfactory (3.5). The success of the project is highly dependent on the understanding of the potential of PAAS and on the commitment of programme/project focal point to enter data and use the system. It is moving towards being satisfactory but the lack of linkage to RBM and the lack of input by project managers are significant flaws that need to be addressed.

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Rating: Partially satisfactory (3.5) ★★☆☆☆



# ANNEXES

## Annex A: Evaluation Terms of Reference

Evaluation of the Cooperation Agreement between UN-Habitat and Sweden to support the implementation of the UN-Habitat Institutional and Strategic Plans, 2012-2015

### Terms of Reference

#### 1. Introduction and Background

The United Nations Human Settlements Programme (UN-Habitat)<sup>3</sup> is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all. Since its establishment in 1976, UN-Habitat has responded to a broad mandate by developing and implementing normative and operational activities.

UN-Habitat's mandate derives from the outcomes of relevant international conferences, namely the Vancouver Declaration on Human Settlements (1976), the Istanbul Declaration on Human Settlements and the Habitat Agenda (1976)<sup>4</sup>, the Declaration on Cities and other Human Settlements and specific mandates through various UN General Assembly and UN-Habitat Governing Council resolutions such as The Millennium Declaration (GA res.55/2), more specifically the Millennium Development Goal (MDG) 7 and its target of achieving significant improvements in the lives of at least 100 million slum dwellers by 2020. In 2002, Governments attending the World Summit on Sustainable Development (WSSD) further mandated UN-Habitat to monitor and report on progress towards the achievement of Goals targets on access to safe drinking water and to halving the proportion of people who do not have access to basic sanitation.

UN-Habitat's evolution reflects the growing importance of urbanization as a priority to the United Nations and its Member states, translating into evolving mandates and strategic approaches, UN-Habitat's focus and organizational set-up. The in-depth evaluation in 2005 of UN-Habitat by the Office of the Internal Oversight Services (OIOS) proved pivotal in advancing the agenda of UN-Habitat.<sup>5</sup> The OIOS evaluation called for a reform

of UN-Habitat, with the specific goal of sharpening its programmatic focus and broadening its funding base in order to have a greater impact. This led to the formulation of the six-year Medium-Term Strategic and Institutional Plan (MTSIP) 2008-2013 with the overarching goal "to ensure an effective contribution to sustainable urbanization"<sup>6</sup>.

The intent of the MTSIP was to sharpen the focus of the work of UN-Habitat in accordance with the United Nations system-wide reform initiatives and enhance coherence and results-based management. Specifically, the MTSIP was organized around six mutual reinforcing Focus Areas (FAs)<sup>7</sup> and implemented in phases that corresponded with the biennial work programme cycles of 2008-2009, 2010-2011 and 2012-2013. Recognizing the inter-linkages in realization of sustainable urbanization, the MTSIP also reflected UN-Habitat's involvement in other areas in which urbanization was a central issue. These included disaster and risk reduction and humanitarian response, as well as the integration of crosscutting issues in its work including youth, gender, human rights and climate change.

The 2012-2013 biennium was a bridging one for UN-Habitat. On one hand, UN-Habitat was concluding the MTSIP 2008-2013 while on the other, the agency was developing the second-generation strategic plan for 2014-2019, which drew on the lessons from the MTSIP. Notably, in the Strategic Plan gender, youth, partnerships, outreach and communication, capacity development, climate change and best practices were systematically reflected in all substantive focus areas as crosscutting issues. It also provided for complete alignment among the Strategic Plan's priority areas and the sub-programmes in the biennial strategic framework and work programme and budget, as well as a result framework to ensure reporting would be unified into a single process.

<sup>4</sup> Throughout this report, the current name of the agency UN-Habitat is used, rather than its earlier name of the United Nations Centre for Human Settlements (UNCHS).

<sup>5</sup> *Report of the United Nations Conference on Human Settlements (Habitat II), Istanbul, 3-14 June 1996* (United Nations publication, Sales No. E.97.IV.6).

<sup>6</sup> *In-depth evaluation of the United Nations Human Settlements Programme (UN-Habitat)*, Committee for Programme and Coordination, document E/AC.51/2005/3.

<sup>7</sup> Governing Council Resolution 21/2 approved the MTSIP.

<sup>8</sup> These are: Effective Advocacy, Monitoring and Partnerships (FA1), Promotion of Participatory Planning, Management and Governance (FA2), Promotion of Pro-Poor Land and Housing (FA3), Environmentally Sound Basic Urban Infrastructure and Services (FA4), Strengthened Human Settlements Finance Systems (FA5), and Excellence in Management (FA6).

The Strategic Plan 2014-2019 (SP) has seven priority areas.<sup>8</sup> While the Strategic Plan reflects some continuity from the MTSIP in terms of focus areas and implementation approaches, it also responds to emerging urban trends, challenges and opportunities, and mirrored in the goal of the Strategic Plan of “*well-planned, well-governed and efficient cities and other human settlements with adequate infrastructure and universal access to employment, land and basic services, including housing, water, sanitation, energy and transport.*”<sup>9</sup>

The Government of Sweden, represented by the Swedish International Development Cooperation Agency (Sida) has been a major donor to UN-Habitat since the 1970s. Since 2009, Swedish contributions have supported a range of country specific projects, humanitarian projects, strategic plans and initiatives through two programme cooperation agreements; Sida funded the Programme Cooperation Agreement for 2009-2011 with SEK70 million (USD 8.4m), and donated SEK100 million for the current cooperation agreement.

This evaluation of the Cooperation Agreement, 2012-2015, is stipulated in Article 10 of the Cooperation Agreement for which “...the actual implementation of the review and evaluation of this Agreement will be done in consultation between the Parties and other donors”.

As such, the evaluation of the cooperation agreement was discussed during the regular annual consultation meeting on the cooperation, which was held on 26-27 March 2015. At the time, Sida made the request that the findings of the evaluation should be ready by August 2015 to enable the incorporation of them in the next corporation agreement. Furthermore, the evaluation is included in the revised UN-Habitat Evaluation Plan for 2015 and has been approved by the UN-Habitat Management Board.<sup>10</sup>

### 1.1 Focus of the Cooperation Agreement, 2012-2015

The current programme cooperation agreement, 2012-2015, is intended to support the implementation of the MTSIP for the period 2012-2013 and the implemen-

tation of the Strategic Plan (SP) for the period 2014-2015.

The priority areas selected for Sida’s contribution were consistent with the Swedish Multilateral Cooperation, the Sweden strategy for Global Programmes and Sida’s policy framework. The priority areas for Sida’s support to MTSIP during 2012 and 2013 were:

- Focus Area 2: Promotion of Participatory Planning, Management and Governance
- Focus Area 3: Promotion of Pro-Poor Land and Housing
- Focus Area 6: Excellence and Management
- Sida also supported efforts to streamline UN-Habitat’s crosscutting issues of gender, human rights, and partnerships (in addition to Sida’s priorities of poverty alleviation and democracy) in the above prioritized Focus Areas

Within Focus Area 2 of the MTSIP, Sida supported the strengthening of knowledge management, partnerships, sustainable urban development networks and advocacy towards local governments. Within Focus Area 3 of the MTSIP, Sida supported projects that promoted pro-poor policies, land management and administration, and equitable and inclusive urban legislation. Within Excellence and Management, Sida supported activities of Results Based Management, evaluation and activities aimed at strengthening transparency.

During the 2014-2015 Biennium, Sida supported the implementation the following Focus Areas and themes of the Strategic Plan:

- Focus Area 1: Urban Legislation, Land and Governance
- Focus Area 2: Urban Planning and Design
- Focus Area 5: Housing and Slum Upgrading
- Operations and cross-cutting issues
- Partnerships

### 1.2 Expected Results of the Cooperation Agreement

Sida’s contribution to the cooperation agreement was predicated on the delivery of expected results (accomplishments) set out in the programme. Information

<sup>9</sup> The Strategic Plan has seven priority areas: Urban Legislation, Land and Governance (1), Urban Planning and Design (2), Urban Economy (3), Urban Basic Services (4), Housing and Slum Upgrading (5), Risk Reduction and Rehabilitation (6) and Research and Capacity Development (7).

<sup>10</sup> *Strategic plan 2014–2019 of the United Nations Human Settlements Programme*, HSP/GC/24/5/Add.2

<sup>11</sup> The evaluation is included in the revised UN-Habitat Evaluation Plan 2015 as a centralized evaluation, which requires that the evaluation is managed by the Evaluation Unit and a management response and action plan is prepared by UN-Habitat in follow-up to the evaluation.

about objectives, expected results, indicators of achievements and related outputs and activities is found in the performance frameworks prepared for individual programmes and projects.

It is expected that, during the inception phase of this evaluation, the consultants will gather details of the programmes and projects funded under different focus areas with their intervention logic, indicators of achievements and assumptions.

### 1.3 Monitoring and Reporting on the Cooperation Agreement

UN-Habitat has provided copies of progress reports of the implementation of the MTSIP and the Strategic Plan on an annual basis. During joint annual consultations, UN-Habitat also provides Sida with an annual evaluation work plan of its projects.

The strategy for project funding allocations is a consultative process designed to accommodate key priorities and strategic considerations of both UN-Habitat and Sida. Disbursement of funds has occurred on a yearly basis upon receipt of year-end reports on the MTSIP and SP, according to Article 10 and 11 of the cooperation agreement.

## 2. Purpose and Objectives of the Evaluation

The UN-Habitat Evaluation Policy calls for independent evaluations of UN-Habitat's policies, strategies, programmes, projects and operations.<sup>11</sup> The overall purpose of this evaluation is to provide useful and credible evidence of results achieved, strengthen accountability and contribute to learning processes and improvement of future cooperation agreements.

Article 10 (5) and (6) of the cooperation agreement, mandates this evaluation and specifies that such evaluation will be done in consultation with Sida and other relevant donors. The evaluation will provide Sida and UN-Habitat with an independent and forward-looking assessment of the programming and implementation experience of what worked and what did not work. It will assess whether intentions and objectives of the cooperation agreement for 2012-2015 were achieved and examine implementation to understand how and why certain results were achieved or not achieved. Lessons drawn from the evaluation findings are expected to inform UN-Habitat management and Sida in shaping the new cooperation agreement for 2016-2019 and

feeding back lessons into the design of new project and programmes.

Key objectives of the evaluation are:

- i. To assess the design, implementation and progress made towards the achievement of results at the outcome level by Sida-supported projects and programmes implemented under the cooperation agreement 2012-2015. This will entail analysis of actual versus expected results achieved by UN-Habitat.
- ii. To assess the extent to which the modalities and institutional arrangements in place for the implementation of the cooperation agreement as well as funding and coordination mechanisms were effective and enabling to programming and delivering the projects and programmes supported by Sida and to report on performance of UN-Habitat.
- iii. To assess the performance of the cooperation agreement in terms of relevance, efficiency, effectiveness, sustainability and impact outlook of the cooperation projects and programmes supported under the cooperation agreement.
- iv. To assess the extent to which cross cutting issues of gender, human rights, climate change, capacity building and youth have been integrated in design, implementation and outcomes of the Sida-funded projects
- v. To determine whether the Sida-supported projects and programmes contributed to overall goals of poverty reduction and sustainable development
- vi. To identify weaknesses and strengths in the institutional capacity to implement the Sida-funded projects and programmes for learning and future programming
- vii. Taking into account intended users of the evaluation identify lessons learned and provide recommendations for improving future cooperation agreements

## 3. Scope of Evaluation

The scope of the evaluation is the projects and programmes, and themes funded by Sida during the period of the Agreement. The evaluation is to expected assess the achievements of these within the 2012-2015 Programme Agreement as objectively as possible based on the evaluation criteria of relevance, effectiveness, efficiency, sustainability and impact outlook.

<sup>11</sup> UN-Habitat Evaluation Policy (2013), [www.unhabitat.org/evaluation](http://www.unhabitat.org/evaluation)

#### 4. Key Evaluation Questions based on Evaluation Criteria

##### **Relevance:**

- To what extent is the cooperation agreement consistent with UN-Habitat priorities contributes to sustainable development?
- To what extent has the identification, design and implementation process of projects/programmes involved the beneficiaries and been relevant to their development priorities?

##### **Efficiency:**

- What outputs and outcomes have been achieved, in quantitative and qualitative terms, relatively to inputs? To what extent can the funding of the programme cooperation agreement be justified by the results achieved?
- To what extent have UN-Habitat's normative and operational projects and programmes been cost-effective in achieving targeted outcomes within the anticipated timeframe?
- To what extent do institutional, management set-up, and staff capacity contribute to the achievement of target results?
- Were financial resources and human capacity adequate to achieve the expected results?
- What have been the most efficient types of projects?

##### **Effectiveness**

- To what extent has the cooperation agreement been effective in achieving its objectives? And to what extent has Sida funding been instrumental to the implementation of projects and programmes?
- What results have been achieved and which ones have not been achieved?
- How effectively has UN-Habitat measured its results and fostered use of evaluation evidence?
- How effective (timely, credible and transparent) have UN-Habitat's systems been for monitoring, reporting and evaluation of results?

##### **Sustainability**

- To what extent did projects and programmes engage beneficiaries in design, implementation and building ownership?

- To what extent will the projects and programmes supported by Sida be replicated or scaled up?

##### **Impact outlook**

- What are the overall (intended and unintended) effects of the cooperation agreement and its projects and programmes?
- To what extent was the overall objective of the cooperation agreement achieved?

#### 5. Evaluation Approach and Methodology

The evaluation will be carried out by two external independent consultants in collaboration with the relevant stakeholders. The evaluation approach should be as participatory as possible and focused on the users of the evaluation report. Evaluation will be carried out in conformity with evaluation norms and standards of the United Nations System and best practices in the evaluation field.

A variety of methods will be applied to collect evaluative information, including:

- **Review of relevant documents.** The consultants will devote the first weeks to review relevant documents and projects and draw data related to the evaluation questions. Relevant documentation will include the Cooperation Agreement, the MTSIP and the Strategic Plan related documents, individual project documents, progress reports and annual plans, evaluation reports, and other relevant documents. The document review will inform the evaluators what data is available and provide overview of project design and performance. It will also identify specific issues to follow-up during interviews and field visits.
- **Key informant interviews and consultations with key stakeholders.** Interviews will be conducted to obtain qualitative information on the evaluation issues to enable the evaluators address the issues of relevance, efficiency and effectiveness of the cooperation agreement.
- **Surveys.** In order to obtain quantitative information on stakeholder's views, questionnaires to different target audiences (project beneficiaries, Sida and UN-Habitat staff) will be deployed to give views on various evaluation issues.

- **Field visits.** Field missions will be undertaken to UN-Habitat Headquarters in Nairobi, Kenya, as well as to a small number of selected field projects outside of that country.

## 6. Stakeholders Participation

A key determinant of evaluation utilization is the extent to which clients and stakeholders are meaningfully involved in the evaluation process. It is therefore expected that this evaluation will be participatory and involving key stakeholders. These will be UN-Habitat Management; staff involved in the design, implementation, and reporting of projects and programmes funded by Sida; beneficiaries of the projects and programmes and Sida.

Stakeholders will be kept informed during the evaluation process, which will include design, information collection and evaluation reporting, review and results dissemination to create a positive attitude for evaluation-utilization.

## 7. Evaluation Team

The evaluation shall be carried out by two international evaluation consultants. The evaluators will be independent of those activities to be evaluated and will have no stake in the outcome of the evaluation. The evaluation team will be responsible for the quality of work and preparation of the specified evaluation deliverables.

The consultants are expected to have:

- Advanced knowledge and understanding of conduct of evaluation and participatory processes
- Extensive experience in conducting evaluations and delivering specified outputs, presenting credible findings derived from evidence and putting conclusions and recommendations supported by the evaluation findings
- Excellent inter-personal skills, with commitment to timeliness and high quality of work
- Advanced academic degree in urban development, environment, gender, housing, infrastructure, governance or related fields
- Excellent writing skills in English are essential as most data collection will be done in that language

It is envisaged that the team members would have a useful mix of development and evaluation experience and academic training relevant to the project evaluated. The team should be gender-balanced, if possible.

## 8. Responsibilities and Evaluation Management

The evaluation is commissioned by UN-Habitat, and included in the Evaluation Plan 2015 as a centralized evaluation, which designates the Evaluation Unit of UN-Habitat with responsibility of managing the evaluation. A reference group with members from Sida, UN-Habitat Evaluation Unit and the UN-Habitat Donor Coordination Unit, will be established for the purpose of this evaluation and be responsible for commenting on inception and draft reports.

The Evaluation Unit will lead the evaluation by guiding; ensuring suitable candidates are contracted; providing advice on code of conduct of evaluation; providing technical support as required; ensuring that contractual requirements are met and approving all deliverables (evaluation work plan, draft and final evaluation reports).

Consultants will be responsible for meeting professional and ethical standards in conducting the evaluation, and producing the expected deliverables.

Project and programme leaders will provide support and give information on projects funded by Sida. Operations Division will be responsible to resource information, including MTSIP and Strategic Plan progress reports, and audit reports.

Arrangements for consultation and review will be put in place to maximize the quality and credibility of the evaluation. A Reference Group will be established comprising of representatives from UN-Habitat and Sida to serve in advisory capacity, having responsibilities of reviewing and commenting on the main evaluation outputs (Inception report, draft and final evaluation report).

## 9. Work Schedule

The evaluation will be conducted for a period of three months spread over four months (July-October 2015). The consultants are expected to prepare an inception report containing a detailed work plan that will operationalize the evaluation. The provisional time table is as follows.



## 10. Reporting and Deliverables

The following three primary deliverables are expected from consultants for this evaluation:

- (a) Inception report with evaluation work plan. The consultants will prepare an inception report that will describe how the evaluation will be carried out; explain expectations for evaluation; detail methods to be used; highlight roles and responsibilities and give work scheduling and reporting requirement. 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.
- (b) Draft evaluation reports. The evaluation team will prepare a draft evaluation report to be reviewed by the Reference Group and key stakeholders. The draft should follow UN-Habitat's standard format

for evaluation reports. The draft report should meet the requirements for quality standards of UN-Habitat evaluation reports.

- (c) Final evaluation report (including Executive Summary and Annexes) prepared in English and following UN-Habitat's standard format of an evaluation report. The report should not exceed 40 pages (including Executive Summary) in font size 12). In general, the report should be easy to read and understood by non-evaluation specialists.

## 11. Resources Required

Consultants will be paid an evaluation fee. DSA will be paid only when travelling on mission outside official duty stations of consultants. The international consultants to conduct this evaluation should be of equivalent to P-5 or D-1 levels.

Task	May 2015	June 2015	July 2015	Aug. 2015	Sept. 2015	Oct. 2015
Preparation and finalization of the TOR	X	X				
Call for consultancy and recruitment of evaluation team		X				
Development of work plan and inception report			X	X		
Field visits, data collection and analysis				X	X	
Drafting of the evaluation report					X	
Preliminary findings workshop (schedule to be confirmed)					X	
Review, quality control and revision of the draft evaluation report					X	
Proof-editing and finalizing the final report						X
Publication and report dissemination						X

## Annex B: Documents Reviewed

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### **General Documents**

- Annual Progress Report 2014 Implementation of the Strategic Plan 2014 – 2019
- Annual Progress Reports on the Implementation of the Medium-Term Strategic and Institutional Plan (2012, 2013) and of the Strategic Plan (2014, 2015)
- Cooperation Agreement between UN-Habitat and Sida (with amendment of 23.01.2014)
- Evaluation of the Implementation of UN-Habitat's Medium-Term Strategic and Institutional Plan (MTSIP), Evaluation Report 1/2012

### **Financial statements**

- Interim Financial Status as of 31 December 2015 for Sida/UN-Habitat 2012 – 2015 Agreement
- Medium-Term Strategic and Institutional Plan 2008-2013
- Office of Internal Oversight Services (OIOS) IED evaluation
- OIOS report on Strengthening the role of evaluation and the application of evaluation findings on programme design, delivery and policy directives

- UN-Habitat Climate Change Strategy
- UN-Habitat Evaluation Policy 2013
- UN-Habitat Gender Policy and Plan
- UN-Habitat Organizational Structure 2012-2016
- UN-Habitat Results – Swedish Funding 2012 – 2013
- UN-Habitat's Strategic Plan 2014 – 2019
- United Nations Board of Auditor's (UNBOA) Report

### **Project Specific Documents (for each project)**

- Project Document
- Evaluation report (if available)
- Examples of project's products such as tools, publications, policies and training materials
- Project specific annual reports

## Annex C: List of Persons Interviewed

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- Andersson, Cecilia – Programme on Public Space, Urban Planning and Design Branch
- Assiago, Juma – Urban Legislation, Land and Governance Branch
- Atterhog, Mickael – Sida
- Aubrey, Dyfed – Regional Office for Arab States
- Barugahare, Martin – Evaluation Unit
- Bech, Susanne – Evaluation Unit
- Blades, Lilla – Capacity Development Unit, Research and Capacity Building Branch
- Channe Oguzhan – Housing and Slum Upgrading Branch
- Clos, Joan – Executive Director
- Cox, Andrew – Chief, Division of Management and Operations
- Dercon, Bruno – Regional Office for Asia and the Pacific
- Isacson, Asa, Capacity Development Unit, Research and Capacity Building Branch
- Kessler, Rocio – Office for Mobilizing Resources, Division of Management and Operations
- Kirabo Kacyira, Aisa – Deputy Executive Director
- Kiwala, Lucia – Partner Relations Unit, External Relations Division
- Lalande, Christophe – Housing and Slum Upgrading Branch
- Lewis-Lettington, Robert - Urban Legislation, Land and Governance Branch
- Lopez, Diana – Local Government and Decentralization Unit, Urban Legislation, Land and Governance Branch
- Markicevic, Isidora - Legislation, Land and Governance Branch
- Melin, Thomas – External Relations Division
- Mutizwa-Mangiza, Dorothy – Quality Assurance Unit, Division of Management and Operations
- Ndow, Saidou – Legal Office, Division of Management and Operations
- Nyabera, Hellen – Knowledge Management Support, Division of Management and Operations
- Nyakairu, Jane – Donor Relations and Income Unit, Division of Management and Operations
- Petrella, Laura – City Planning, Extension and Design Unit, Urban Planning and Design Branch
- Phakathi, Thema – Regional and Metropolitan Planning Unit, Urban Planning and Design Branch
- Randhawa, Jasdeep – External Relations Division
- Robleh, Mohamed – Division of Management and Operations
- Sietching, Remy – Regional and Metropolitan Planning Unit, Urban Planning and Design Branch
- Temptra, Ombretta – Legislation, Land and Governance Branch
- Tuts, Raf – Urban Planning and Design Branch
- Valesquez, Elkin – Region Office for Latin American and the Caribbean
- Van den Berg, Rogier – Urban Planning and Design Branch
- Westerberg, Pontus – External Relations Division

## Annex D: Rating of Performance by Evaluation Criteria

### Rating of Performance by Evaluation Criteria

To ensure standard rating of performance in UN-Habitat evaluation reports, the following five point scale from *'highly satisfactory'* to *'highly unsatisfactory'* is used by the Evaluation Unit.

Rating of performance applies to the evaluation criteria specified in the Terms of Reference of the intervention that is being evaluated. Key criteria used are: Relevance, Efficiency, Effectiveness, Sustainability and Impact.

**Table: Rating of performance**

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

Source: UN-Habitat Evaluation Unit 2015



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