

# ANNUAL PROGRESS REPORT 2017





ANNUAL  
PROGRESS  
REPORT  
**2017**

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# Table of Contents

Message from the Executive Director .....	7
Executive Summary .....	8
Institutional Highlights .....	9
Strengthening UN-Habitat Post-Habitat III .....	9
Progress and Results towards Achieving Sustainable Urbanization.....	13
Introduction.....	13
<b>Urban Land, Legislation and Governance .....</b>	<b>16</b>
UN-Habitat’s contribution to conflict resolution and addressing the humanitarian-development-peace nexus in Iraq.....	18
Urban law reforms for sustainable urbanization promoted in Egypt .....	23
<b>Planning and Designing of Cities and other Human Settlements.....</b>	<b>26</b>
Safe, inclusive and accessible public spaces promoted in Nairobi .....	28
Change of mindset by policymakers drives national urban policy reforms in Liberia .....	33
Helping cities in Southern Africa adapt to climate and energy challenges .....	36
<b>Local Economic Development and Municipal Finance .....</b>	<b>38</b>
Municipal funding improved through property tax for better basic services in Somalia .....	40
Urban youth labs - promoting youth-led development in Colombia.....	45
<b>Basic Services in Cities and other Human Settlements.....</b>	<b>46</b>
Resilient water and sanitation infrastructure promoted in Northern Ghana.....	48
Green energy and resource efficiency to reduce greenhouse gas emissions promoted in East Africa.....	52
<b>Housing and Slum Upgrading .....</b>	<b>56</b>
Transforming lives in slums through participatory slum upgrading in Cameroon .....	58
From policy to impact – UN-Habitat influences repositioning of housing at the centre in Mexico.....	60
<b>Risk Reduction and Rehabilitation .....</b>	<b>62</b>
Durable solutions for sustainable reconstruction promoted in post-conflict Sri Lanka.....	64
<b>Research and Capacity Development .....</b>	<b>70</b>
Strengthening capacities of national Governments and local authorities for evidence-based decision making for sustainable cities .....	72
<b>Integrated Programme.....</b>	<b>76</b>
Planning for sustainable cities in Haiti: The case of Canaan settlement.....	76
Mainstreaming the UN-Habitat cross-cutting issues: Climate change, gender equality, human rights, youth .....	80
<b>Executive Direction and Management.....</b>	<b>82</b>
<b>Finance, Audit and Evaluation .....</b>	<b>85</b>
<b>Financial Performance.....</b>	<b>85</b>
<b>UN-Habitat Audit Highlights .....</b>	<b>93</b>
<b>Evaluation Highlights in 2017.....</b>	<b>95</b>



## Message from the Executive Director



It is with pleasure that I present the UN-Habitat 2017 Annual Progress Report. The 2017 Report marks the fourth year of tracking and reporting on our progress in the implementation of our Strategic Plan (2014-2019). The 2017 Report reflects the work of UN-Habitat in the year immediately following the adoption of the New Urban Agenda, in a process ably led by my predecessor, Dr. Joan Clos.

In the New Urban Agenda, Member States reaffirmed the role and expertise of UN-Habitat, within its mandate, as a focal point on sustainable urbanization and human settlements, in collaboration with other United Nations System entities. It also strengthened the coordination mandate of UN-Habitat, as did the General Assembly Resolution A/Res/72/226 on Strengthening UN-Habitat in the seventy-second Session of the General Assembly. The focus of our work in 2017, and in the years to come, will be on the implementation of the New Urban Agenda, in the context of Agenda 2030 for Sustainable Development. Against this backdrop, I believe that the demand for the specialized technical expertise of UN-Habitat will continue to grow.

The work of UN-Habitat in 2017 also reflects the anticipated changes to come, following the announcement by the United Nations Secretary-General of his reform agenda, of the peace and security architecture, development system and management. The Secretary-General aims to simplify procedures and decentralize decisions, with greater transparency, efficiency, agility and accountability. Equally, UN-Habitat will need to respond to Member States' requests for support in a flexible, dynamic,

efficient and innovative manner. There is a strong call to focus on the practical implementation of the New Urban Agenda, using a further developed Action Framework for the Implementation of the New Urban Agenda as a starting point, and clearly articulating how this will help achieve the Sustainable Development Goals overall, with a focus on SDG 11. Achieving impact is a major priority and this 2017 annual progress report puts an emphasis on demonstrating the impact of UN-Habitat's work through selected result or transformation cases.

Looking forward, the year 2019 will mark the completion of UN-Habitat's 6-year strategic plan for 2014-2019. In 2018, UN-Habitat will begin preparing for its next strategic plan for the period 2020-2025, which will then be approved by its Governing Council in April 2019. In the wider context of the Secretary-General's reform, this year also marks an important opportunity for UN-Habitat – to emerge from the strengthening exercise as mandated by the General Assembly Resolution A/RES/72/226, as an agency that is financially and administratively fit for purpose with a strong governance structure agreed upon by member states, fully enabling the delivery of our mandate. The formulation of the next strategic plan will integrate lessons learned in the implementation of the current plan, as reflected in various assessments and evaluations. It will also take into account, within the mandate of UN-Habitat, the 2030 Agenda and its Sustainable Development Goals, the New Urban Agenda, the Addis Ababa Action Agenda, the Sendai Framework, the Paris Agreement, the New York Declaration for Refugees and Migrants and other global mandates.

**Ms. Maimunah Mohd Sharif**  
Under-Secretary-General and  
Executive Director, UN-Habitat

## Executive Summary

This is the fourth Annual Progress Report on the implementation of the six-year strategic plan (2014-2019). The annual report is meant to communicate, in a transparent and accountable manner, the impact of UN-Habitat's work as well as the use of resources by the Organization.

The report, which is also prepared in response to the Governing Council resolution 25/3 of April 2015, marks the end of the second of the three-consecutive biennial work programmes and budgets that implement the six-year strategic plan.

In response to feedback from a number of recent external evaluations and assessments on UN-Habitat, including the mid-term evaluation of the strategic plan of 2017, which have pointed out evidence of outputs achieved, but a lack of consistently or systematically documented outcome-level performance, a new format of reporting has been introduced for the 2017 annual report. The report puts emphasis on the results or outcomes that UN-Habitat is influencing at national and subnational levels. In this respect, the 2017 annual report presents cases that demonstrate, in concrete terms, the transformation catalyzed by the organization and its partners through its normative and operational work. It reflects UN-Habitat's expertise and convening power in view of supporting the achievement of cities and human settlements that are inclusive, resilient, sustainable, safe and prosperous for all.

Several of the cases selected for this report highlight UN-Habitat's use of integration approaches to sustainable urbanization as well as the implementation through participatory methods to foster buy-in by institutions and beneficiary groups, and the sustainability of the results achieved.

This report is based on inputs from UN-Habitat branches as well as regional and country offices working collaboratively in an integrated and transformative manner through the matrix system under the Programme Division. As with past annual reports, the reported performance is triangulated with desk reviews of UN-Habitat online materials and various donor and evaluation reports.

The 2017 annual report is structured in three main sections, as follows:

- Section one, *Institutional Highlights*, presents the on-going processes related to the strengthening of UN-Habitat as recommended in the New Urban Agenda; in this regard, the section presents the two parallel tracks for strengthening the organization, a UN-Habitat-led track; and the Member States-led track. The section also provides a summary of the Twenty Sixth Session of the Governing Council of UN-Habitat held from 8 to 12 May 2017 in Nairobi, as well as a presentation of the new Executive Director of UN-Habitat, Ms. Maimunah Mohd Sharif.
- Section two, *Progress and Results Towards Achieving Sustainable Urbanization*, reviews progress made on the implementation of the strategic plan. For each focus area: (i) specific challenges of urbanization and human settlements are highlighted along with UN-Habitat's corresponding response strategy. The countries where UN-Habitat had active programmes in 2017 by thematic area is presented on the annex; (ii) key achievements are presented; and (iii) progress on indicators of achievement for each expected accomplishment by the end of 2017 has been presented. For each focus area, a brief analysis has been provided and the graphic presentations show progress on every indicator for each expected accomplishment in relation to the baseline at the start of the strategic plan in 2013 and shows indicator values for each year till 2017; targets at the end of the current six-year strategic plan have also been provided for each indicator. The first page of each subprogramme chapter has a chart of the financial performance for earmarked activities. It shows the 2016-2017 work programme budget representing resource requirements for the biennium, income or resources mobilised for activities under the subprogramme, and expenditure representing level of implementation. This section finally presents selected cases that provide evidence of positive results from diverse initiatives in 18 countries around the world. The cases are meant to be not only informative but also inspirational. Each case tracks the journey from the situation or problem to the response of UN-Habitat and partners leading to the transformational changes at policy, institutions as well as at beneficiaries' levels.
- Section three, *Finance, Audit and Evaluation*, presents the financial performance of UN-Habitat for the year 2017, a highlight of audit activities and an overview of evaluations carried out in 2017 with examples on how evaluations are being used to inform decision making and improve performance in the organization. The section also includes the list of donors as well a table showing the countries that UN-Habitat was actively engaged in by thematic area in 2017 based on resource disbursement.



# Institutional Highlights

## Strengthening UN-Habitat Post-Habitat III

### Mandate and Work of UN-Habitat

In the New Urban Agenda, adopted by the United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in Quito in October 2016, Member States reaffirmed the role and expertise of UN-Habitat, within its mandate, as a focal point on sustainable urbanization and human settlements, including in the implementation, follow-up to and review of the New Urban Agenda, in collaboration with other United Nations system entities. This also strengthened the coordination mandate of UN-Habitat, as did the General Assembly Resolution on Strengthening UN-Habitat in the 72<sup>nd</sup> Session of the General Assembly.

UN-Habitat is currently active in over 76 countries around the world. It has a wide range of diverse projects, largely focused on integrated programming for sustainable urbanization. It includes, in this regard, crisis response through to post-disaster reconstruction. It operates in Least Developed Countries, Middle Income Countries, as well as High Income Countries in both rural and urban areas.

### Overview of the current situation

UN-Habitat implements its programme as a hybrid between its normative and operational work, and now an expanded coordination role. Recent assessments (e.g. MOPAN, OIOS) have observed that the Organization faces a number of challenges in implementing its operational work due to inadequate policies, procedures, systems and rules across all areas of business designed for voluntary funded, field focused development operations, especially in (i) procurement, (ii) human resources (staff and consultant); (iii) budget and financial management; and more broadly (iv) the Umoja system and its associated business processes.

While UN-Habitat has learnt to adapt to these issues over time, the direct and opportunity costs can be high, and some issues cannot be easily overcome. Moving forward from the New Urban Agenda, UN-Habitat will need to respond to requests for Income Acquired in 2017 (interim results) or support in a much more flexible, dynamic, efficient and innovative manner.

### Reform efforts to date

To address the challenges highlighted above, UN-Habitat has gone through substantive reform and reorganization over the past five years, with the following main reform paths:

- the adoption of a matrix management approach through which regional offices and branches jointly implement the seven thematic subprogrammes that form the work programme of the organization;
- the establishment of three divisions (Programme Division, Management and Operations Division and External Relations Division) to coordinate and support the delivery of the portfolio;
- the introduction of a project-based approach to support the growth of the portfolio;
- the development and promotion of a three-pronged approach to sustainable urbanization (i.e. urban legislation-urban planning-municipal finance);
- a strengthened approach to risk management; and
- The implementation of the IPSAS accounting standard, and the Umoja Enterprise Resource Planning System.

The reform process has led to efficiency gains while increasing UN-Habitat's portfolio output by providing services to Member States and cities. For example, non-staff costs in UN-Habitat's core budget have been halved since 2010, while staff costs have been reduced by some 40%. This notwithstanding, additional substantive and structural reforms are required to deliver the programme of work in an effective and efficient manner.

## The strengthening of UN-Habitat

The strengthening of UN-Habitat will need to follow two parallels but mutually reinforcing tracks: (i) a Secretary-General led and UN-Habitat-managed track; and (ii) a Member States-led track.

Member States decided to strengthen UN-Habitat in the New Urban Agenda in 2016. This was intended to significantly improve efficiency and effectiveness in UN-Habitat's support to the implementation of the New Urban Agenda and the 2030 Agenda. UN-Habitat needs an institutional architecture that is fit for purpose and that allows it to deliver quickly, efficiently and effectively on the ground, to meet clients' and donor needs. This should lead to a strengthened service delivery model, through a process of business transformation, given that the current business model is not adequate for field operations nor is it suitable for the hybrid operation linking the normative work of UN-Habitat with its work in the field on technical cooperation.

To achieve this institutional architecture and business transformation, a concerted effort is required by Member States, and the Secretary-General through UN-Habitat itself.

### The UN-Habitat-led track

The strengthening of UN-Habitat under this track has already started. It includes a number of key ongoing initiatives: (i) moving towards more coordinated programme development; (ii) strengthening of the operating and service delivery model; (iii) defining a more integrated programme framework in response to the New Urban Agenda; (iv) transforming service provider relationships, performance and accountability; (v) Umoja extension II, bringing donor, project management, budgeting, supply chain and implementing partners functionality; (vi) information management and analytics; (vii) results measurement and reporting; and (viii) partnerships, engagement and communication.

### Member states and the strengthening of UN-Habitat

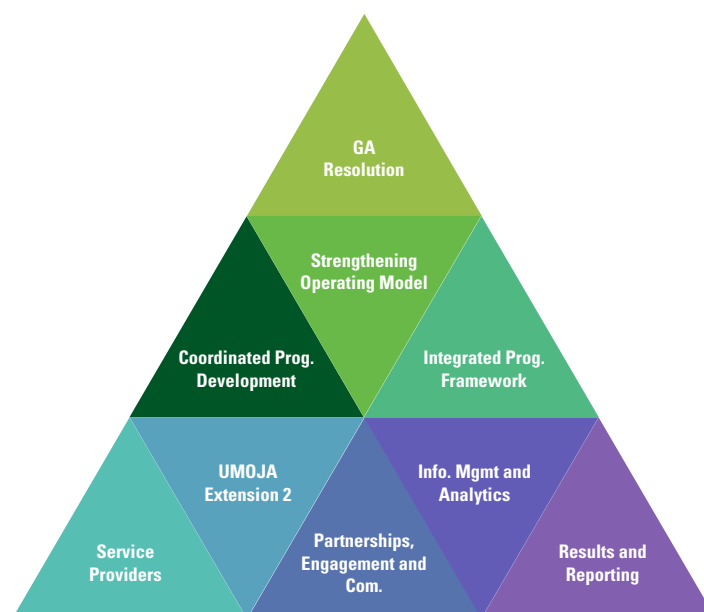
A path to a strengthened institutional structure proposed for the consideration by the Member States includes the following elements: (i) granting UN-Habitat composite entity status, institutionally positioning UN-Habitat between the status of

the Secretariat and UN funds and programmes; (ii) full Delegation of Authority to the Executive Director; (iii) allowing field- and project-focused policies and rules that facilitate timely and cost-effective support to Member States; (iv) integrated budget, including an institutional component agreed on as a requirement by member states, who in turn would commit to financing it at the level approved; (v) consider providing UN-Habitat with its Regular Budget contributions through a grant modality; and (vi) enhanced oversight and accountability.

If Member States made these decisions UN-Habitat would undertake the following:

- (a) Update the current financial rules of UN-Habitat, leading to simplification, a reduction in the number of categories of funds from five to three, and develop policies to support project work in the field.
- (b) Establish a project modality for project personnel, ensuring proper compensation, benefits and personnel rights, and suitably flexible for project / field work.

**Figure 1:** UN-Habitat led track for strengthening the organization



Source: UN-Habitat 2017

- (c) Establish a clearer results framework for staff, with a view to increasing flexibility in the use of staffing resources in support of the strategic plan.
- (d) Define a new procurement framework similar to that of UNDP and UNOPS, to be implemented either by UN-Habitat directly or service providers.
- (e) Institute a consultant and individual contractor framework aligned towards the needs of the programme.
- (f) Based on the above, conduct a fundamental review of all business processes, with a view of significantly reducing complexity (freed from steps and requirements of the Secretariat).
- (g) Establish the 'new operating framework' as a basis of UN-Habitat's engagement with the Secretary-General's proposed regional service centers and UNON, sign Service Level Agreements with agreed Key Performance Indicators.

These measures would require a significantly enhanced governance and oversight framework, allowing Member States to approve major policies, hold UN-Habitat to account for performance, drive resourcing, and to be sufficiently robust to allow for the requisite level of trust needed for the increased flexibility and simplification of processes and work.

## Twenty sixth Session of The Governing Council, 8 - 12 May 2017

The twenty-sixth session of the Governing Council (GC26) of the United Nations Human Settlements Programme was held at the headquarters of UN-Habitat in Nairobi from 8 to 12 May 2017. The twenty-sixth session of the Governing Council marked the first formal gathering of member States and other relevant stakeholders after the adoption of the New Urban Agenda at the United Nations Conference on Housing and Sustainable Urban Development (Habitat III), which was

held in Quito from 17 to 20 October 2016.

The special theme for GC26 was "Opportunities for the effective implementation of the New Urban Agenda", while the sub-themes for the session were: "Towards inclusive, sustainable and adequate housing for a better future" (sub-theme 1); "Synergies and financing for sustainable urbanization" (sub-theme 2); and "Integrated human settlements planning for sustainable urbanization" (sub-theme 3).

In addition, the Governing Council also discussed the following issues:

- (a) The activities of UN-Habitat, including coordination matters;
- (b) The work programme and budget of UN-Habitat for the biennium 2018–2019;
- (c) The special theme for the twenty-sixth session of the Governing Council;
- (d) Review of the outcomes of Habitat III.

GC26 was attended by forty-six States members of the Governing Council, forty-eight States not members of the Governing Council, two observers, fourteen United Nations bodies and specialized agencies and five intergovernmental organizations.

At its twenty-sixth session, the Governing Council adopted the following nine resolutions to further guide the work of the UN-Habitat:

- 26/1: United Nations Human Settlements Programme governance reform and extension of the mandate of the working group on programme and budget;
- 26/2: Enhancing the role of UN-Habitat in urban crisis response;
- 26/3: Revised strategic plan for 2014–2019 and work programme and budget of the United Nations Human Settlements Programme for the biennium 2018–2019;
- 26/4: Promoting safety in cities and human settlements

- 26/5: Regional technical support on sustainable housing and urban development by regional consultative structures;
- 26/6: World Urban Forum;
- 26/7: Accreditation;
- 26/8: Promoting the effective implementation, follow-up to and review of the New Urban Agenda;
- 26/9: Human settlements development in the Occupied Palestinian Territory.

## A new Executive Director for UN-Habitat

Following an election by the General Assembly on 22 December 2017 the Secretary General appointed Ms. Maimunah Mohd Sharif (Malaysia) as the Executive Director of UN-Habitat. She succeeds Dr. Joan Clos of Spain. Ms. Maimunah Mohd Sharif reported to UN-Habitat on 21 January 2018.

Prior to this appointment, Ms. Sharif was the Mayor of the City Council of Penang Island, Malaysia. In 2011, she was the first woman to be appointed president of the Municipal Council of Seberang Perai. As mayor of a local authority, she led the Municipal Council of Seberang Perai to achieve its vision of a "cleaner, greener, safer and healthier place to work, live, invest and play." She is a champion of Gender Responsive Participatory Budgeting and Gender Responsive Participatory Planning, integrating gender perspectives into the governance process as a means of mainstreaming gender into budgetary and development policy and planning. During her tenure, the Municipal Council of Seberang Perai was the first Local Authority to implement and achieve six quality-based management ISO certifications.





Ms. Sharif began her career as a Town Planner at the Municipal Council of Penang Island in 1985. In 2003, she was promoted to Director of Planning and Development, a position she held until November 2009. As Director, she was responsible for the preparation of structure and local plans, and was directly involved in development control of Penang City projects and landscape development. She also led a team for the planning and implementation of the Urban Renewal Projects in George Town. In November 2009, she was entrusted as the first General Manager to establish George Town World Heritage Incorporated and manage the George Town World Heritage Site, which was inscribed by UNESCO in July 2008.

Born in Kuala Pilah, Negeri Sembilan, Malaysia, on 26 August 1961, Ms. Sharif holds a Bachelor of Science with Honours in Town Planning Studies from the University of Wales Institutes of Science and Technology, the United Kingdom, and a Master of Science in Planning Studies from the Malaysia Science University. She has received a number of awards, among others by the Penang State Government and International Organisations, such as “Planner of The Year 2014” by the Malaysian Institute of Planners as well as the 2016 Global Human Settlements Outstanding Contribution Award during Habitat III in Quito, for her contribution in sustainable planning in Seberang Perai. On 11 January 2018, she received a recognition award from the Malaysia Book of Records for being the first Asian woman to be appointed as Executive Director of UN-Habitat.

Top Image: UN-Habitat Executive Director Ms. Maimunah Mohd Sarif on a meet the people tour of Mathare in Nairobi, Kenya  
© Julius Mwelu/UN-Habitat

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# Progress and Results towards Achieving Sustainable Urbanization

## Introduction

UN-Habitat's annual progress report 2017 presents the results achieved up to the end of 2017 in the context of the implementation of the 2014-2019 strategic plan. The organization's six-year strategic plan was revised in 2016 to take into account the New Urban Agenda adopted in Quito in October 2016 as well as lessons learned in the implementation of the plan. The revision of the plan also took into account, within the mandate of UN-Habitat, the 2030 Agenda and the Sustainable Development Goals, the Addis Ababa Action Agenda, the Sendai Framework, the Paris Agreement and the New York Declaration for Refugees and Migrants. In this respect, the results achieved by UN-Habitat fully contribute to the implementation of these global frameworks.

UN-Habitat's achievements through the six-year strategic plan reflect the focus of the organization on all levels of human settlement, from small rural communities, villages and market towns to intermediate cities and metropolises globally. In addition, UN-Habitat strives to achieve transformational results through collaboration with several partners, including national governments, local authorities, United Nations agencies and other Habitat Agenda partners, with financial support from development partners.

UN-Habitat implements its programme of work by strongly integrating the normative and operational aspects of its work. This hybrid approach is one of the key comparative advantages of UN-Habitat. Its normative work drives the development of its programme and the formulation of projects. The results of the operational work of

the programme are systematically captured, and the knowledge gained informs the normative work of UN-Habitat. The delivery of the UN-Habitat programme of work at the regional and country levels is largely led by the regional offices, in full accordance with national priorities and the United Nations Development Assistance Framework.

UN-Habitat has recorded a growth in country level activities in response to Member States and donors' demand. In this regard, by 31<sup>st</sup> December 2017, the agency had an active portfolio of USD 521 million and more than 451 projects located in different regions of the world, with 48 a of projects located in Africa and Asia Pacific, with noticeable results.

### As a result of UN-Habitat's work:

**About 2 million people** are benefiting from improved access to water and sanitation.

**4 million slum dwellers** have been positively impacted by participatory slum upgrading interventions.

**Over 500,000 people** are enjoying safety and access to 40 public spaces upgraded in 12 countries in the last two years.

**25,000 people** have access to sustainable energy supply.

**Over 500,000 people** in 9 countries have been impacted by work in humanitarian response and reconstruction sector, including through the participatory "people's process".

The rapidly increasing dominance of cities as the habitat of humankind places the process of urbanization among the most significant global trends of the twenty-first century. Sustainable urbanization is now accepted as a positive and broader force that can help the world overcome some of its major global challenges, such as climate change, poverty and inequality. To further support Member States in dealing with the challenges of a rapidly urbanizing world, UN-Habitat continues to offer practical knowledge and policy advice on sustainable urbanization issues.

## As a result of UN-Habitat's work:

### More than 400 cities

are now implementing the City Prosperity Initiative.

### 52 national statistical offices

are producing urban data and indicators to support reporting on the Sustainable Development Goals.

### 375 local governments and 25 national governments

used UN-Habitat flagship publications and best practice data bases in policy formulation.

### 53 cities in 30 countries

have benefited from state of the art planning and design solutions by the Planning and Design Lab.

### More than 5000 users

have access to urban legislation databases.

UN-Habitat will continue to combine practical knowledge, policy advice, technical assistance and collaborative action to support governments at all levels and other stakeholders to achieve sustainable urbanization.







UN-Habitat and Kenya County Urban  
Planning officials training workshop.  
© Baraka Mweu/UN-Habitat

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# Urban Land, Legislation and Governance

Many developing countries lack effective and gender-sensitive urban land development mechanisms, legislative frameworks and governance institutions and systems. Without these, there can be no effective urban planning, economic growth and development. In addition, urban legislation in many countries is not appropriate because it is not effective in supporting the development of inclusive, safe, resilient and sustainable cities as a result of not ensuring equal opportunity or reducing inequalities of outcome or establishing effective, accountable and transparent institutions. Furthermore, in many countries, both developed and developing, existing urban governance models are inappropriate for urban centres that have grown beyond their boundaries and coalesced into large metropolitan regions.

To address these inefficiencies, UN-Habitat provides policy and operational support for governments and cities

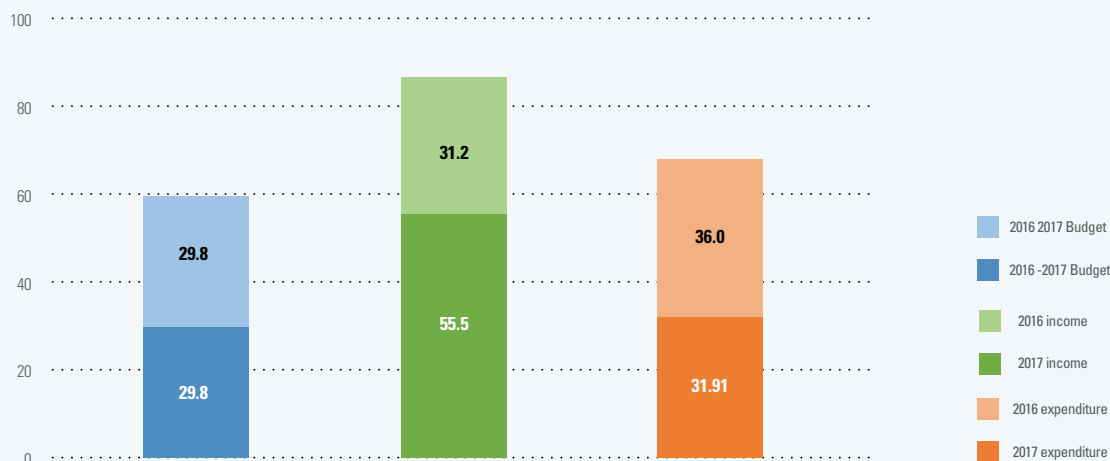
to identify areas of reforms and to adopt laws and legal frameworks that effectively regulate urbanization issues such as land use, urban planning, taxation, housing, infrastructure and safety. The legal frameworks establish the shape and structure of urban areas and determine the rights, roles and responsibilities involved in decision-making in urban areas, including those affected. Building on the experience of the Global Land Tool Network and in partnership with local government organizations, UN-Habitat addresses existing urban land problems as requested by member States. The land management systems and tools used are built on the principle of security of tenure for all to ensure equal opportunity and reduces inequalities of outcome. Efficient and open governance is promoted in local governments who are the principal municipal decision makers and service providers.

## KEY ACHIEVEMENTS

The following key milestones had been achieved by the end of 2017:

- UN-Habitat has provided support for 30 legal reform processes, including reforms in laws affecting housing, land and property rights in Afghanistan; planning and development laws in Cameroon; and legal and institutional frameworks for spatial planning in Haiti.
- The Urbanlex platform serves as a database of excellence and a major reference point on urban legislation. It currently contains over 600 legal instruments with a further 4000 accessible through FAOLEX.
- Through the Global Land and Tool Network, over 2,300 households have received occupancy certificates, improving their security of tenure and conflict resolution related to land and property mainly in Democratic Republic of Congo, Iraq, Kenya and Zambia.

**Figure 2:** Urban Land, Legislation and Governance 2016 - 2017 budget, income and expenditure in USD millions

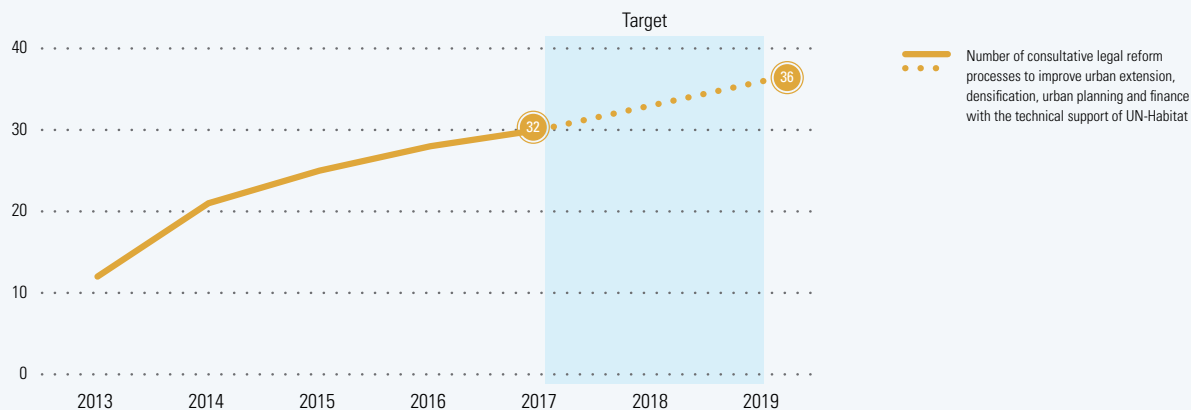




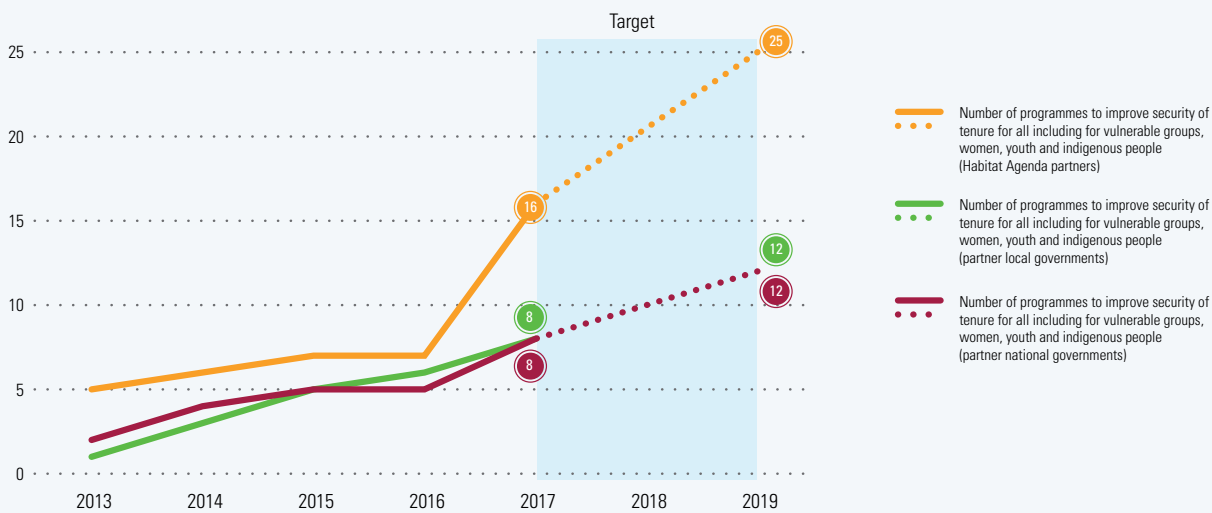
**Progress on expected accomplishments in strategic plan**

All nine indicator targets for 2017 for the three expected accomplishments have been successfully achieved. Targets for the nine indicators for 2019 are also likely to be achieved, because of increasing recognition of the issues addressed and interest of national and local government authorities and partners engaged in the localization of the SDGs and the New Urban Agenda implementation.

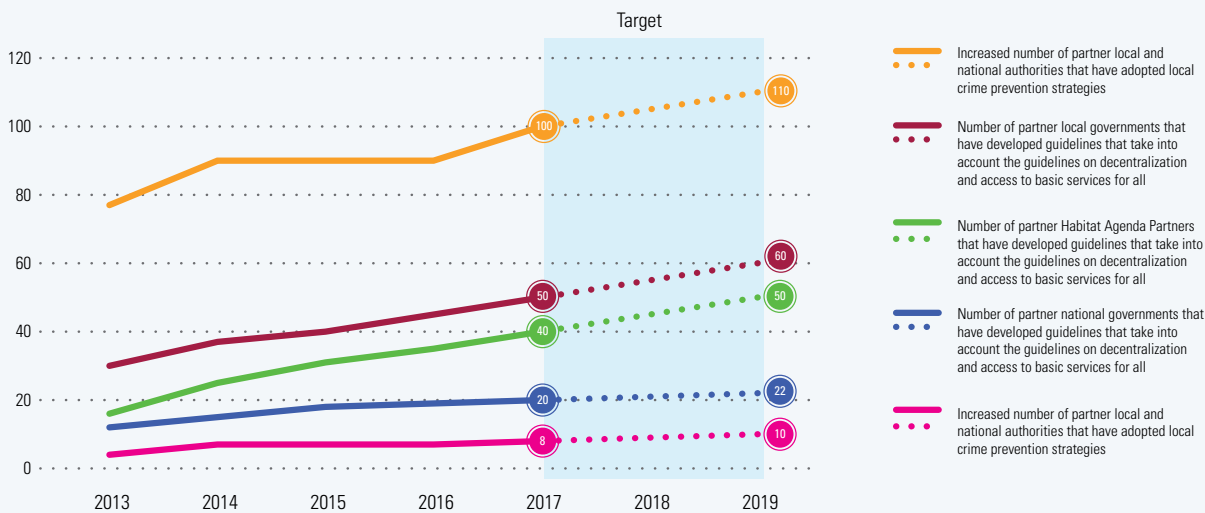
**E.A 1.1: Increased capacity of local and national governments and other Habitat Agenda Partners to implement urban legislation in the areas of urban extension, densification, planning and finance**



**E.A 1.2: Increased capacity of partner local and national governments and other Habitat Agenda partners to implement programmes that improve security of tenure for all, including for vulnerable groups, women, youth and indigenous people**



**E.A 1.3: Increased capacity of partner local and national governments and other Habitat Agenda partners to develop and adopt or adapt policies, plans and strategies that strengthen decentralized governance and inclusive urban management and safety**





## UN-Habitat's contribution to conflict resolution and addressing the humanitarian-development-peace nexus in Iraq

### Introduction

UN-Habitat is contributing to conflict resolution, development, peace, and humanitarian work in Iraq. Efforts by UN-Habitat and its partners to support resolution of land related conflicts affecting the Yazidi in Northern Iraq demonstrates the effectiveness of the social tenure domain model, a land tool developed through the Global Land Tool Network.

### The Situation

#### Land rights of Yazidis before the invasion by the Islamic State of Iraq and the Levant Group (ISIL/Da'esh)

A study conducted by UN-Habitat in 2015<sup>1</sup> found that the Yazidi who are inhabitants of the Sinjar District in Iraq, have been victims of discrimination, including the

denial of access to ancestral land, and proof of ownership, for years. There is no security of tenure for Yazidis. In the 1970s, large Yazidi populations were forced to relocate to collective townships, and many land claims from that period remain unresolved. There are also no cadaster delineating property claims, and the capacity of local authorities to process land cases is limited.

#### Sinjar under ISIL/Da'esh

The escalation of violence across Iraq since 2014 resulted in the displacement of 3,300,000 people, with the Yazidis being one of the largest groups of Internally Displaced Persons (IDPs). Following the invasion of Sinjar by ISIL/Da'esh in 2014, an estimated 250,000 Yazidis were forced to abandon their homes. Unoccupied Yazidi settlements were systematically demolished or seized by ISIL/Da'esh fighters. Some 6,000 homes were burned

<sup>1</sup> <https://unhabitat.org/emerging-land-tenure-issues-among-displaced-yazidis-from-sinjar-iraq/>

down or otherwise destroyed in Sinjar District. Most health facilities, schools, water and power supply plants, as well cultural heritage buildings were damaged or looted.

Thousands of women and girls were forcefully taken as slaves or wives by ISIL/Da'esh, and many of the survivors are traumatized by the cruelty of the abuse they suffered. As Yazidi women have no rights of inheritance, land and other property is generally divided between male survivors.

Naam, a Yazidi IDP, living in a tent speaking with UN-Habitat community mobiliser staff.  
© UN-Habitat



## The Response

The goal of UN-Habitat's intervention was to contribute to the voluntary, safe and dignified return and sustainable reintegration of Yazidis who had been the victims of ethnic and religious violence in the Sinuni Sub-district of Sinjar Province. The multi-dimensional approach used includes providing emergency relief supplies such as water; construction of sanitation and health facilities; provision of emergency shelter for IDPs; and building the capacities of local and national authorities in planning and managing urbanization. This work is aligned with Sustainable Development Goal 11 and other Sustainable Development Goals (SDG) with urban dimensions as well as the New Urban Agenda on housing and sustainable urban development. UN-Habitat's intervention in this area was funded by the German Government and supported by the UNDP's Iraq Crisis Response and Resilience Programme, and the Global Land Tool Network.

To facilitate the return of displaced people, the immediate priority was to rehabilitate damaged houses, map property claims and deliver land documents. Strong emphasis was placed on protecting the rights of all to adequate housing, with particular attention to the rights of women and security of tenure as essential pillars for building functional and resilient communities.

### Mapping property claims and delivering land documents

The Social Tenure Domain Model, the main tool being employed in addressing the tenure security issues affecting returnees in Sinjar, is based on the continuum of land rights, and is about people and social tenure relationships, whereas traditional systems are concerned with land titling. The tool is employed to facilitate recognition of informal rights and claims without an operating official land administration system and where tenure is informal.

Application of the model allows for management of informal and alternative tenure documents as well as administrative and spatial data. It facilitates recording of the history of parcels, locates boundaries of plots on satellite maps, and generates reports and certificates.

A participatory and transparent process was used in community mobilization, vulnerability assessment, determination of alternative property documentation, preliminary evaluation of damaged houses, and mapping and verification of property claims. This provided a clear understanding of the current situation on land rights, and addressed the absence of official property documents in Sinuni.



The training and briefing of community members and local authorities on the Social Tenure Domain Model approach enabled all stakeholders to reach consensus on what informal and alternative documents could be used to prove occupancy rights. Families with damaged houses were identified and choice of beneficiaries was based on rigorous assessment of potential beneficiaries' vulnerability.

The survey on alternative property documentation was carried out with the participation of community members and local authorities. Local government officials played a central role throughout the project to ensure that stakeholders collectively addressed the absence of official property documents. UN-Habitat emphasized working with, and providing hands-on training to local leaders on land rights, including management of property-related grievances and development of common criteria for the issuance of certificates.

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**562 home owners issued with occupancy certificates**

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**562 homes rehabilitated benefitting 4,093 people**

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"I am the Mukhtar of the village of East Ashti and my house was taken over by ISIS as a base. My house was damaged partly because ISIS fought from inside my house.... despite this damage we decided to come back to our house, but we did not have enough money to repair the damage. A few months after we came back UN-Habitat came to our village and they chose my house beside others in the village to be rehabilitated. This was so helpful since all of us had lost everything when ISIS attacked Sinjar in August 2014 and most of the people in the village could not rehabilitate their houses on their own. UN-Habitat was the reason behind hundreds of families returning to their villages in Sinuni. They were saying that there was nothing worth coming back for, but after UN-Habitat started to work in the area and rehabilitated houses their minds have changed".

**Khalaf Charoot Qasim is a local government leader in the Yazidi community and was displaced in the ISIS invasion**

Local contractors were employed to rehabilitate damaged houses with direct involvement of returnees as workers, ensuring their inclusion across the project cycle, and that they received much-needed income. UN-Habitat engineers worked with local authorities to raise awareness on minimum construction standards and good housing rehabilitation practices. A total of four hundred and seventy-five members of the community were involved in the reconstruction.

Bottom Image: Occupancy Certificate.  
© UN-Habitat

Local authorities and beneficiaries validated rehabilitation of buildings and quality of work. Due to insecurity and the political and humanitarian situation in Sinjar, it was essential to coordinate with government counterparts as well as security organs. Local authorities supervised the rebuilding and were crucial in signing the certificates. The Mukhtars and Sinuni Mayor signed the occupancy certificates with the owners. Financial support for the project was provided by UNDP and UN-Habitat/Global Land Tool Network.



## Progress and Results

### Enhanced Security of Tenure, right to housing have been enhanced

The right to property and adequate housing has been enhanced through the rehabilitation of damaged houses for occupation by returnees and issuance of occupancy certificates. The ongoing work among the Yazidi returnees in Sinjar Province is fostering voluntary, safe and dignified return of displaced families to their ancestral homes, and creating mechanisms to prevent future evictions, secondary occupation, and conflict over land. The rehabilitation of 562 homes in 11 villages across Sinuni sub-district has been completed, supporting 4,093 returnees in the first phase of the project. Occupancy certificates have been issued to 562 owners of rehabilitated houses.

The land rights of Yazidis were enhanced through the issuance of certificates of occupancy and mapping of plots. Securing occupancy rights for beneficiaries is a first step towards establishing full property titles. The issuance of certificates will protect occupancy right of beneficiaries over the long term. UN-Habitat has secured an agreement from the Ministry of Justice that the occupancy certificates issued to returnees will be the basis for recognition of property ownership in the area and subsequent issuance of full property rights documents.

### Capacity to resolve disputes enhances peace building efforts

Implementation of the Social Land Tenure Domain Model has contributed to mitigation of land-related conflict by ensuring that returnees were the real owners of the houses they were claiming, and that their claims were officially recognized by local authorities. This helps to prevent land grabbing, forced eviction, and secondary and unlawful occupation. The recognition by local authorities and beneficiaries of the validity of the claims and occupancy rights will also help to ease tensions in cases where claims overlap.



“Before I was involved in this project, my children were asking where we were going to stay if we came back to the village and that hurt me because I did not have an answer for that question. But now I have the answer because UN-Habitat renovated our house.”

**Sulaiman Murad Melko is a father of four children from Dugrey village in Sinuni. His house was burned down by Daesh fighters and he was forced to flee with his family. He had no money and no job prospects so there was no hope of rebuilding his home.**

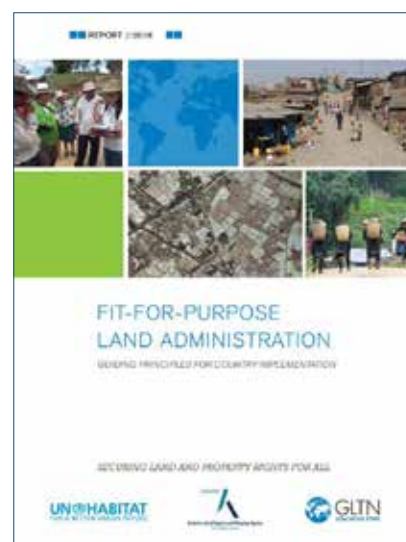
Capacity of the municipalities and Mukhtars has been strengthened and they are now able to mediate property-related grievances, reject unsubstantiated claims, and arbitrate disputes involving overlapping claim.

Sulaiman Murad Melko is a father of four children from Dugrey village in Sinuni. His house was burned down by Daesh fighters and he was forced to flee with his family. He had no money and no job prospects so there was no hope of rebuilding his home.

### Durable solutions and protection of human rights for sustainable development promoted

Rehabilitation of houses and protection of tenure rights are essential for ensuring a durable return of displaced people and protecting them from further displacement and forced eviction. Returnees who have reclaimed these rights are now able to rebuild their lives and engage in nation building. The inclusion of private businesses and beneficiaries in the rehabilitation process supported recovery of the local economy, created employment opportunities, and offered on-the-job skills training for returnees, preventing future displacement due to economic insecurity.

The Social Tenure Domain Model has helped local authorities to develop criteria for asserting occupancy, reject unsubstantiated claims, and arbitrate in cases of overlapping claims. It is also enabling them to advocate for the social tenure approach as a way of addressing lack of land titles in Sinjar vis-à-vis the regional and national authorities. The occupancy certificates and satellite maps received by beneficiaries support their claims on properties and houses. These maps and administrative data will form part of the cadaster and land registry at the municipal level and reinforce the local administration of land.





Top Left Image: Before (damaged house).  
Top Right Image: After (Rehabilitated house).

© UN-Habitat

## Next Steps

As the project progresses, additional support and funding should be mobilized to scale up the interventions into the southern parts of Sinjar district which were liberated from ISIL/Daesh at the end of 2017. Priority should be given to building the capacity of government officials in land administration to facilitate creation of registries and cadasters, transfer of the social tenure domain model database to government management, and improvement in turn-around time for determination and validation of individual cases.

Certificates of occupancy should eventually be upgraded to certificates of ownership and be recognized by local and national authorities through the newly approved protocol with the Ministry of Justice. As few women forwarded their names as house owners, more work is required to address the lacuna in the laws and practices that govern inheritance in Iraq to foster greater gender parity.

# Urban law reforms for sustainable urbanization promoted in Egypt

## Introduction

Outdated, complex, rigid and ineffective urban legislation that does not reflect reality nor recognize and preserve innovation of the informal sector fail to address current and future challenges facing cities and discourages development, forcing citizens and officials to resort to informal and often corrupt means of accessing basic services.

For sustainable urban development to be achieved, urban legislation must be enforced, not just enacted. It should set out clear, unambiguous, comprehensive, reliable and well-circumscribed rules that make implementation of urban legislation easy and inexpensive in the long term.

## The Situation

UN-Habitat has identified gaps in the institutional, planning, and land management laws in Egypt, giving rise to the need to strengthen the following legal frameworks:

- Land management system:** The absence of an integrated land information system has resulted in an incomplete and incomprehensive registry, giving rise to widespread informal occupancy and general disregard for existing legal frameworks. The highly fragmented legal framework for land management included some 40 often overlapping, and sometimes conflicting and vaguely worded laws and decrees. Official land registration was not obligatory and senior officials and legal experts at the Survey Authority and the Real Estate Publicity Department have confirmed that over 90 per cent of real estate in Egypt was not registered.
- Land use planning:** Building law in Egypt required local urban planning offices to develop detailed plans for cities and villages but owing to funding and staffing constraints, only ten out of 228 cities have so far managed to do so. Moreover, several land use planning entities had overlapping mandates and thus could not fulfill their roles in the planning system.
- Public space:** The laws were drafted in an unclear way, leaving interpretation to the discretion of public officers, and providing no clear mechanisms for creation of public spaces and street networks for urban expansion. The result was that nearly all expansion areas were informally built without public space.
- Building codes:** The national building code did not allow for local adaptation, nor take into consideration energy and resource efficiency.
- Development rights:** Development was hindered by inconsistency in policies and laws relating to vertical versus horizontal expansion; lack of regulations on building potentials in urban plans; use of development rights limited to a building permit and an administrative fee; and building regulations which were rarely enforced
- Plots and blocks:** - Laws relating to detailed plans of expansion areas and land or plot readjustment were difficult to use as they were ambiguous; plot subdivision and plot consolidation were lengthy and costly processes.

## The Response

The participatory approach adopted throughout the project brought together key stakeholders whose input was critical in effectively addressing pressing urban legislation issues by identifying underlying challenges and proposing practical solutions. It ensured there was continuous dialogue, consultation, and stakeholder training, as well as capacity building workshops at the local, subnational, and national levels, thereby enhancing overall capacity, and institutionalizing a synchronized planning hierarchy and organizational structure for more effective implementing of plans from local to national level. Support was also provided for lawmakers to draft relevant and effective laws, taking into account unique circumstances at different levels.



### Creation of planning law reform committees

Interventions by UN-Habitat have resulted in the creation of four new planning law reform committees mandated to implement legal reforms at various levels as follows:

- **The New Planning Law Committee:** formed by the Minister of Planning to draft the new Planning Laws
- **The Regional Planning Committee:** engaged in decentralizing planning reform to the local level
- **The Economic Development and Institutional Reform Committee:** also formed by the Minister of Planning to reform the legal framework governing economic regions
- **The Local Administration Law Committee:** to present housing and planning inputs to the proposed new Local Administration Law.

## Progress and Results

### Transformation of urban law

Over a two-year period, from 2014 to 2016, significant changes were achieved in transforming the following four key urban laws:

- **Building Law No. 119 of 2008** which governs land use, land subdivision, and development of land.
- **A new Planning Law** was drafted to replace the outdated law No. 70 of 1973. The new law includes land value sharing instruments such as the betterment levy which helps to generate municipal revenue for planning.
- The Government of Egypt approved a **Unified Planning Law** in December 2017.
- The Ministry of Housing developed a **law for urban**

### Land readjustment in Banha

A land readjustment program was piloted in Banha, whereby the local government, supported by UN-Habitat, managed to apply the developer taxation of 30 per cent of the land to implement a street network as per the new law. Landowners submitted portions of their land for municipal planning in exchange for formalized building permits and increased development. This helped to increase the value of both land and property. The project reached a remarkable 98 per cent consensus among the landowners, as a result of clear channels of communication between lawmakers and constituents.

The project greatly contributed to a holistic understanding of the problems associated with the Egyptian legal framework, and an examination of alternative policy options. The processes used fed into each other and were an important step for 'changing mindsets,' as one interviewee noted. The land readjustment work in Banha was considered a "win-win", as one landowner noted it is "good for them, good for the city and good for the government".

This "win-win" mentality between urban communities and the local governments typifies UN-Habitat's pro-poor and participatory approach to sustainable urbanization. The review of the Egyptian legal framework and the identification of urban redevelopment and densification best practices in Egypt created a momentum for change in the country.

**expansion** areas combining land readjustment with land value sharing as tools for mitigating unplanned urban sprawl and settlements. The law, which clarifies the application of developer exaction in relation to the provision of amenities and infrastructure has been approved by Parliament. This law was piloted in Banha.

- Legal reforms achieved have contributed to improved land-based financing and taxation mechanisms for revenue generation. This includes levies charged on developer exactions, betterment charges, and special assessments. Inclusive planning and land management were strongly linked with improved financial capacity of local governments.
- Knowledge was generated relating to legal avenues for addressing the issues that had been identified, among them real estate registration and cadaster mapping; regularizing land and securing tenure for residents regardless of 'formal' land ownership status; and

decentralization of financial systems for improving municipal revenue generation. Structurally, a new level of awareness was created about the barriers that exist between relevant sectors including local and central government and sector ministries.

### Next Steps

Change is necessary to ensure that the increased revenue generated by implementing new laws is not transferred to the national treasury but retained by local authorities and reinvested in improving service delivery.

Outcomes of the pilot project in Banha and lessons learned from the broader legal analysis have resulted in replication of the pilot in four projects funded by the Government of Switzerland, with another pilot project in Qalyoub City within Greater Cairo. The Governorate of Cairo has further requested UN-Habitat to explore potential sites for nine additional projects.





Historical Khan El-Khalili Souq  
marketplace in Cairo, Egypt..  
© Shutterstock



# Planning and Designing of Cities and other Human Settlements

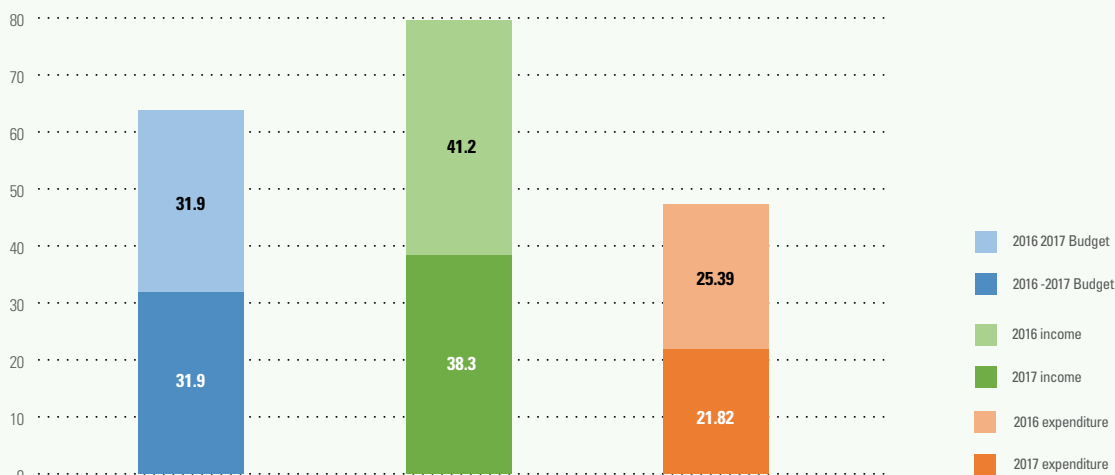
Many cities are currently facing serious challenges of ineffective development control systems, informal and often chaotic peri-urban expansion, a proliferation of informal housing and livelihood activities, poor connectivity, traffic congestion and energy inefficiency, among other things. Housing affordability and social integration are declining, while the reach of urban planning as a tool to guide urban development and expansion has diminished over the past 25 years. Cities are increasingly facing environmental challenges, including how to curb rising greenhouse gas emissions and the increasing impacts of anthropogenic climate change.

To address these challenges, UN-Habitat's work in urban planning and design supports countries to improve policies, plans and designs for more compact, socially inclusive, safe, integrated, connected, climate change resilient cities. Governments at all levels are equipped to manage rapid growth and improve sustainability, efficiency and equity of cities and other human settlements using tested approaches, guidelines and tools for better planning and design. UN-Habitat also focuses on how urban planning and design can enhance climate change mitigation and adaptation action, optimize population density and economic density of urban settlements, mixed land use, diversity, connectivity, to increase urban value and productivity, and equitable access to basic services.

## KEY ACHIEVEMENTS

- In the last five years, UN-Habitat has supported 39 national and sub-national governments in development, implementation and monitoring of national urban policies promoting inclusive and participatory approaches towards sustainable urbanization.
- Through the Planning and Design Lab, UN-Habitat has responded to the request of 53 cities in 30 countries for support in sustainable urban planning, including 20 Planned City Extensions and 23 Citywide Strategies.
- UN-Habitat has supported 22 partner cities and ten national authorities which have adopted policies, plans, strategies and indicators for climate change mitigation and adaptation, using tools such as the urban planning toolkit for the New Urban Agenda.
- Through the Global Programme on Public Space, over 500,000 people are enjoying safety and access to 40 public spaces upgraded in 12 countries in the last two years.

**Figure 3:** Urban Planning and Design 2016 - 2017 budget, income and expenditure in USD millions

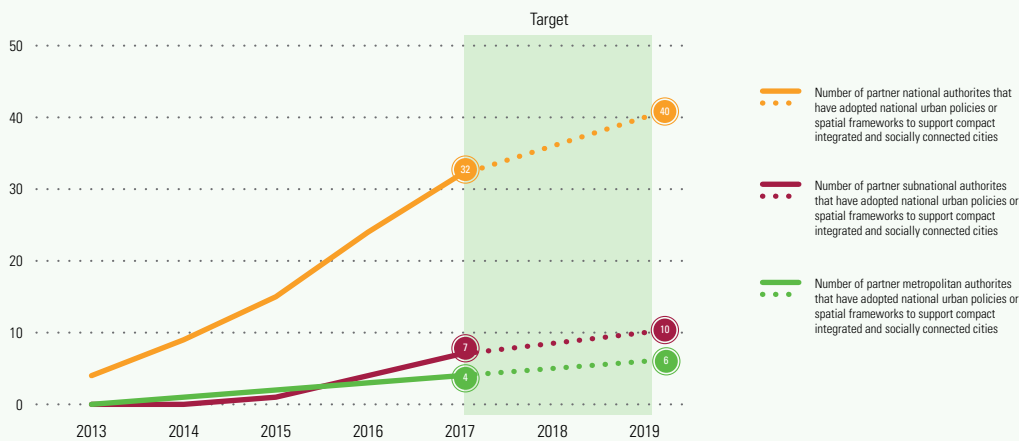


**Progress on expected accomplishments in strategic plan**

All seven targets set for 2017 under the three expected accomplishments were achieved. This steady progress is largely due to the adoption of the New Urban Agenda in late 2016 with its clear mandate on urban and territorial planning clearly which helped to accelerate progress in 2017 and this trend is expected to continue to the end of the strategic plan in 2019. By the end of 2017, UN-Habitat was supporting almost 40 countries in the development and implementation of National Urban Policy related processes (expected accomplishment 2.1). Sub-national urban policy programmes were also initiated in Mexico (Senola), Nigeria (Niger State) and Tanzania (Zanzibar). The MetroHUB initiative has matured and now been pilot-tested in Uganda (Arua) and Colombia (Bucaramanga).

For expected accomplishment 2.2, by the end of 2017, 51 partner cities (against target of 50) had adopted policies, plans or designs for compact, connected, integrated, and socially inclusive cities or neighbourhoods. For expected accomplishment 2.3, all its targets for 2017 were also achieved. Countries supported in 2017 included the Government of the Philippines in mainstreaming climate change within its National Urban Development and Housing Framework and through the Myanmar Climate Change Alliance, the agency assisted two pilot townships to develop local adaptation and resilience plans.

**E.A 2.1: Improved national urban policies and spatial frameworks for compact, integrated and connected cities adopted by partner metropolitan, regional and national authorities**



**E.A 2.2: Improved policies, plans and designs for compact, integrated and connected cities and neighbourhoods adopted by partner cities**



**E.A 2.3: Improved policies, plans and strategies that contribute to the mitigation of and adaptation to climate change adopted by partner city, regional and national authorities**





## Safe, inclusive and accessible public spaces promoted in Nairobi

### The Situation

Well designed and well managed public spaces enhance community cohesion and civic identity and support the levels of urban density required for environmentally and economically sustainable cities. UN-Habitat research shows that in the last 20 years, many common areas have been grabbed, privatized or used as dumping grounds.

In some cities, even long-established public spaces such as parks and open areas are under threat from development. In many fast-growing cities, the once elaborate network of public, and green open spaces has continuously been eroded by urban development pressures such as real estate, infrastructure developments, densification and informal settlements.

## The Response

Public space is a vital component of sustainable cities and is highlighted in the Sustainable Development Goals and the New Urban Agenda. Sustainable Development Goal 11 of providing *universal access to safe, inclusive and accessible, green and public space, particularly for women, children, older persons and persons with disabilities by 2030*.

Through its Global Programme on Public Space, UN-Habitat supports governments at city, subnational and national levels to improve policies, plans and designs for safer, more inclusive and accessible public space by providing technical advice and supporting them with practical tools. It also facilitates implementation of pilot projects on public space planning, design, improvement, protection and management at city or community level through a participatory process in which diverse stakeholders are actively engaged.

Capacity building is integral to effective local implementation, replication and scaling-up, ensuring that all people, especially the most marginalized, have access to safe, inclusive good quality public space with special focus on women, children, the elderly and people with disabilities.

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### The Global Public Space Programme upgrade

## 40 public spaces

in 12 countries, improving the lives of over 500,000 people

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UN-Habitat has developed practical tools that support national and local governments to improve public space planning, design and management, including the *Public Space Toolkit* which covers policy to practice, and the *Block by Block* Minecraft methodology.

UN-Habitat has also developed the **Public Space Assessment Tool**, a digital application that enables local governments to map their public space from a qualitative and quantitative perspective in a cost-effective manner. So far, this tool has been successfully used to take stock of public spaces in five cities: Nairobi and Kisumu in Kenya, Addis Ababa in Ethiopia, Bamenda in Cameroon and Wuhan in China.

### Securing public space in Nairobi

UN-Habitat's work with the city of Nairobi on public space started in 2012 with three main components: to facilitate the development of a city-wide public space strategy, provide capacity building for both County staff and civil society partners, and work with at least two pilot project sites to demonstrate participatory and integrated public space development approaches. Project partners included the Nairobi City County Government, as the lead partner with local NGOs, the private sector, and the academic and creative arts groups.

### Public space assessment

A Nairobi city-wide public space assessment was carried out using UN-Habitat's Public Space Assessment Tool to produce evidence on the state of public space in Nairobi and inform development and implementation of a public space strategy. The assessment identified huge disparities in the provision of and access to public space, especially in the most disadvantaged neighbourhoods, reinforcing social and economic inequality. While the city has an average per capita open public space of 12m<sup>2</sup>, Mathare slum has only 1.87m<sup>2</sup>. Conversely, the high-end neighbourhood of Westlands has slightly over 50m<sup>2</sup>.

Admission fees emerged as a determinant of access to and inclusion in the use of some public spaces especially those managed by non-state actors, like Karura Forest and the Arboretum. While 66 per cent of public spaces are considered safe by users during the day, only 24 per cent are considered safe at night, partly due to the fact that only 30 per cent of open public spaces in Nairobi having street lighting, and only 1 per cent have some form of seating. Consequently, many spaces are deserted.

This creates a thriving opportunity for crime and violence which inhibits especially women and girls from using the spaces. Lack of pedestrian friendly infrastructure has a huge impact on mobility and hence, the use and enjoyment of public space. Only 18 per cent of open public spaces can be accessed through dedicated walkways of which an estimated 40 per cent are in poor condition and need improvement. The assessment resulted in the mapping of 1,390 open public spaces across the city.

### City-wide public space strategy developed

A draft Nairobi City-Wide Strategy on Public Space and framework for the management of public space have been developed to facilitate coordinated community and private sector participation. The strategy is an important component of the Nairobi Integrated Urban Development Masterplan.

### Capacity building for planning, design and management of public space

UN-Habitat facilitated capacity building for key Nairobi County Government staff and partners on the design, establishment, and management of safe, inclusive and accessible public space, the legal and governance structures required, financing of public spaces, and the role they play in enhancing urban quality of life, community participation and engagement.



### Pilot public space sites: Renovation of Jeevanjee Gardens and Creation of a Model Street in Dandora

Two pilot projects have been implemented in Nairobi to showcase collaborative public space upgrading through participatory processes. In 2016 and 2017, UN-Habitat and the Nairobi County mobilized a broad range of partners including professionals, civil society, community groups, and the private sector to upgrade two public space sites: the Jeevanjee Gardens – a public park then considered one of the most insecure places in the city centre and Dandora, a low-income residential area in Nairobi located next to the largest dump site in East Africa. Dandora was once a well-planned site and services residential scheme which gradually became notorious for its high crime rate.

### Transformation of Jeevanjee Gardens

UN-Habitat facilitated the re-design and rehabilitation of Jeevanjee Gardens through a participatory process involving some 50 local partner organizations to improve security and make the park more accessible and appealing to the public. The main entrance has been redesigned and additional entrances with walkways and bike paths built to increase access and improve safety. Public lighting has been installed and grass, trees and bushes planted around the park. Benches have been provided throughout the park, toilets renovated, and dustbins supplied for garbage disposal.

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**About 5,500 people use the Jeevanjee Gardens daily.**

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### Construction of a model street in Dandora

UN-Habitat teamed up with the Making Cities Together project team, Dandora Transformation League, and other local partners to revitalize public spaces in Dandora.

A 'model street' was constructed to demonstrate how placemaking empowers communities to adapt, replicate and up-scale good practices from household to neighbourhood level. The *Block by Block Minecraft methodology*, an innovative digital methodology developed by UN-Habitat to support engagement of youth and women slum dwellers in participatory public space design, was used in designing the Dandora street model. The model street was upgraded and paved and buildings were repainted and decorated. Street lighting was improved and blocked storm water drainage cleared.

## Progress and Results

Following the upgrade of the Jeevanjee Gardens, it is estimated that 5000 people now visit it daily. The once deserted public space has gained popularity with residents including women and girls who can use it around the clock without fear, and students who have a safe place to study, prepare for exams, socialise and skate in the evenings. It has become the venue for popular events such as Bunge la Wanainchi, a people's parliament where socio-political activists engage with the public in informal debates on current affairs, and the Kalapapla Festival which brings together artists from all over the world to celebrate culture.

A joint management team of personnel from the Nairobi County government and Friends of Jeevanjee has been established to ensure sustainable management of Jeevanjee Gardens.

The Dandora "model street" has been a catalyst for incremental community-led neighbourhood regeneration with youth groups

upgrading 33 courtyards through a clean-up and beautification competition.

Dandora residents now feel safer walking along the model street and in the neighbourhood. The relationship between youth and the local chief and the sub-county administrator has improved significantly, resulting in rare collaboration on reclaiming public spaces. Better community cohesion and good neighbourliness has been fostered by community policing. Improved streets enable street vendors to make more income by conducting their business for longer hours and motorists can now park their vehicles in improved courtyards at a fee.

Dandora has gained a new reputation as a safe place due to the rebranding, community meetings, interventions to reclaim public space, and regular social events such as public screening of movies. Residents, especially youth, have a greater sense of inclusion and feel that they are a part of the city again.

The clearance of drainage and garbage have had a significant impact on environmental health of the neighbourhood with the problems of overflowing sewers, flash floods and mud now solved.



"These days even if I alight at midnight I have no worries. I know I will reach home safely without a problem. Because of lighting, I can see someone from 100m away."

**Anthony Kwach, Dandora Phase III resident.**



“M-pesa and other businesses that make a fair amount of money would be closed by 7pm due to fear of attacks. Today however, these and many other small businesses operate until 11 o’clock in the night.”

**Charles Gachanga, C.E.O, Dandora Transformation League.**

**Top Left Image:** Children playing on the dusty model street site in Dandora before the model street initiative. **Top Right Image:** Children walking on the model street site in Dandora. © UN-Habitat

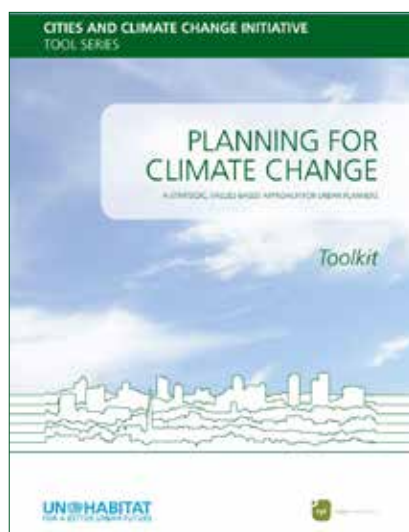
## Sustainability

The Nairobi County Government has established the Directorate of Urban Design and Public Space Management within the Urban Planning Department, with dedicated staff and a work plan which has been incorporated in the Integrated Urban Development Plan 2018-2022 with an initial budget of USD 300,000.



“The perception that public spaces are jobless corners is now fading away. Young people from all walks of life now come to interact in public spaces, and this has really helped improve the perception of urban safety and reduced the level of crime among youth, especially teenagers.”

**Humphrey Otieno, the Safer Nairobi Initiative, Nairobi City County**



The comprehensive inventory of 1,390 open public spaces across the city continues to inform the County Government’s city-wide public space strategy and will support the campaign against encroachment and grabbing of public spaces in the city.

Neighbourhood groups and associations are now legally recognized by the Nairobi County Government. A policy on community participation and engagement has been adopted that supports the enactment of the Nairobi City County Community and Neighbourhood Associations Engagement Act, 2016.



“Events like the Kilimani Street Festival have created a sense of cohesion and belonging within the community. They have opened the eyes of other communities to realize that the city belongs to its citizens, and that it is only through citizen effort and action that we can bring change to our society. It has brought a lot of pride in the citizenry, especially those from Kilimani who now have a deeper sense of ownership of their neighbourhood.”

**Constant Cap, Coordinator - Kilimani Project Foundation**

A growing number of interest groups focusing on a wide range of issues, among them urban safety, reclamation of public open spaces, solid waste management, and water and sewerage are being formed. Neighbourhood associations such as the weekly farmers’ market and quarterly Kilimani street festival organised by Kilimani Project Foundation promote civic participation.

Local partner organizations have benefited from capacity building initiatives and are now replicating improvement of public space and carrying out revitalisation initiatives such as upgrading of Tom Mboya memorial monument and the surrounding space by the GoDown Arts Centre.

Image: Jevanjee Gardens, Nairobi.  
© UN-Habitat





# Change of mindset by policymakers drives national urban policy reforms in Liberia

## Introduction

In the last five years, UN-Habitat has supported 39 national and sub-national governments in development, implementation and monitoring of Urban Policies promoting inclusive and participatory approaches towards sustainable urbanization. In collaboration with its partners, UN-Habitat supports these countries with technical assistance, advisory services, capacity development tools, and knowledge development through an inclusive process at all stages, from the feasibility and diagnostic phase, to formulation, implementation, monitoring and evaluation of a National Urban Policy.

## The Situation

After two civil wars (1989 -1997 and 1999- 2003) and the Ebola crisis which hit the country hard in 2014-2015, Liberia's economy was severely damaged and the country's

development crippled. Ranked 177 out of 188 countries and territories in the 2015 Human Development Index by UNDP, Liberia has an estimated population of 4 million people with considerable population growth potential due to its high fertility rates and declining infant mortality. According to the 2008 census, 42 per cent of the population were under 15, indicating increased demand for housing, basic services, education, health and employment opportunities.

Disparities between urban and rural areas were most visible during the civil wars, with some services only being available in urban areas, especially in the capital, Monrovia, which has witnessed rapid but unplanned growth. With most secondary cities and smaller towns having only limited basic infrastructure and social amenities, rural-urban migration continues to put pressure on the capital with its inadequate capacity to provide housing and basic services.

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## The Response

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Governance and policy development processes in Liberia have experienced severe deficits in public participation, transparency, and age and gender sensitivity. Citizens have typically been considered recipients of policies and strategies rather than owners and participants, leading to low levels of acceptance and recognition of policies and making implementation more challenging. Through development of the National Urban Policy for Liberia, the Cities Alliance and UN-Habitat have demonstrated the potential

for considerable value addition in a participatory and inclusive process, thereby changing policymaking mindsets and setting the framework for a transformative urbanization agenda with education, employment, poverty reduction, infrastructure, basic services, housing, land and environment degradation being identified as priorities for action.

UN-Habitat and its partners undertook to design and implement an inclusive policy process rallying various stakeholders to work together

in tackling the country's challenges, an approach driven by the realization that most stakeholders were eager to contribute actively to reconstruction of the nation, with urban development at the center of such efforts. For years, policies developed by central government had not yielded expected benefits and an inclusive urban policy was therefore designed as a tool for reassuring all segments of society that their voices would count.

## Progress and Results

Through its interventions, UN-Habitat has gradually changed the attitude of Liberian government officials, raising awareness of the need for a National Urban Policy (NUP) as a guiding framework for sustainable urbanization, enabling the country to work towards an inclusive policy development process that integrates stakeholders from different levels of governments, civil society, the private sector and academia. The NUP process in Liberia is shifting from central government 'determining' the contents and process, to stakeholders taking ownership and steering the process, defining the framework, and mapping outcomes.

This transformative process of developing urban policy has strengthened rapport and trust amongst urban stakeholders, which augurs well for long-term inclusive urban development in Liberia.

UN-Habitat has enabled integration of all stakeholders, emphasizing the importance of inclusiveness in tools developed and advisory services provided over the years.

In 2012, President Ellen Johnson Sirleaf launched the National Agenda for Transformation and Vision 2030, aimed at aligning the country's national priorities to the global development agendas and stresses that *'No One Shall Be Left Behind'*. The Liberian National Agenda and Vision 2030 includes new actors, such as the private sector and civil society organizations – in line with the participatory, five-phase process for developing a National Urban Policy proposed by UN-Habitat. The next important step, was the establishment of a multi-stakeholder technical support team in 2016, to advise the lead ministry during the feasibility and diagnosis stage of the National Urban Policy process.

Liberia convened its first National Urban Forum in 2015, funded by Cities Alliance and UN-Habitat and hosted by the Ministry of Internal Affairs of Liberia, with other key partners being the Monrovia City Corporation and the Land Commission. The "Resolution of the National Urban Forum" signed by all participants committed parties to preparing a National Urban Policy for Liberia through a process including all stakeholders. Developing a NUP for Liberia has led to a change of mindset in policy making, and for the first time, a policy process has been validated by the coalition of urban poor, young professionals, and national and sub-national governments. The multiple stakeholders' forum has jointly validated ten policy focus areas, along with three overarching interventions. In 2017, the young professionals, the mayors' association, the urban poor, and other vulnerable population groups validated major findings of the feasibility stage of the National Urban Policy development process for Liberia.

In April 2017, a validation session of the Assembly of the Association of Mayors & Local Government Authorities held in Benton City provided the opportunity and platform for mayors of Greater Monrovia, county capitals and secondary (intermediate) cities to contribute to contextualizing the NUP Discussion Paper and ensuring its relevance to cities of all tiers. Recommendations include ensuring the policy is implementable, developing sub-national urban policy and city-level spatial plans to guide local development, and balancing development between Monrovia and other cities.

A validation session of the Urban Poor Civil Society & Working Poor Groups organized in May 2017 in Monrovia marked the first time that urban poor groups were engaged on academic and intellectual issues of urbanization which previously has been the exclusive domain of professional technicians. Participants advocated for free movement of business, control of corruption, provision of housing for the urban poor, house-to-house interviews and surveys, and simplification of policy language and translation into local languages to facilitate broader understanding and assimilation.

In June 2017 in Monrovia a validation session by young urban professionals was carried out as a flagship initiative evolving out of the NUP process, to engage the participation of young Liberians who returned after completion of studies abroad. Their fields of study include Urban Planning, Architecture, Engineering, Water & Sanitation, Education, Geo-Information Services, Communications, Transport, Environmental

**Source:** <http://www.environmentnewsigeria.com/stakeholders-validate-liberia-national-urban-policy-paper/>

## Next Steps

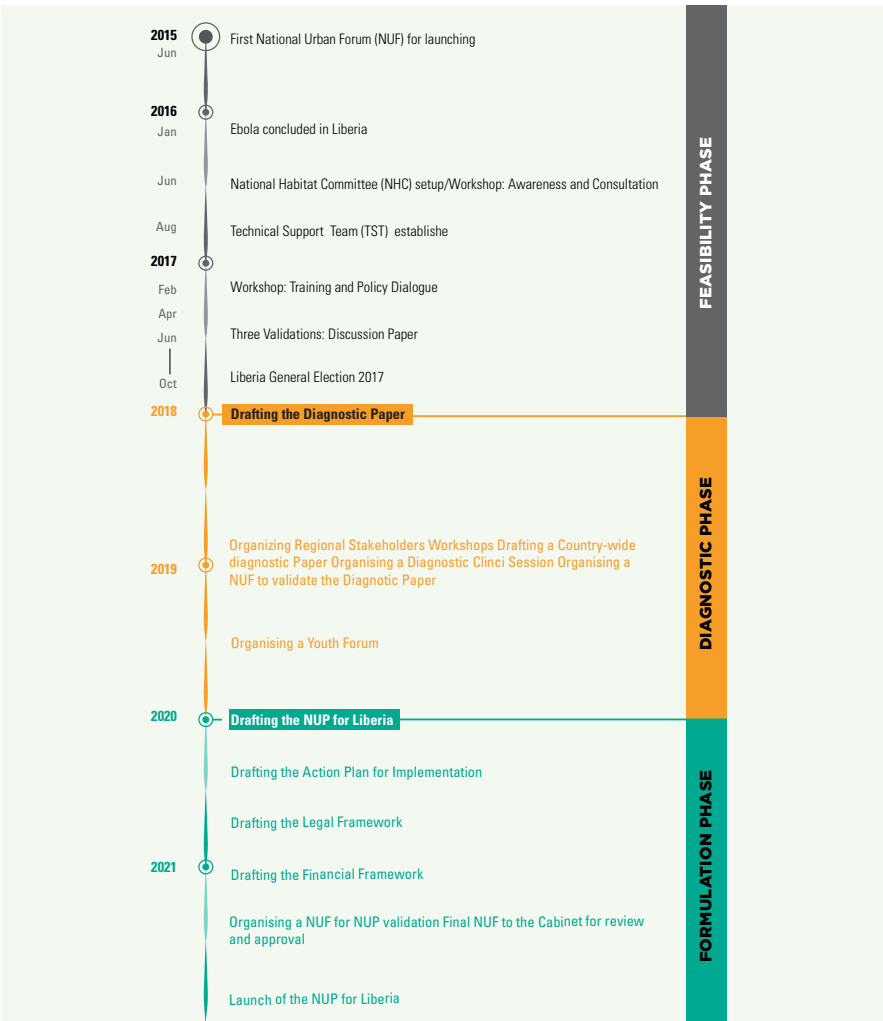
UN-Habitat continues to support the Liberian government in its efforts to strengthen coordination across different sectors and government levels, as well as with other actors, establishing incentives for more sustainable practices, and promoting institutional collaboration. By strengthening small and intermediate cities and encouraging spatial development strategies, urban-rural linkages and equitable resource allocation will be promoted, reducing urban-rural and territorial disparities, and bridging the development gap.

Ongoing policy development in partnership with the Ministry of Internal Affairs and Cities Alliance is part of a broader endeavor to

support poverty reduction by integrating the urban economy into national development policies, and development of sustainable, resilient Liberian cities. This will lead to enhanced economic development, job creation and improvement livelihoods for the population.

Building on the momentum gathered so far, Cities Alliance is providing UN-Habitat with additional resources to work with local partners in spearheading development of the policy diagnostic process and formulation of the policy document in 2020.

Figure 4: Roadmap for the Development of a NUP for Liberia



## Helping cities in Southern Africa adapt to climate and energy challenges

### The Situation

Of the 600-plus cities that had signed up to the Compact of Mayors by the end of 2016, only twenty-five are situated in Least Developed Countries, among them Moroni the capital of the Comoros, and Nacala in Mozambique. Small cities such as Moroni and Nacala typically have access to far lower levels of resources and face far greater capacity challenges than do larger, cities in more developed countries. Confronted with the pressing day-to-day demands of residents, local authorities in these cities tend to pay little or no attention to climate change.

Signing up to the Global Covenant of Mayors for Climate and Energy commits cities to take baseline inventories of greenhouse gas emission and carry out vulnerability assessments, set targets, and formulate climate action plans. Outputs are shared on global platforms and reviewed by a third party.

### The Response

Following requests for support by the Mayors of Moroni and Nacala cities, and with financial support from the Government of Sweden, UN-Habitat has been helping the two cities to meet commitments made as signatories to the *Global Covenant of Mayors*.

In partnership with an NGO in the sub-region UN-Habitat began building capacity in the two cities to determine baseline greenhouse gas emissions using the *Global Protocol on Community-scale Greenhouse Gas Emissions*. Sectoral actors and national entities whose data could act as proxy were identified and their data disaggregated to arrive at reasonable city-level estimates. In addition to gathering data the team also held workshops to collect feedback from stakeholders and validate assumptions.

UN-Habitat also helped Moroni to assess its adaptation requirements using the *City Resilience Action Planning (City-RAP) tool*, a rapid planning tool well adapted to the needs of secondary cities in sub-Saharan Africa.

Lessons learnt from these and other city-level experiences have informed advice that UN-Habitat provides through the Founders' Council of the Global Covenant of Mayors and its Technical Working Groups. In this way, we seek to help ensure that the Global Covenant does not just cater to the conditions of mega-cities in the Global North, but also takes into consideration the circumstances of secondary cities in the Global South.



## Progress and Results

By mid-2017 both Moroni and Nacala had completed their baseline emission studies. In Moroni greenhouse gas emissions were relatively evenly distributed between transport, waste and stationary sources. In Nacala, on the other hand, the transport sector accounted for a full 70 percent of emissions. Such findings help provide a basis for prioritizing actions to reduce emissions.

Later in 2017 both cities were 'badged' by a third-party reviewer, a symbol of peer recognition for them which confirmed that they had complied fully with Year 1 commitments, an achievement that has eluded much larger cities.

## Next Steps

UN-Habitat has finalized an agreement to help Moroni and Nacala comply with Year 2 and Year 3 commitments. UN-Habitat also continues to give policy advice to the *Global Covenant of Mayors* on matters related to climate action planning and regional flexibility in compliance.

Additionally, UN-Habitat is formulating a sub-regional proposal to the Adaptation Fund to help cities in the region adapt to the impacts of climate change and expects to include priorities identified through the City-RAP exercise in Moroni in its proposal.

# Local Economic Development and Municipal Finance

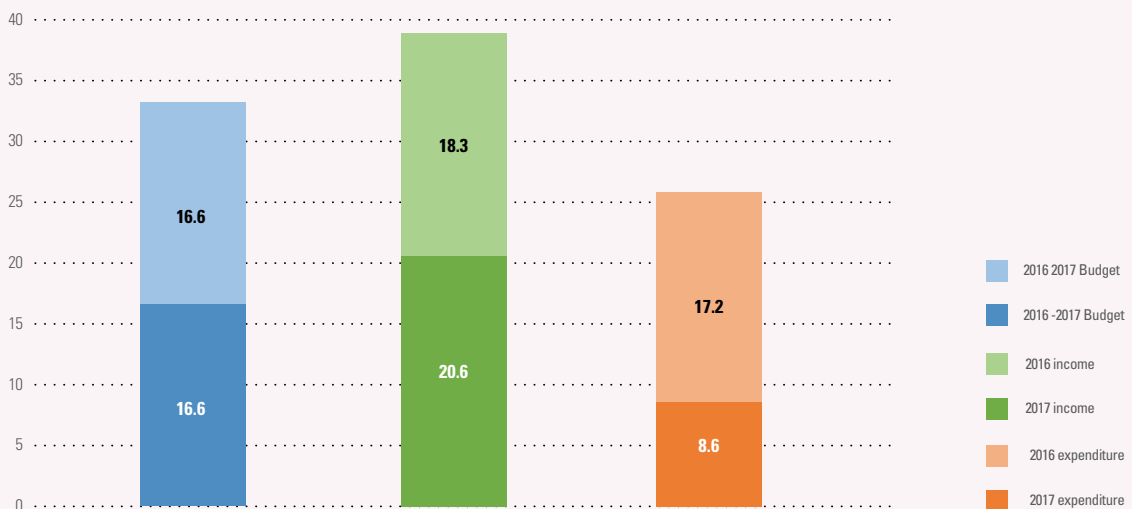
An immense challenge facing cities all over the world today is how to create full employment and decent jobs for all and livelihoods for their people, including the increasing numbers of urban youth, as well as women, who are often disadvantaged by discriminatory practices. In addition, a fundamental challenge facing cities, particularly in developing countries, is their inability to mobilize adequate financial resources to meet the ever-growing demand for urban basic services.

In order to address these issues, UN-Habitat promotes urban strategies and policies that strengthen the capacity of cities to realize their potential as engines of economic development and enhance their contribution to employment and wealth creation. UN-Habitat also supports local governments to formulate and implement effective policies and strategies that enhance municipal finance, tax revenue for improved delivery of basic services as well as contribute to the creation of decent jobs and livelihoods, especially for young people and women.

## KEY ACHIEVEMENTS

- Based on assessments of local economic conditions conducted with UN-Habitat technical support, 15 partner cities and towns in Colombia, Haiti, Kenya and Philippines have set their priorities for economic development.
- With UN-Habitat support, local authorities in Afghanistan, Egypt, Kenya, Puntland and Somaliland, have strengthened their revenue generation capacity.
- The Urban Youth Fund has supported 285 Youth-led projects in 172 cities and 63 countries in Africa, Asia and the Pacific, Latin America, and the Caribbean providing vocational training and credit mechanisms for entrepreneurship and employment.
- In Rwanda, opportunities for youth employment and livelihoods have been enhanced through expansion of the flagship One Stop Youth Resource Centre model into new cities, with the model scaled in 29 out of 30 Districts.

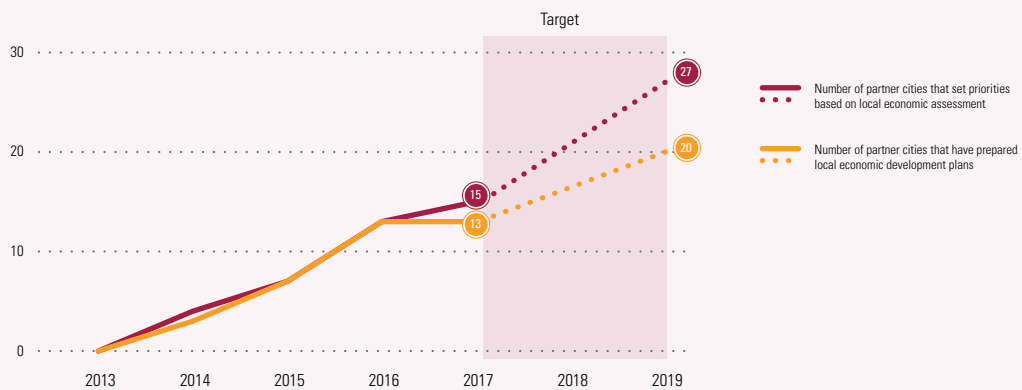
**Figure 5:** Urban Economy 2016 - 2017 budget, income and expenditure in USD millions



**Progress on expected accomplishments in strategic plan**

By the end of 2017, targets for all indicators for the three expected accomplishments were successfully achieved. For expected accomplishment 1 on local economic development, 13 partner cities in 8 countries (Colombia, Egypt, Mozambique, the Philippines, Rwanda, Kenya, Haiti and Nigeria) had prepared local economic development plans based on local economic assessments. However, in 2017 progress in this line of work was affected by lack of funds. For expected accomplishment 2 on youth and women empowerment, 55 partner cities had adopted programmes supportive of increased employment opportunities and livelihoods, with focus on urban youth and women. Under expected accomplishment 3, 28 local authorities in 5 countries (Afghanistan, Pakistan, Haiti, Kenya and Somalia) improved their revenue generating capacity due to technical assistance provided by UN-Habitat.

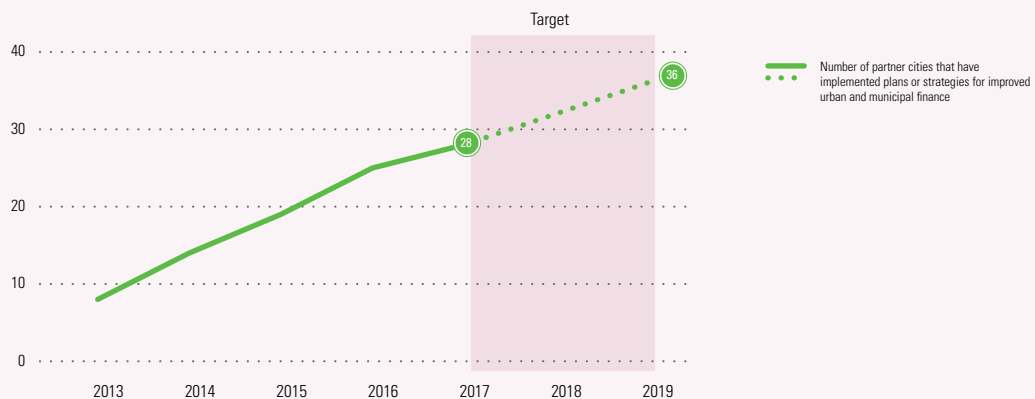
**E.A 3.1: Improved capacity of partner cities to adopt strategies supportive of inclusive economic growth**



**E.A 3.2: Enhanced capacity of partner cities to adopt urban policies or programmes supportive of improved employment and sustainable livelihoods, with a focus on urban youth and women**



**E.A 3.3: Improved capacity of partner cities to implement plans or strategies for improved urban and municipal finance**





## Municipal funding improved through property tax for better basic services in Somalia

### Introduction

A key challenge facing cities in developing countries is inability to mobilize the financial resources needed to meet ever-growing demand for urban basic services. As engines of economic development, cities need to invest adequately in infrastructure developments and provision of public services that unleash the economic potential of its citizens and support improved quality of life.

Financing and revenue generation options available to local governments are limited by inadequate human resource capacity and lack of policies and systems to enforce local tax collection and monitor financial management. UN-Habitat has demonstrated that local revenue generation can be increased using land and property based taxation systems as evidenced in Somalia.



Image: Berbera municipal staff using the automated system for improved financial management. © UN-Habitat



## The Situation

The northern regions of Somalia, comprised of Somaliland and Puntland with an estimated population of over 5.3 million, have enjoyed relative peace and stability, with restored government institutions including sub-national structures. The re-established government authority faced major institutional challenges. Local authorities in Somaliland and Puntland lacked regulatory frameworks and capacity was weak, resulting in local governments being unable to deliver much-needed basic infrastructure and services such as

roads, basic education, health, water and sanitation due to lack of capacity and inadequate financing. Revenue from property tax, the main source for most of the local authorities, was minimal. Communal services available were mainly provided by international organizations.

The Joint Program of the United Nations was initiated in Somalia to strengthen local governance and decentralize service provision to all regions. The second phase of the programme focuses on ensuring that communities have equitable access to basic services through local government entities, and that

the entities are accountable and transparent.

As no legal foundation for decentralization of financial responsibilities and functions existed in Somaliland and Puntland, appropriate policies needed to be adopted to provide a framework for devolution of financial functions to local governments. Under the 2013–2017 five-year programme UN-Habitat provided local governments in the country with technical and capacity building support to enhance their capacity to generate and manage revenue from local sources.

## The Response

To support local government revenue generation in Somaliland and Puntland, UN-Habitat focused on developing an enforceable legal framework and delegation of authority for tax collection within the established legal framework; developing a property database for taxation; and establishing an automated accounting and billing system to improve accountability, transparency and efficiency in tax management.

### Legislative Reform

UN-Habitat supported development of a comprehensive local government finance policy for Somaliland and Puntland with the participation of all key stakeholders, among them representatives of the ministries of interior, finance and office of the champion for local governance, as well as representatives of local governments and local government associations, the private sector, and academia.

The inter-ministerial committee, a technical working group responsible for local governance reform and decentralization in both regions, adopted the policy in May 2016. A set of procedural manuals were also developed to support implementation of the policy, including a local government financial management manual, internal audit charter, and

district audit committee manual. The manuals, which provide step-by-step guidance on finance functions such as revenue and expenditure management, internal oversight mechanism, reporting, procurement and asset management, were translated into Somali and are now used as tools to improve financial management.

### Establishment of an automated accounting and billing systems

To improve transparency, accountability and efficiency of local governments, UN-Habitat introduced the automated accounting information management system and the billing information management system. These electronic systems support tax collection and financial expenditure planning by local governments, with a unified and comprehensive accounting system across each local authority.

### Establishment of a property database:

A Geographical Information Management System (GIS) based property database was introduced where data on the location of properties and urban parcels that have been surveyed are catalogued and regularly updated. It includes information on the quality of properties, land use patterns, infrastructure, ownership

and number of occupants. The database is connected to the Billing Information Management System which automatically generates bills and records tax collection. The GIS databases have been established in Hargeisa, Burao, Berbera, Borama, Gabiley, Sheikh and Odweine in Somaliland, and in Garowe, Bosasso, Qardo, Bander Bayla, Jariiban and Eyl in Puntland, with plans to extend into Mogadishu.

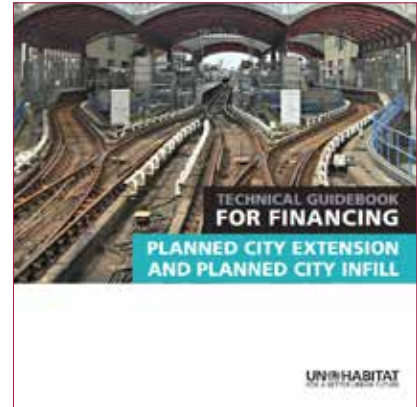
UN-Habitat provided comprehensive capacity building support in the use of the accounting and billing systems to the local authorities, including training in basic accounting, financial management, map reading and surveying skills. To further streamline tax collection and management, UN-Habitat commissioned a study to review the property tax regime to harmonize rates for urban land and properties across Somaliland, Puntland and Mogadishu. The study provided guidance on ways of ensuring fair rates for properties at different values. Implementing these recommendations will enhance the tax base, ensure accountability and transparency, and make provision for tax collection, enforcement and exemption procedures for the urban poor.

## Progress and Results

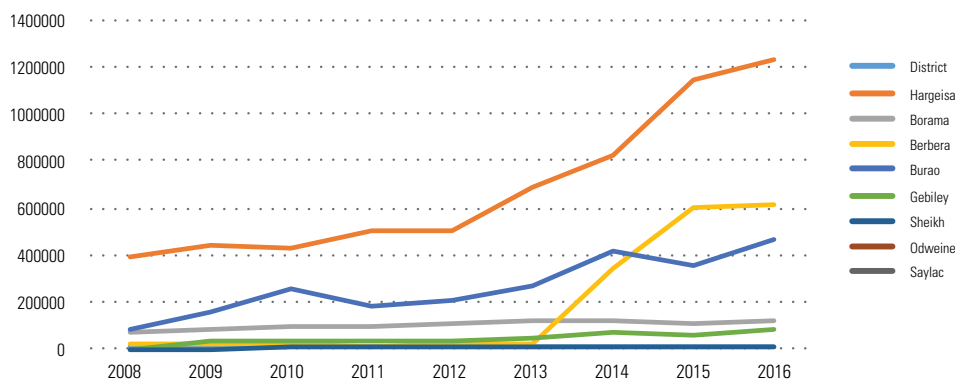
### Revenue collection has surged

The legislative reforms and improved property tax collection and management systems introduced in Somaliland and Puntland have strengthened the capacity of local authorities, and improved their efficiency at collecting and managing taxes. Revenues have increased drastically, at varying rates for different authorities as shown in the two graphs below. In 2008 for example, Hargeisa municipality recorded annual revenues of USD

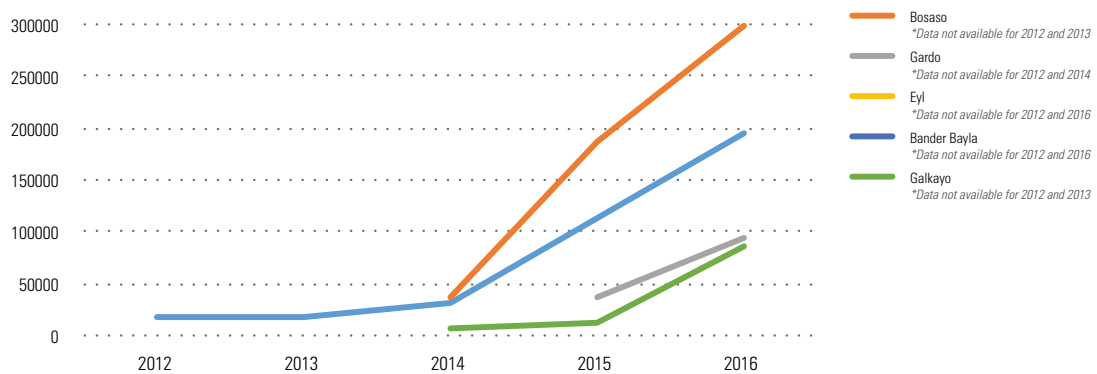
2.04 million but by 2016 this figure had increased to USD 7.78 million. Revenue from property tax in Bossaso grew from USD 45,000 in 2014 to over USD 300,000 at the end of 2016. In Berbera, revenues from local sources spent on service delivery had increased from USD 40,000 in 2014 to USD 177,000 in 2016. This trend demonstrates increasing confidence in local governments by citizens who now pay their taxes, and improved accountability on the part of local authorities reflected in improved provision of basic services and amenities.



**Figure 6:** Property taxation for Somaliland Districts from 2008 to 2016



**Figure 7:** Property taxation for Puntland Districts from 2012 to 2016



### Service delivery by local authorities has improved.

With growing revenues, local governments in Somaliland and Puntland have improved service delivery with ongoing construction of tarmac roads and improved garbage collection evident in all major towns where property revenue collection and management systems have been established. In Borama, the local government has constructed 16 tarmac roads in the last three years using local development funds, own-source revenue, and community contributions.

Investment in urban basic services using additional revenue collected (Hargeisa):

**USD 90,000**  
on health services,  
**USD 114, 000**  
on sanitation and  
**USD 55,714**  
on education

Local governments can now afford to subsidize provision of health and education services and provide resources to police forces to consolidate peace and order. In 2016 Hargeisa Municipality spent USD 90,000 on health services, USD 114, 000 on sanitation and USD 55,714 on education. Similarly, Buroa Municipality spent USD 51,428 on health services, USD 142,000 on sanitation and USD 224,000 on education. Mutual trust between local people and local councils has improved and investment in people focused social services is contributing to lasting peace and stability.



“UN-Habitat helps us when we experience technical difficulties with the billing system. Since the implementation of these systems, there has been a remarkable growth in property tax revenues. In Berbera, the revenue collection system has realized tangible benefits for both local government and the local community, and has impacted the education sector directly”

**Mohamed Iman, Coordinator GIS Hargeisa**



Top Image: Improved road system and better infrastructure. © UN-Habitat



Top Image: Garbage compactor truck in use in Qardho, Puntland. © UN-Habitat



“It’s visible that today we have physical improvements in services. For instance, there used to be a pile of garbage in the middle of the streets, thus forcing us to use our bare hands. That has really improved. We have vehicles owned by the local government which are only used for garbage collection, and that has helped a lot.”

**Muktar Osman**, a tax payer,



“First it is a system that all branches of the government rely on. Secondly it enables us to neatly put in and retrieve any information from its databases about property ownership and taxation. On the other hand, the system not only let us generate this easily but it also improved our tax collection capacity by indicating who has paid the bills and who has not. If you step outside, you can see roads that are well built and repaired as well as infrastructure in good shape. We have accomplished many other projects from our budget including a new library. To serve the education sector better we needed a bigger budget for specific offices and especially our own system to allocate the money. We have taken these systems to manage the quality of teachers to protect students’ education and improve the curriculum.”

**Berbera mayor Abdishakur Mahmoud Hassan**

### Legal framework for effective tax collection by local authorities established

UN-Habitat has contributed to the improvement of the legislative and regulatory framework for decentralized service delivery in Somalia. The policy recommendation is being implemented and is now the guiding framework for key municipal functions by revenue generation, expenditure management, budget preparation in Somaliland and Puntland. It also supports capital procurement processes, strengthening of internal control mechanisms and asset management.

### Transparency and accountability in the planning, revenue collection and expenditure have improved.

Local revenue collection and management have been revolutionized in Somaliland and

Puntland. Introduction of the automated accounting and billing systems has significantly improved transparency, accountability and the efficiency of local governments in Somaliland and Puntland. The systems are now systematically used in daily operations for all financial transactions and reporting. Reports are generated that show how revenue is utilized. Revenue and expenditure reports can now be printed out from the automated accounting information management system at any time and are available for public scrutiny. In addition, local governments conduct community consultation where they present annual work plans and budgets and seek the views of local communities, approval and participation. Contracts are advertised locally and bids are open for all citizens. In the past, this was not the case. Local authorities are also using the system for

monitoring the property tax base, urban planning, infrastructure development and creation of informal cadastral of urban parcels and properties.

The internal audit charter and district audit committee manuals are providing strong and systematic internal oversight mechanisms. Internal audit units established in Hargeisa, Berbera, Bosaso and Garowe are streamlined and are now using proper internal audit charter. Continuous on-the job training to local government employees, and frequent refresher training has helped address the problem of high trained staff turnover. This has been supported with e-learning in the local language using social media to network local government finance officers to post and solve problems, as well as remote trouble shooting.

## Next Steps

The process of establishing a property taxation system in Mogadishu and a basic public financial management system for local government in the new Federal Member States of Somalia is underway.



# Urban youth labs - promoting youth-led development in Colombia

## Introduction

The Urban Youth Fund was launched by UN-Habitat in 2008 to support grassroots youth-led initiatives globally. Since its creation, the Fund has launched projects in 172 cities and 63 countries in Africa, Asia and the Pacific, Latin America, and the Caribbean, and funded 285 Youth-led projects, sponsoring vocational training and making available credit for small scale entrepreneurship to help create employment.

## The Situation

The Urban Peace Labs programme is a strategic national intervention in Colombia implemented by UN-Habitat in partnership with Servicio Nacional de Aprendizaje in response to the recently signed peace agreement between the Colombia Government and the Revolutionary Armed Forces (FARC). The project is designed to promote social inclusion for vulnerable and marginalized groups including the FARC members.

The project has been structured to promote meaningful participation for youth by developing youth-led innovative and entrepreneurial ideas in cities. Potential solutions to urban challenges were identified and addressed through a call for proposals which garnered applications from 30 youth-led registered organizations from various cities in Colombia. The projects addresses improving livelihoods, behavioural change, and youth inclusion in decision-making structures using ICT driven tools, art, culture and sports. Through a rigorous evaluation and selection process, 10 youth-led organizations from the cities of Puerto Berrio, Pereira, Manizales, Bogota DC, Cali, Tulua Valle del Cauca and La Dorada Caldas were selected and awarded seed grants of USD 10,000 each.

## Vocational programs

The selected organizations participated in vocational training geared towards developing their project concepts to social entrepreneurs in Cali City (Colombia), which equipped them with skills on programme management, budgeting, marketing, pitching ideas and concepts to donors, stakeholder management, business model integration, value propositions,

negotiation, conflict resolution, social entrepreneurship, social innovation and leadership.

## Mentorship Programme

The Colombia Urban Peace Labs, mentorship programme is a volunteer capacity building programme established by UN-Habitat in partnership with Fundacion Bancolombia (Bancolombia Foundation) whose employees offer mentorship to beneficiaries of the Urban Peace Lab program in different cities in Colombia. The objective of the programme is to introduce participants to business models that integrate elements such as sustainability of projects, financial management, and project management designed to improve overall project impact.

Fundacion Bancolombia received 70 applications for volunteers to the program, and following consultations with the projects 17 mentors were matched to 9 projects. The mentorship project aims to encourage social and economic reintegration by promoting youth employment and entrepreneurship; promote behavioral change among youth to prevent conflict and violence; resolve conflict peacefully while creating sustainable conditions for peace; and increase awareness of the need to engage youth in policy making processes to strengthen peace building efforts and resilience in Colombia

## Progress and Results

Through the Colombia Urban Peace Labs young people in cities in Colombia now have a platform to develop innovative solutions to urban challenges and build their resilience during and post conflict. So far some 1,500 peace building workshops and training have been conducted, benefitting 1,146 people, while 55 youth trainees have undertaken leadership roles in the community. In total, 1,085 youths aged between 16 and 26 have been equipped with diverse practical and marketable skills. The Urban Peace Labs will support the Government of Colombia to achieve Sustainable Development Goal 11 to make cities and human settlements inclusive, safe, resilient and sustainable.

# Basic Services in Cities and other Human Settlements

Despite efforts being made by many Governments and local authorities to provide urban basic services, the numbers of people in urban areas without adequate access to the basic services of safe water supply and sanitation as well as safe domestic energy and public transport is increasing, partly as a result of rapid urban population growth and partly as a result of increasing poverty and growing financial resource constraints. The problem is compounded by dilapidated infrastructure, weak governance and overlapping responsibilities between different levels of government, lack of clearly defined urban development policies and legislation, weak urban planning, weak institutional capacity, inadequate resources available at the local level, low investments and lack of pro-poor financing mechanisms. In addition, new challenges are emerging; air pollution, for example, has become the greatest environmental health risk, with about 7 million deaths in 2012 alone attributed to indoor and outdoor air pollution.

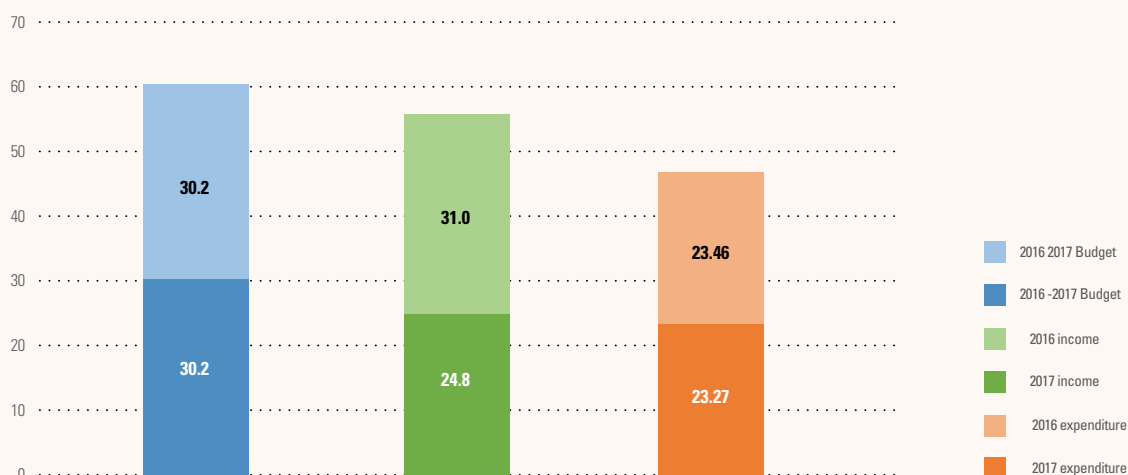
In order to address these challenges and to contribute towards the reduction of poverty and inequalities,

UN-Habitat's work in urban basic services focuses on providing policy and technical support to partner countries and local authorities for equitable access to sustainable urban basic services. These include water, sanitation, mobility, energy and waste management which are essential components that support economic and social development of human settlements and improving the standard of living of the urban poor. UN-Habitat assists both national and local governments to develop low-carbon emission interventions with a focus on urban transport, energy efficiency in the built environment and renewable energy generation in cities.

## KEY ACHIEVEMENTS

- 1.93 million people in targeted communities have access to water and sanitation.
- 251,500 people in targeted communities have access to sustainable modes of transport. 36,000 university of Nairobi (Kenya) students and 10,000 residents of Hyderabad (India) have benefitted from the pilot bike-share system.
- 25,000 households in targeted communities have access to sustainable energy supply, an increase attributed to demonstration projects on green buildings and renewable energy technologies.

**Figure 8: Urban Basic Service 2016 - 2017 budget, income and expenditure in USD millions**

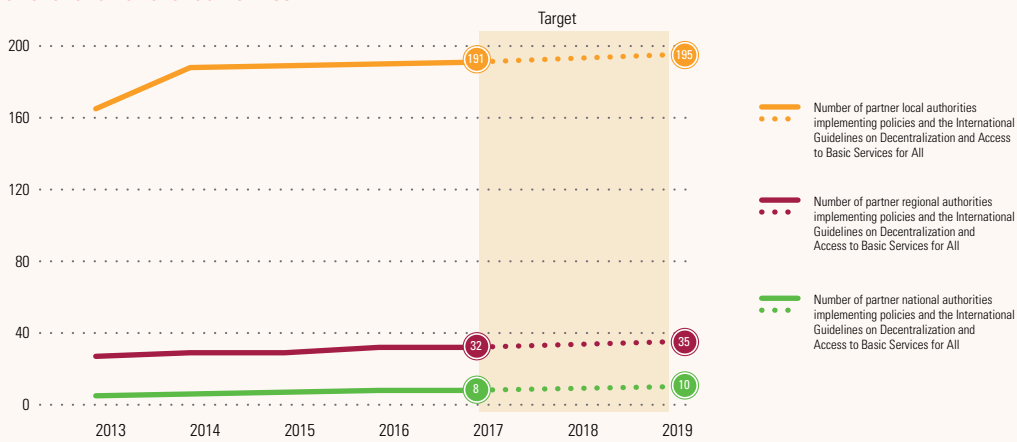


### Progress on expected accomplishments in strategic plan

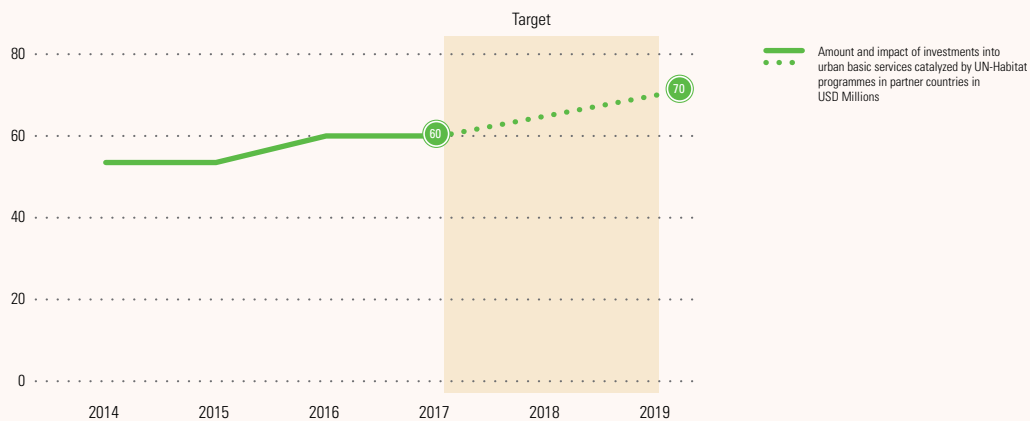
All the five indicator targets for 2017 for all expected accomplishments were successfully achieved. Indicator 1 (expected accomplishment 1), 191 local authorities were implementing policies and legislative frameworks by the end of 2017 against a target of 175. The increase in 2017 was due to the County Government of Kiambu (Kenya) endorsement of the use of intelligent transport solutions for urban mobility with technical support from UN-Habitat and Ericsson. Indicator 1 of expected accomplishment 2, the amount and impact of investments into urban basic services catalyzed by UN-Habitat programmes in partner countries increased from USD 53.5 million in 2015 to USD 60 million by the end of 2017. This indicator target was missed by USD 5 million. However, efforts are underway to mobilise resources to bridge the gap and achieve the 2019 target. Indicator 1 of expected accomplishment 3, 1.93 million people benefitted from

improved access to water and sanitation by the end of 2017, up from 1.8 million in 2016. The increase was mainly due to the GSF programme in Nepal and the EU-supported water and sanitation project in Malawi. Over 215,600 people in targeted communities had access to sustainable modes of transport because of UN-Habitat interventions, up from 200,000 in 2016. This increase was due to the Sustainable Urban Mobility Programme in Ruiru town (Kenya). The number of people in targeted communities with access to sustainable energy supply and access because of UN-Habitat interventions also rose from 10,000 in 2016 to 25,000 in 2017 surpassing the target and is likely to meet the 2019 target of 35,000. The increase is was due to the demonstration projects in modern energy access, green buildings and renewable energy technologies in several African cities.

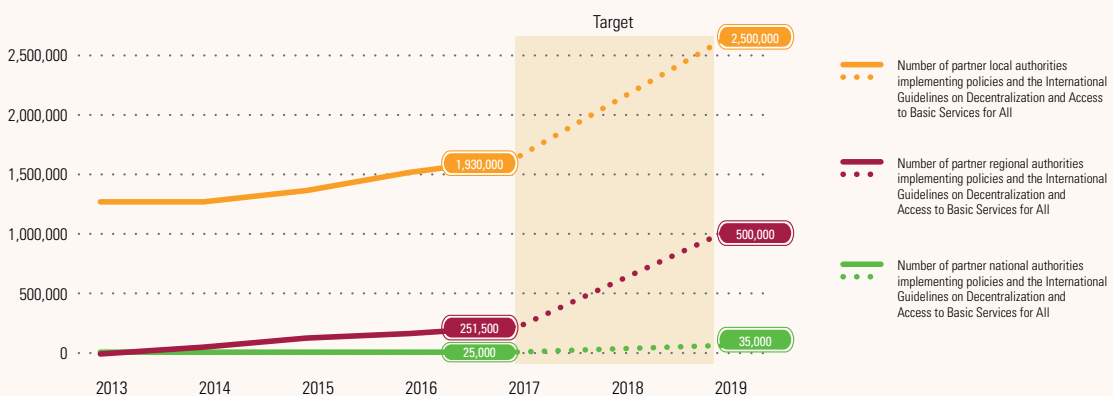
#### E.A 4.1: Improved policies and guidelines on equitable access to sustainable urban basic services implemented by local, subnational and national authorities



#### E.A 4.2: Enhanced enabling environment for promoting investments in urban basic services in partner countries, with a focus on the urban poor



#### E.A 4.3: Increased coverage of sustainable urban basic services in targeted communities





## Resilient water and sanitation infrastructure promoted in Northern Ghana

### Introduction

Lack of flood resilient water and sanitation infrastructure perpetuates the vulnerability of communities living in flood prone regions. The resulting contamination of drinking water sources and damage to sanitation facilities have far reaching negative implications for health and livelihoods of the people. Investing in resilient water and sanitation infrastructure is thus crucial to achieving sustainable development and empowering communities living in areas prone to recurrent floods.

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**1.93 million people** are benefiting from improved access to water and sanitation

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**251,500 people** have access to sustainable modes of transport

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**25,000 beneficiaries** have access to sustainable energy supply

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*Top Image:* Community members utilizing the new flood-resilient borehole in Kandia community, Sissala West district, Upper West Region.  
© UN-Habitat



## The Situation

The Ghana National Disaster Management Organization estimates that over 4.5 million in the Upper East, Upper West and Northern regions of the country, live in areas prone to recurrent flooding, where the predominant source of drinking water for 35 per cent of the population is unprotected tube wells, dams, lakes, ponds, streams and hand-dug wells. Most of these sources do not provide reliable water supply as they often dry up during the dry season.

According to the United Nations Disaster Assessment Coordination Team in Ghana, the 2007 floods affected nearly 260,000 people, causing 18 deaths. The frequent damage caused to water supply facilities, resulting in contamination of drinking water sources, is compounded by rates of open defecation ranging between 71 and 87 per cent. Only about 10 per cent of the population use improved sanitation facilities. The poor sanitation and hygiene conditions present a major challenge, especially in the most disaster-prone areas.

Bottom Left Image: Unsafe water from unprotected shallow well in Kuntulo, Northern Ghana.

Bottom Right Image: Women fetching unsafe water for domestic use in Northern Ghana before UN-Habitat intervened. © UN-Habitat



## The Response

The Joint UN Water and Sanitation in Disaster Prone Communities Programme supports the Government of Ghana to build flood resistant and resilient community water supply and sanitation facilities, allowing for social inclusion and universal access to these essential services. With UN-Habitat as the lead agency, the programme has benefited from the complementary expertise of UNICEF, UNDP and WHO, and strong partnership with the Government of Ghana, the private sector, and Non-Governmental Organizations.

### Disaster resilient water and sanitation facilities for 265 communities

The programme supports 265 communities across 24 districts in flood-prone regions of Ghana to strengthen community resilience by building human and institutional capacity in disaster risk management, and expanding access to resilient water and sanitation services. UN-Habitat’s focus is on improving sustainable access to disaster-resilient water, sanitation and hygiene (WASH)

facilities for 200,000 people, among them 50,000 school children.

Selection of beneficiary communities was based on overall physical and social vulnerability, including levels of exposure to risk of flooding; incidence of water-borne disease; level of access to clean water and sanitation facilities; income levels; health status; prevalence of female-headed households; and literacy levels. Once selected, communities were involved in all programme activities, from identifying project sites to construction of the facilities and monitoring of progress.

The outcome was development of flood resilient water and sanitation technologies for incorporation into national standards; enhancing the capacity of local communities and national, subnational and district governments mitigate risk and manage disasters; and construction and rehabilitation of resilient water and sanitation facilities for residents of 265 settlements.

## Progress and Results

### Institutional and community disaster preparedness strengthened

UN-Habitat has spearheaded development of flood resilient water and sanitation technologies for incorporation into the national water and sanitation technical standards. To strengthen disaster response at all levels, Disaster Preparedness Plans and Emergency Preparedness and Response Action Plans have been developed in collaboration with the National Disaster Management Organization. Guidelines for water safety standards in flood-prone areas have been developed and shared with national and regional institutions for incorporation into the Ghana Standards for Water Supply.

### Access to water, sanitation and hygiene education in schools improved

Flood resilient water and sanitation facilities have been constructed in 57 schools benefitting over 8,000 within the selected communities. To encourage behaviour change in schools and communities, UN-Habitat has developed a values-based water and sanitation education curriculum for public and informal schools, in collaboration with the School Health Educational Programme of the Ghana Education Service.



“Before this borehole came, students used to go to the community to fetch water and it was the responsibility of girls. For this reason, girls were not ready to come to school and the ratio of boys to girls was 70 per cent to 30 per cent respectively. But now that there is water in school, girls are now interested in school and the ratio of boys to girls is now 45 per cent to 55 per cent respectively”

**Mr. Gyambuzie Ambrose, a teacher at Dabo D/A Primary & Junior High School in Upper west region, Wa west district.**

### Access to safe water supply improved

About 203,000 vulnerable persons in 265 marginalized communities now have access to safe water supply all year round and enrollment for girls has increased significantly. According to national standards, these communities now have an access rate of 100 per cent.

### Sanitation and hygiene in schools and communities improved

The school sanitation and hygiene education programme has benefited over 8,000 children in 57 schools, and open defecation free status in the 265 communities has increased to 85 per cent from the initial 10 per cent. The success rate has been attributed to integrated community level sanitation and hygiene

education and awareness campaigns. The Ghana Education Service is taking steps to mainstream the values-based approach into school curricula to scale up sanitation and hygiene education to the national level.

### Resilience and disaster preparedness strengthened

It has been demonstrated that risk to communities emanating from damage to water supply facilities and water contamination during flooding can be minimized by adopting resilient technologies. The new community-based resilient

**Bottom Left Image:** Resilient water and sanitation facility in a school. **Bottom Right Image:** Resilient Water borehole for a school in Northern Ghana.

© UN-Habitat





“Before this water came, we used to get sick frequently from diarrhea and cholera because we were using river water. We didn’t have any toilet; how can you think of building a toilet when you have to struggle looking for water to drink? Most people in this community are Muslims but there was no mosque. Since we got water, we don’t experience any more diseases, all households have built toilets and we have built a mosque”

**Resident of Kandia community, Upper Western Region**

water and sanitation facilities and services are managed and sustained by 227 trained water and sanitation management teams and 265 caretakers.

### **Institutional capacity for scaling up and sustainability strengthened**

Strategic steps have been taken to strengthen the capacity of communities and institutions to sustain and scale up interventions to enhance flood resilience. Technical and normative guidelines are being integrated into national policies and standards for the water and sanitation sectors to ensure scaling up and sustainability of innovative approaches developed under the programme at national level.

- Flood resilient water and sanitation technologies have been validated by national water and sanitation institutions in Ghana and policy dialogue is ongoing with a view to incorporating the technologies into national water and sanitation technical standards for implementation at national level before the end of 2018.
- Guidelines for Water Safety Plans in flood-prone areas which have been disseminated to relevant regional and national institutions are being incorporated into the national standards for water supply.
- Disaster and emergency preparedness and response action plans have been developed and validated for 24 target districts, and stakeholders have been trained in implementation of the plans at different levels.
- To sustain promotion of values-based water, sanitation and hygiene education through the School Health Educational Programme, the Ghana Education Service is mainstreaming the values-based approach into school curricula.
- The programme feeds into the national development policy framework (GSGDA II of 2014- 2017) and the Ghana Plan of Action for Disaster Risk Reduction and Climate Change Adaptation.



## Green energy and resource efficiency to reduce greenhouse gas emissions promoted in East Africa

### Introduction

Solutions to challenges related to environmental sustainability must focus adequately on how cities grow and are managed. Rational use of sustainable energy in cities and reducing energy wastage in buildings contributes to climate change mitigation and translates into huge economic development gains. UN-Habitat promotes sustainable building approaches which integrate passive designs, resource efficiency, and renewable energy technologies into building design and development. This contributes to reduced emissions of Green House Gases while catalyzing eco-friendly economic development.

UN-Habitat assists national and local governments to develop and implement sustainable urban energy and climate action plans and strategies, and promotes adoption of appropriate legislation to enable a gradual transition to low-carbon economies with environmentally sound urban infrastructure and services. Awareness and capacity-building tools to facilitate planning and implementation of sustainable urban energy projects constitute critical elements of support to governments.



Image: Industrial system solar water heater.  
© UN-Habitat



## The Situation

In 2011, the concept of Green Building was not well understood and was little applied in the building industry in Eastern Africa. Only a few modern buildings in the region were designed with any sustainability principles; notably, the incorporation of renewable energy technologies

such as solar energy. As countries in the region are among the fastest urbanizing in the world, the resulting high demand for housing and energy, sourced mainly from hydro-power sources, has outstripped supply.

Although the need to improve energy efficiency had been highlighted in the energy policies

of most countries in the region, none of them had legislation, by-laws or regulatory mechanisms to implement energy efficiency in buildings and construction activities. Despite widespread awareness of the importance of Green Building there was no clarity on required interventions.

## The Response

In 2012, UN-Habitat, UNEP and the Governments of Burundi, Kenya, Rwanda, Tanzania and Uganda jointly launched “*Promoting energy efficiency in buildings in East Africa*” a project to encourage “green building” by supporting city and municipal authorities to incorporate energy efficiency measures into housing policies, building codes, and building practices, thereby reducing greenhouse gas emissions.

At regional level, the project focused on standardization and knowledge sharing; at national level the focus was on amending building codes, regulations, and standards; and at local level, raising awareness and providing training and support in implementing building standards and by-laws in towns and cities was prioritized.

### Review of building codes, regulations and standards

UN-Habitat involved government, the construction sector, academia and the financial sectors in discussions about incorporating energy efficiency measures into building codes and practices to create an enabling environment for the sector to evolve and fully embrace green building practices.

### Mainstreaming energy efficiency measures into building codes and practices

UN-Habitat has advocated for and supported the creation of four national Green Building Councils in the region. Green Building Councils promote, encourage and facilitate green building in the local property

and construction industry through market-based solutions, focusing on advocacy and promotion, resources, education and training, and rating tools.

Government representatives and practitioners directly involved in the review or development of building codes and regulations in the target countries collectively developed the Kigali Declaration as part of the standardization and knowledge sharing on sustainable building in the Eastern Africa region. The Kigali Declaration on Mainstreaming Energy Efficiency in Building Codes, Building Policies and Building Regulation outlines the roles of the key actors.

## Progress and Results

### Individual and institutional capacity strengthened

The *Handbook on Sustainable Building Design for Tropical Countries* was produced in 2015 as a training tool for professionals at university level.

UN-Habitat has conducted workshops on green building concepts for journalists as a way of co-opting media as partners in the campaign to promote the approach to different audiences.

Demonstration activities and free technical advisory services on

energy efficiency measures have been made available to contractors and proprietors of building projects to help them meet sustainability criteria.

Promotional material targeting different stakeholder groups has been developed by UN-Habitat, and best practices are shared at forums bringing together sector practitioners and experts.

### Partnerships Development and International Cooperation

Development of viable technical partnerships has been at the core of UN-Habitat’s interventions to improve energy efficiency. The

Green Building programme engages with universities, civil society organizations, and government regulatory bodies to address ways of meeting growing demand for energy while protecting the environment.

UN-Habitat also promotes networking and cooperation among sector professionals to harness expertise and knowledge, encourages South-North and South-South cooperation with universities and other knowledge centres, and collaborates with European institutions specializing in energy issues in order to tap into their knowledge, experience.

### Policies and legal frameworks reviewed and mainstreamed into building codes

UN-Habitat has played a significant role in stimulating adoption of new policies and triggering creation of an enabling environment for policy reforms in which decision-makers appreciate the importance of green building and resource efficiency as a development agenda. To-date, Rwanda, Kenya, Uganda and Tanzania have integrated green building criteria into their building and construction policies.

The Government of Uganda integrated sustainability principles such as environmental conservation through efficient utilization of renewable energy and other resources into the housing policy approved in 2016. The Government of Rwanda adopted a new building code with a full chapter on energy, while the Government of Kenya adopted regulations on mandatory use of solar water heating systems in new buildings in 2012 which came into effect in 2017. The Government of Tanzania developed rules for energy efficiency in buildings in 2013 and resource efficiency measures are now a mandatory requirement for issuance of building permits. As appropriate policies are put in place, private investment in the sector is also growing.

### Institutional and Individual capacities strengthened

UN-Habitat's *Handbook on Sustainable Building Design for Tropical Countries* has been adopted as a textbook in a number of universities, an indication that the study and application of sustainability concepts is gaining traction in the sector. Sustainable building has been integrated into the curriculum of ten universities and institutions of higher learning in Africa, among them the Jomo Kenyatta University of Agriculture and Technology, the Uganda Martyrs University, Stellenbosch University, The University of Rwanda, and The American University in Cairo.

The Government of Uganda integrated the sustainability principles, such as environmental conservation through promotion of efficient utilization of renewable energy and other resources into their new housing policy, approved in 2016. The Government of Rwanda adopted a new building code with a full chapter on energy while the Government of Kenya adopted a regulation on mandatory use of solar water heating systems in new buildings in 2012, and has come into effect in 2017. The Government of Tanzania developed rules for energy efficiency in buildings in 2013 and now resource efficiency is included in the building permits requirements. As appropriate policies are put in place, private investment in the sector is also growing

The establishment of green building councils in Kenya, Tanzania, Rwanda and Uganda has contributed to rapid recognition and promotion of sustainable building in the region. These green building advocacy groups play a key role in promoting sustainable building at national and local levels. With more than 20 journalists trained, 50 articles published, and well over 500 practitioners trained, adoption of the green building concept is expanding in East Africa and demand for training has led to the development of an online training platform by UN-Habitat to meet stakeholders' needs.

Green building principles have been fully or partially incorporated into over 5,000 housing units to-date, while UN-Habitat has facilitated energy audits to assess energy consumption trends and establish energy benchmarks for 1,200 buildings. This work is particularly relevant as it is the basis for establishing an energy rating system.

### Towards green energy in Rwanda

Rwanda has been a member of the Global Green Growth Institute since 2012 and the Government of Rwanda was one of the first in the region to develop a green building code which includes a chapter on energy, and plans to start issuing green building certificates in 2018. Following development of its national housing policy in 2015, the Government of Rwanda established regulations requiring installation of solar water heaters in buildings around the country. In 2015 alone, 12,000 solar water heaters were installed countrywide, a saving of 23,328MWh on the national grid.

The government has introduced tax rebates of up to 25 per cent on the cost of importing solar powered water heaters, and minimum academic and professional requirements have been established for solar power technicians in the country. To enforce compliance with the regulations tough penalties have been set, with fines ranging from USD 12 to USD 5800, depending on the magnitude of the offence.

UN-Habitat and its local partners the Rwanda Institute of Architects and the Rwanda Housing Authority have facilitated establishment of the Rwanda Green Building Organization which supports the local construction industry to transform the way buildings and cities in the country are designed, built and operated. UN-Habitat has produced the Green City Toolkit to assist technicians in Rwanda to develop sustainable energy and climate action plans and implementation programs.

### **Kigali declaration on Mainstreaming Energy Efficiency in Building Codes; Building Policies and Building Regulation.”**

#### **Governments of the East African Countries to:**

1. Fully endorse and implement the concept of Energy Efficiency Building Codes (EEBC), and subsequently to review existing building codes, as well as guarantee the involvement and capacity building of relevant stakeholders in energy and resource efficiency requirements set by the new codes,
2. Adopt and integrate measures of energy and resource efficiency as an essential element of the EEBC,
3. Harmonize building codes, regulations and laws at the national and among the East African Community in order to achieve coherence,
4. Create public awareness among all relevant stakeholders regarding the importance of energy efficiency in buildings, the required and available measures, its contribution to mitigate climatic change and the urgent need to make individual contributions,
5. Identify and promote innovative approaches that demonstrate efficient use of energy and resources with particular emphasis on buildings (currently estimated to account for more than 40 per cent of the available energy),
6. Organize national and regional exhibitions and awards for the promotion of Energy and Resource Efficiency in Buildings,
7. Establish a regular forum for networking and exchange of ideas, experiences and best practices which could lead to sustainable buildings,
8. Actively participate in the collection and dissemination of the required data, especially climatic data that may lead to the successful implementation and recording of the effectiveness of the progress resulting from various initiatives under implementation,
9. Create an enabling fiscal environment for adopting energy and resource efficient technologies by the private sector,

#### **Development Partners in collaboration with the Governments to:**

1. Share experiences and resources to create both a knowledge pool and meaningful sustainable responses,
2. Facilitate and support the development of local expertise and research capacity through knowledge sharing, exchange visits, and thematic workshops and training courses,

#### **Training institutions to:**

1. Review and re-orient educational curricula to incorporate energy and resource efficiency as a theme to the benefit of various relevant stakeholders,
2. Undertake action research on affordable and appropriate building materials, cost-benefit and life-cycle analyses of energy and resource efficient buildings,

#### **The private sector to:**

1. Support and promote energy and resource efficient operations and lifestyle,
2. Establish voluntary market-based performance-oriented Green Building Rating Systems and to support mandatory Energy Performance Certificates and Energy Savings Performance Contracts,

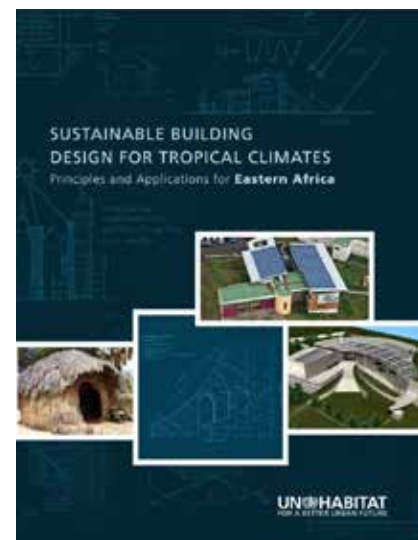
### **Kenya’s solar water heaters law enforced**

Kenya hopes to benefit from clean energies and reduce reliance on hydro and thermal energy sources thus reducing carbon dioxide emissions by as much as 15 per cent by 2030. The regulations are part of efforts to implement a green economy strategy towards sustainable development.

With the Energy (Solar Water Heating) Regulations of 2012 coming into force after a five-year grace period, buildings whose hot water requirements exceed 100 litres per day must install solar water heating systems. The Government has removed import duty and value added tax on renewable energy equipment and accessories.

### **Next Steps**

UN Habitat is disseminating its sustainability principles and tools to the wider public and strengthening existing Green Building Councils.



# Housing and Slum Upgrading

In both developing and developed countries, urban housing, whether for rent or ownership, is becoming increasingly unaffordable. In developed countries, young people are continuing to live with their parents for longer as they cannot afford housing of their own. In developing countries, some 881 million urban dwellers were living in slums in 2014, partly owing to the ineffectiveness of land and housing policies, among other factors. Slums are, in fact, a physical manifestation of poverty and inequality.

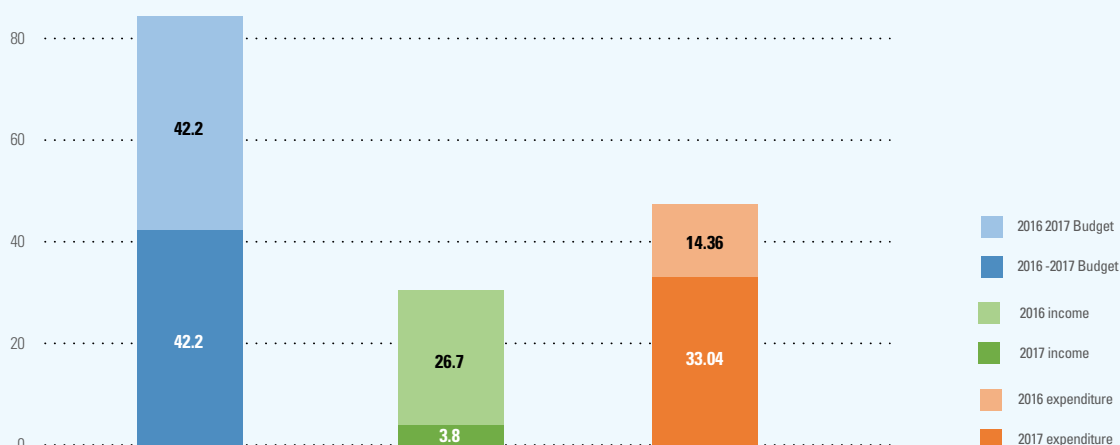
In responding to these huge challenges and in order to contribute towards the reduction of poverty and inequalities, UN-Habitat's work in housing and slum upgrading supports partners and all levels of government

in formulating and implementing housing sector reforms and legislation that promote progressive realization of the right to adequate housing as a component of the right to an adequate standard of living for all, increase the supply of adequate and sustainable housing, upgrade existing slums and curb the development of new slums. The prevention effort is made on the basis of a strategic approach to housing that places housing at the centre of the city and urban policies. It focuses on improving the supply and affordability of serviced land and new housing opportunities, while also implementing city-wide and national slum upgrading programmes to improve housing and the quality of living conditions of the poor.

## KEY ACHIEVEMENTS

- 35 partner countries are implementing improved housing policies in line with Global Housing Strategy principles
- UN-Habitat has supported Ghana, Zambia and Myanmar to finalize implementation strategies and 10 national governments which are developing housing profiles and policies.
- 19 cities in the USA, 26 countries in Europe, and 8 the Asia Pacific region have adopted mandatory or voluntary policies for incorporation of energy efficiency options in the building sector.
- 20 national Green Building Councils have been established in Africa and five in Latin America and the Caribbean and are promoting sustainable building concepts.
- Under the Participatory Slum Upgrading Programme, 160 cities in 40 countries are implementing slum upgrading and prevention policies, strategies and programmes.
- 36 communities in partner countries are implementing participatory slum upgrading and prevention initiatives.

**Figure 9: Housing and Slum Upgrading 2016 - 2017 budget, income and expenditure in USD millions**

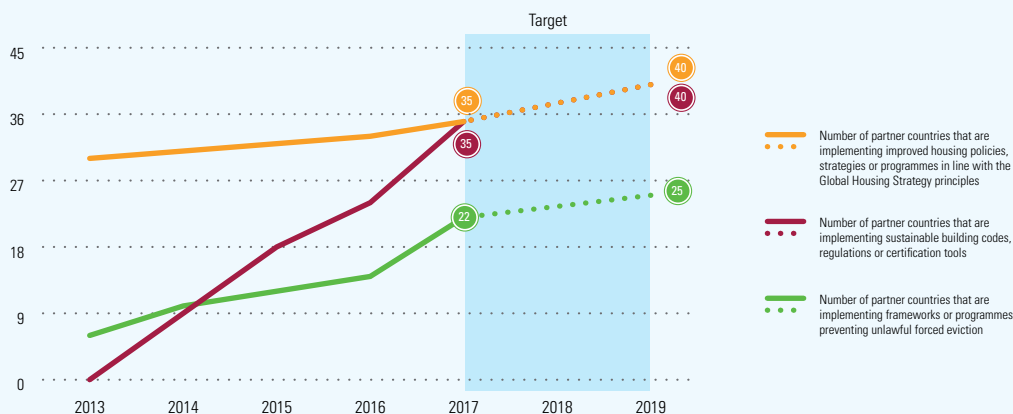




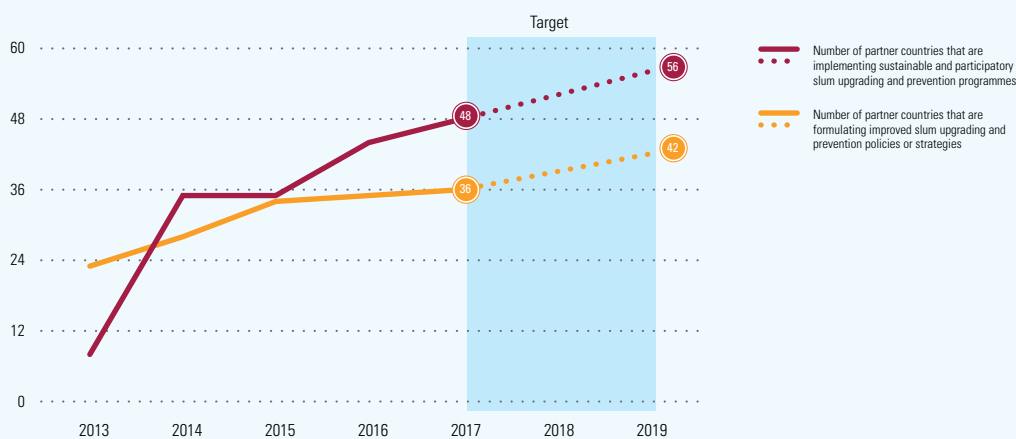
## Progress on expected accomplishments in strategic plan

All the seven indicator targets set for 2017 for the three expected accomplishments were successfully achieved. By the end of 2017, 35 partner countries were implementing housing policies, programmes and strategies as well as sustainable building codes while 22 countries have frameworks in place to prevent forced evictions. Sustainable building codes have also been adopted at city level in over 20 cities. 48 countries are implementing slum upgrading and prevention policies and 36 are formulating and reviewing policies and strategies. In 36 cities, communities have been empowered to lead and implement slum and informal settlement upgrading initiatives as well as 27 have community representation in National Habitat Committees through national Country Teams. Targets for the end of the current strategic plan in 2019 are likely to be met because resources for engaging seven new countries for indicator 1 and 3 as well as for 13 countries for indicators 4, are secured for the period of 2017/2018.

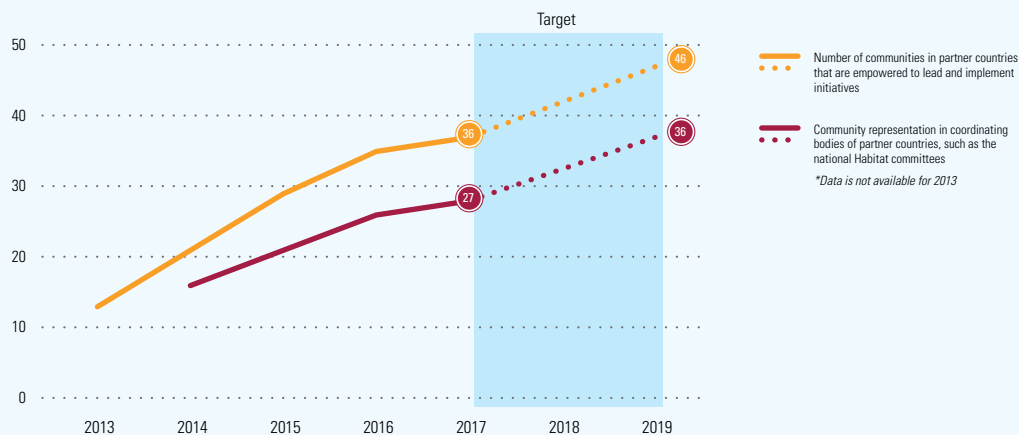
### E.A 5.1: Improved housing policies, strategies or programmes in line with the principles of the Global Housing Strategy and the promotion of the realization of the right to adequate housing as a component of the right to an adequate standard of living



### E.A 5.2: Improved slum upgrading and prevention policies, strategies or programmes



### E.A 5.3: Improved slum upgrading and prevention policies, strategies or programmes



# Transforming lives in slums through participatory slum upgrading in Cameroon

## Introduction

The Participatory Slum Upgrading Programme, initiated by the Secretariat of the African, Caribbean and Pacific Group of States (ACP), financed by the European Commission builds on ten years of learning, knowledge and implementation experience of UN-Habitat in 40 ACP countries and more than 160 cities.

Countries have applied a participatory integrated approach that leads to inclusive policy frameworks and at the same time puts policies into action through tangible community-led projects. It created entry-points for transformation at global, national, city and community levels and provided the path towards sustainable slum upgrading and prevention.

The programme guides countries such as Cameroon towards operationalizing their policies and development of frameworks on participatory slum upgrading.

## The Situation

Cameroon is home to 936,740 slum dwellers out of a total population of 2.3 million. The national and local authorities lack the capacity and resources to address the challenge adequately, and consequently, the only responses to the problem of slums in Cameroon before implementation of the Participatory Slum Upgrading Programme was forced evictions.

## The Response

In Nkolbikok the Participatory Slum Upgrading Programme organized women and youth leaders, partnered with Non-Government Organizations to facilitate community training, and introduced Community Managed Funds for citywide slum upgrading and prevention activities, with waste management as a priority. Youth leaders established small-scale enterprises to partner with local authorities in turning the challenge of waste management into an income generating activity by recycling the garbage they collected, in addition to charging the communities affordable fees for their services. Acquisition of vehicles and equipment was financed through the Community Managed Funds.



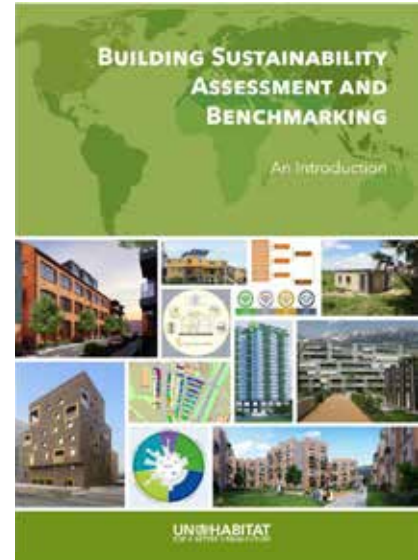
Image: Community representative with dummy cheque in Nkolbikok. © UN-Habitat

## Progress and Results

- The Government of Cameroon has fully financed replication of the model in 23 cities. A citywide slum upgrading and prevention strategy prepared for Yaounde was replicated in seven cities (Garoua, Bamenda, Bertoua, N’Gaoundéré, Douala, Yaoundé, Kribi, Bafoussam).
- The National Planning Act in 2016 has been revised to facilitate participatory citywide slum upgrading and prevention. It has devolved slum upgrading to local authorities, made forced evictions illegal, and made participatory planning mandatory for all slum upgrading projects.
- Living conditions for slum dwellers have improved with better access to basic services such as water and sanitation, and the reduced effects of flooding as a result of better drainage systems.
- The involvement of youth groups in waste management has not only provided job opportunities to 15,000 young people, but also led to reduced rates of crime and violence.

Image: Youth organization receiving their equipment for solid waste management project.

© UN-Habitat



## From policy to impact – UN-Habitat influences repositioning of housing at the centre in Mexico

### Introduction

UN-Habitat advocates a paradigm shift in the sustainable urban development agenda, placing *Housing at the Centre* in a holistic approach prioritizing people and protection of their basic human rights. This principle is embedded in the New Urban Agenda and feeds into UN-Habitat policies and strategies globally.

UN-Habitat's policies and strategies for sustainable urbanization help national governments to integrate housing into national urban policies, and at the local level, they promote the central role of housing in ensuring sustainable development of cities and human settlements.

In partnership with over 40 partners, UN-Habitat has developed a Global Housing Strategy to guide countries in adopting strategies, policies and legislation for planned and sustainable urbanization that ensure

engagement with all citizens, particularly the most vulnerable. The positive results of these efforts in Mexico demonstrate the impact of housing-centred and human-centred principles not only on the challenges of coping with a grave backlog in supply of housing units, but also on ensuring adequacy and relevance of new or renovated units.

### The Situation

Mexico is a highly urbanised country with nearly 80 per cent of its population living in urban areas. Between 1970 and 2000, the surface area of Mexico City grew 1.5 times faster than its population. With high rates of uninhabited housing and the segregated development of housing projects stemming from severe income disparities, Mexico City is faced with massive urban sprawl, as are many other cities in Mexico.

### The Response

By avoiding a pure building in numbers approach UN-Habitat has contributed to both quantitative and qualitative improvements to the provision of housing in Mexico. The groundwork was laid by introducing a mechanism for measuring city prosperity, enabling Jesús Pablo Lemus Navarro, the municipal president of the city of Zapopan to set a clear goal "to rank Zapopan first in the City Prosperity Index at the national level." The municipality has adopted a transformative strategy that places housing and individuals at the centre of all city planning initiatives.

Access to affordable mortgage financing is provided through partnership with a financial institution which has historically focused on affordable mortgages for low-income groups. "This allows us to reach 93 percent of the urban population and work for a better future financing stories of life," says David Penchyna who is Director of Infonavit, the largest mortgage lender in Latin America. In 2016 the it allocated nearly 60 percent of its mortgages to households earning less than USD 500 per month. This partnership is therefore a crucial way of contributing to achievement of the SDGs by reaching out to low-income segments of the population.



## Progress and Results

To maximize outcomes and develop mutually reinforcing interventions, *Housing at the Centre strategies*, policies and legislation must be simultaneously adopted and synchronised at the national and local levels.

In 2015 Mexico adopted UN-Habitat's *City Prosperity Initiative (CPI)*, a tool which measures six dimensions of urban prosperity: productivity, infrastructure development, quality of life, equity and social inclusion, environmental sustainability, and urban governance and legislation. Through the CPI, UN-Habitat is providing over 300 municipalities in Mexico with much-needed data as a basis for reforming the housing sector through responses targeting areas of greatest need and areas where performance of municipalities is least effective.

Following analysis of institutional structures in the municipality of Zapopan by UN-Habitat, a rapid institutional reform strategy was adopted to strengthen municipal

housing institutions, leading to closer integration of housing in the planning process. This will curb proliferation of informal settlements and dovetails into a concrete set of measures designed to ensure implementation of the localised 2030 Territorial Strategy. Provision of reliable data will thus help the municipality of Zapopan to develop sound and sustainable housing policies.

UN-Habitat and Infonavit are working towards establishing an *SDG Certification Programme* for Housing which will assess compatibility of real estate development projects with relevant Sustainable Development Goals – key among them Goal 11 - *to make cities inclusive, safe, resilient and sustainable*.

By linking eligibility of potential clients to dedicated financing opportunities offered by Infonavit this certification programme will give real estate developers greater incentive to develop projects that comply with provisions and indicators of Sustainable Development Goals.

### Next steps

CPI enables national governments and municipal authorities to monitor and measure their contribution to addressing the challenges of sustainable urbanization by providing them with a universally standardised tool for developing relevant, sound, and cohesive strategies and policies at all levels of governance.

# Risk Reduction and Rehabilitation

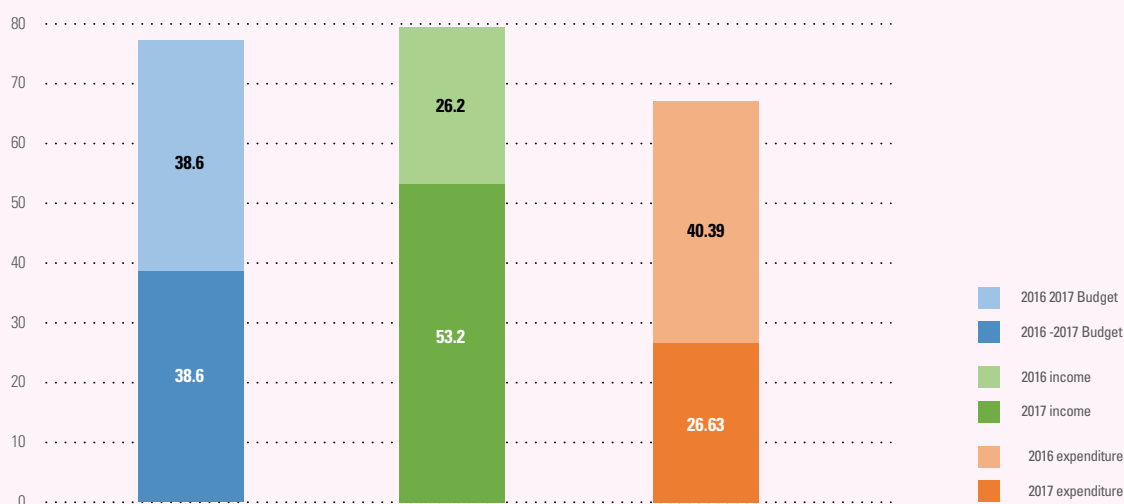
Against the background of increasing vulnerability to the impacts of climate change and environmental degradation, as well as other risk drivers, such as the consequences of poverty and inequality, unplanned and rapid urbanization, and poor land management, many developing country cities are unable to implement preparedness and risk reduction programmes, including retrofitting their infrastructure. In some developed countries, the vulnerability of many urban dwellers to natural disasters is often a result of poverty, inequality and the absence of socially inclusive policies.

To address this challenge, UN-Habitat’s work in risk reduction and rehabilitation focuses on both reducing urban risks and disasters and on responding to urban crises through its Resilient Cities and Settlements Recovery programmes. It supports crisis-affected cities and other human settlements in terms of both disaster prevention and disaster response, by promoting “rebuilding by design” approach. The agency also supports increase of resilience of cities and human settlements to the impacts of natural and human-made disasters and undertakes response recovery and rehabilitation in ways that advance sustainable urban development.

## KEY ACHIEVEMENTS

- 17 national governments and 135 local authorities have included urban risk reduction and management in their development plans for greater resilience.
- Through its City Resilience Profiling Programme 13 new cities have put in place risk reduction and resilience building policies, strategies and programmes using tools such as City Resilience Profiling Tool.
- Trends in Urban Resilience 2017 a flagship publication citing city case studies is contributing to raising awareness about the importance of risk reduction and disaster resilience.
- UN-Habitat is actively engaged in settlements recovery efforts in Syria, Nepal, Somalia, Iraq, South Sudan, Afghanistan, Democratic Republic of Congo and Haiti. It has also supported post-disaster needs assessments in Ecuador, Sri Lanka and Haiti, providing crucial insights on community led, holistic approaches to recovery from disasters.
- UN-Habitat has developed City Profiles for countries in crisis such as in Haiti, Iraq, Lebanon, Libya and Syria which have improved the ability of governments, donors and other stakeholders to provide more strategic and sustainable interventions.

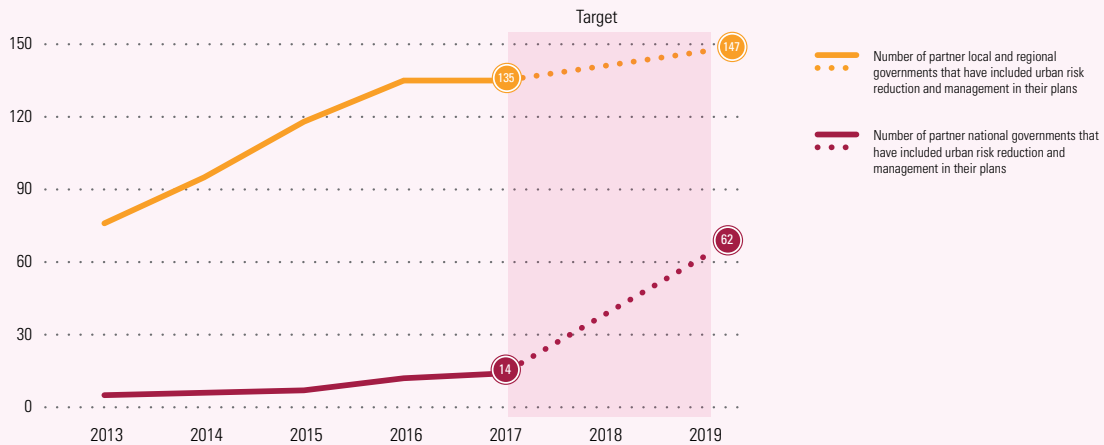
**Figure 10: Risk Reduction and Rehabilitation 2016 - 2017 budget, income and expenditure in USD millions**



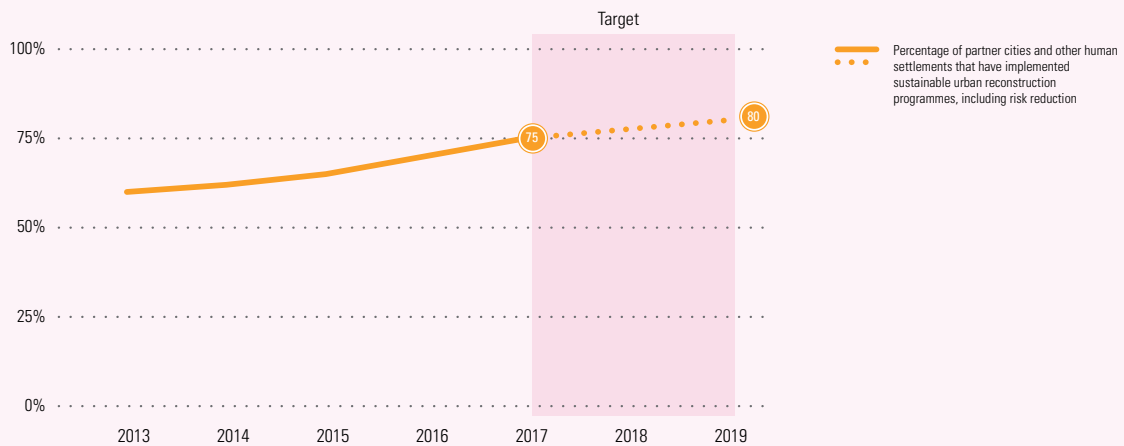
## Progress on expected accomplishments in strategic plan

Indicator targets for 2017 for the three expected accomplishments were substantially met. In expected accomplishment 6.1, more than 147 local and regional partner governments, (against a target of 135), included risk reduction and resilience into their planning frameworks while 14 partner national governments also included risk reduction and resilience into their management plans against a target of 14. For expected accomplishments 6.2 and 6.3, all targets for 2017 were met with more than 75 per cent (against a target of 70 per cent) of partner cities implementing sustainable urban reconstruction programmes including risk reduction. On post-crisis shelter programming more than 60 per cent of all shelter rehabilitation programmes contributed to disaster- resilient permanent housing, which was above the target of 50 per cent set for 2017.

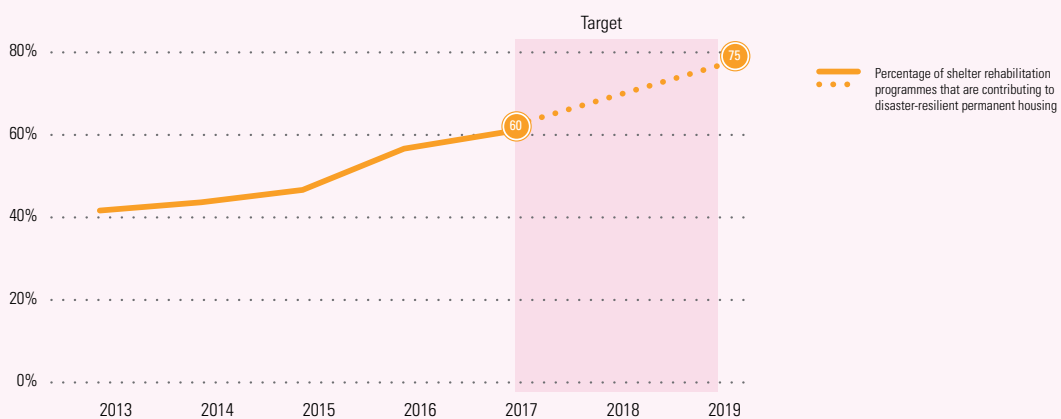
### E.A 6.1: Improved urban risk reduction policies, strategies and programmes adopted for greater resilience of cities and other human settlements



### E.A 6.2: Improved settlements recovery and reconstruction interventions for long-term sustainability in cities and other human settlements



### E.A 6.3: Improved shelter and related infrastructure rehabilitation programmes in crisis responses contributing to sustainable and resilient cities and other human settlements





## Durable solutions for sustainable reconstruction promoted in post-conflict Sri Lanka

### Introduction

UN-Habitat's interventions in post-conflict and post-disaster focus on emergency response and sustainable reconstruction in urban areas and human settlements. Through the early engagement in humanitarian crisis, UN-Habitat is able to support member states and influence the direction of humanitarian effort towards durable solutions that help build resilience and offer affected people a sustainable road to recovery.

UN-Habitat uses a participatory people-centered approach known as the Peoples' Process. It recognizes that individuals and communities possess resources and capabilities to develop their communities and rebuild their lives. In addition to providing direct support to communities affected by conflict, UN-Habitat has also been active in supporting a national and sub-national urban policy to promote

cities as catalysts of reconstruction and reconciliation in regions of Sri Lanka recovering from the effects of civil conflict. the country.

### The Situation

When three decades of conflict ended in May 2009, some 450,000 Sri Lankans were displaced, lost homes and family members, and had no means of earning a living. Although the government focused on repairing and rehabilitating major infrastructure, there was need to rebuild homes and communities.

Close to 160,000 houses were damaged in the northern and eastern provinces. Social structures providing support to the conflict-affected communities were weakened because of the conflict.

For years, returnees were housed in temporary shelters with little or no access to basic amenities and services.

**Top Image:** Internal Access road rehabilitated by a Women Rural Development Society in the North of Sri Lanka with funding from the Government of Japan. © UN-Habitat



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## The Response

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Since 2010 UN-Habitat has supported the government and people of Sri Lanka with the reconstruction and repair of 31,350 houses and over 520 community infrastructure facilities in the north and east of the country. Through financial support from the governments of India, Japan, Australia, Switzerland, and the European Union. Reconstruction was carried out through a people's process in which home-owners were involved in rebuilding and repairing their homes through grants provided by the programme.

UN-Habitat's technical assistance included design, preparation of the bills of quantities, assistance with securing land tenure rights, obtaining local authority approvals, and training on disaster risk mitigation and environmentally friendly construction methods. Homeowners and local artisans were equipped with relevant

skills through training provided by UN-Habitat and its partners. Disaster risk reduction was incorporated into the design and construction of the homes and community buildings to ensure resilience to natural disasters and cost-effective and environmentally friendly practices were adopted.

Alternative and eco-friendly technologies were used to minimize over extraction of environmentally sensitive natural resources like timber, sand and rock aggregates, including fair faced wall construction techniques which eliminated need for plaster; recycling salvaged materials from demolished structures; promoting use of plantation timber as a substitute for forest timber; and using durable building debris in foundations and on floors.

Housing was not the only focus in the post conflict reconstruction work in Sri Lanka. UN-Habitat supported the construction of several community infrastructure facilities, as shelter without a supporting infrastructure is not a complete package for durable solutions. For a community to function properly, the infrastructure should be strengthened. Functioning roads, drainage systems, water supply schemes and pre-schools are all a necessary aspect of a true community that works properly.

UN-Habitat supported communities to construct or rehabilitate multi-purpose community centres, internal access roads, storm water drainage systems, storage facilities for agricultural produce, irrigation channels, and community wells, pre-school facilities, schools, and teacher's quarters.

## Progress and Results

An estimated 450,000 internally displaced people in northern and eastern Sri Lanka have benefited from 31,000 reconstructed homes and 520 community facilities completed through the participatory

people's process. Permanent homes have provided families shelter from the elements, as well as safety and security.

By enabling people to rebuild their homes and communities, a strong sense of ownership has been

achieved and the housing needs and expectations of thousands of families were fulfilled.

**Image:** Permanent home constructed with compressed stabilized earth blocks.  
© UN-Habitat





“UN-Habitat staff visited the construction site regularly and provided a lot of support especially in selecting the house design and good quality building materials. I am so happy that I managed to complete the house during such a short time period. Now, I am hoping to extend the house with a front verandah so that the children will have more space to play,”

**Ms. Jeyakumar Jeevakala, a female headed homeowner, from Kilinochchi district in Northern Sri Lanka.**

**Left Image:** Permanent homes have adequate space for livelihood activities such as tailoring.

**Right Image:** Rice paddy stored in a community storage facility in Kilinochchi district

© UN-Habitat



“My greatest wish is to provide a proper education for my children. I have improved my tailoring business after moving to the new house. I believe this income will help in fulfilling my children’s needs without having to depend on any external assistance”.

**Mrs. Srikanthy, a housing beneficiary from Kilinochchi district**

Living in permanent homes with more space and freedom has transformed the lives of families and improved livelihoods as commercial activities such as tailoring, fishing net repair, and bicycle repairs can now be carried out in a more secure environment.

Communities in the northern and eastern parts of the country are better prepared for prevalent natural disasters especially severe storms and flooding. The rebuilt homes and community facilities are designed and constructed for natural disaster resilience and people are better informed about mitigation measures. Pre-schools and community centres serve as safe shelter in times of natural disasters. Incorporation of storm water drainage systems constructed with culverts in the roads has contributed to the reduction of flooding risk. Storm water is diverted to streams and paddy fields away from settlements.



**Bottom Left Image:** Storm water drainage system constructed in Puliampokkanai GN division  
© UN-Habitat



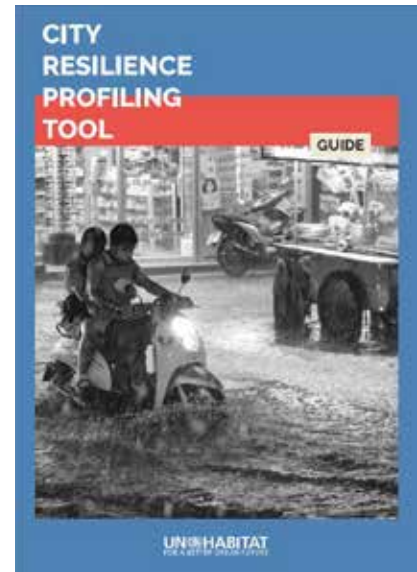


“This project gave us the opportunity to work with both the community and the Government. We now have a close bond with the community. We are grateful to the donor for the financial support and to UN-Habitat for guiding us to construct the structure”.

**Mrs. Rajeswary, President of the Women’s Rural Development Society of Puliampokkanai, which constructed a storm water drainage system**

Equitable distribution of the community infrastructures ensured inclusiveness and cohesion among the beneficiaries. Each village received at least one rebuilt infrastructure including schools, community centers, roads, drainage systems, rainwater harvesting structures, wells and irrigation channels.

Inclusion of office space for local authorities within the community centres contributed to improved access and delivery of services to the communities. Pre-schools, schools and teacher’s houses built have contributed to improved learning environment and benefited about 7,000 students and over 400 teachers



**Bottom Image:** Newly constructed school classroom building in Mannar District.  
© UN-Habitat



“We didn’t have a proper place to hold mass meetings and attend to our administrative work,’ said Ms. Thasavaran, from Grama Niladhari of Thiruvaiyaru village in Kilinochchi. “Several government field officers including the Grama Niladhari, Development Officer, Samurahi Development Officers and Public Health Midwives have been working in the village without a proper building or facilities. We faced many difficulties, especially during the rainy season. We are grateful to the Japanese government for this assistance.”

Local capacity in the use of cost effective and environmentally friendly technologies and practices introduced in the community has been enhanced as homeowners and members of village development committees who were trained continue to use their skills to develop their communities

The community based organisations with elected members who were responsible for the construction of the community facilities ensured inclusiveness, strong ownership and sustainability of these facilities.

## Next Steps

In addition to the scaling up of the reconstruction and rebuilding of lives of conflict-affected communities, UN-Habitat's focus has shifted to strengthening local capacity for sustainable urban development.

UN-Habitat is currently supporting the government of Sri Lanka in urban policy and planning for the cities in the North and East to promote reconstruction and reconciliation. The ongoing State of Sri Lankan Cities Project, supported by the Australian government, aims to support evidence-based urban policy making across Sri Lanka.







Image: Newly constructed school classroom building in Mannar District.  
© UN-Habitat

# Research and Capacity Development

While the role of cities and local authorities is becoming increasingly important in the global sustainable development debate, awareness of and the importance attached to urban challenges and opportunities remain low in many developing countries. As a result, not many governments integrate specific urban issues in their national development plans.

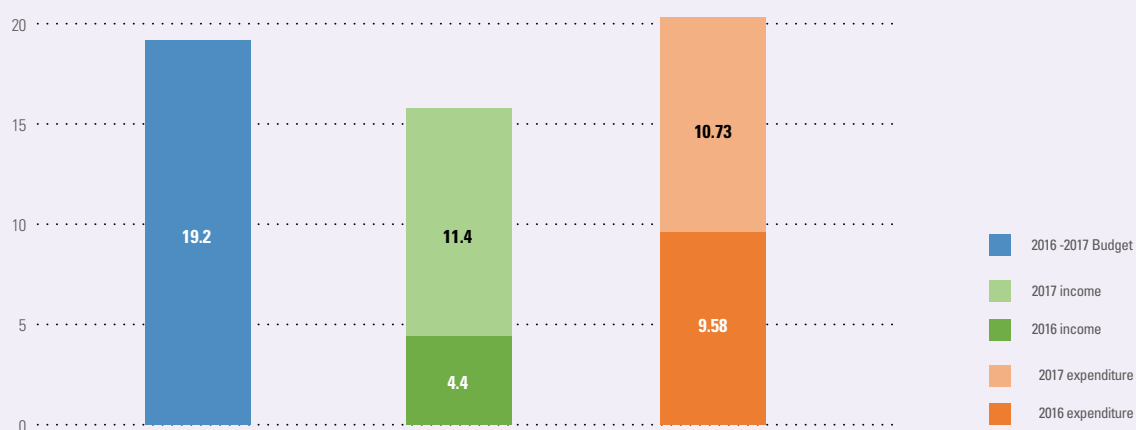
UN-Habitat helps address these concerns at the global and country levels (both national and subnational). UN-Habitat’s work in research and capacity development helps countries improve knowledge on sustainable urbanization issues and their capacity to formulate

and implement evidence-based policies, plans and programmes at the local, national and global levels. Under this subprogramme, UN-Habitat reports results of local and global monitoring and assessment on urban trends and conditions to governments and habitat agenda partners by conducting research on key topics and producing the World Cities Report and other knowledge products. UN-Habitat also supports the coordination of the monitoring and assessment of the implementation of Sustainable Development Goal 11 of the 2030 Agenda for Sustainable Development and the New Urban Agenda.

## KEY ACHIEVEMENTS

- Over 400 cities, globally, are implementing the CPI enabling them to undertake diagnostic, participatory planning and supporting evidence based policy decisions.
- 52 partner national statistical offices are using UN-Habitat tools and guidelines producing urban data and indicators that support monitoring and reporting on the Sustainable Development Goals.
- 181 national and local authorities and partners have implemented plans and strategies for sustainable urbanization.
- 374 urban observatories are using UN-Habitat tools, methods and data in monitoring urban trends and conditions at national and local authority levels.
- 375 local governments and 25 national governments used UN-Habitat flagship publications and best practices database for policy formulation.

**Figure 11:** Research and Capacity Development 2016 - 2017 budget, income and expenditure in USD millions



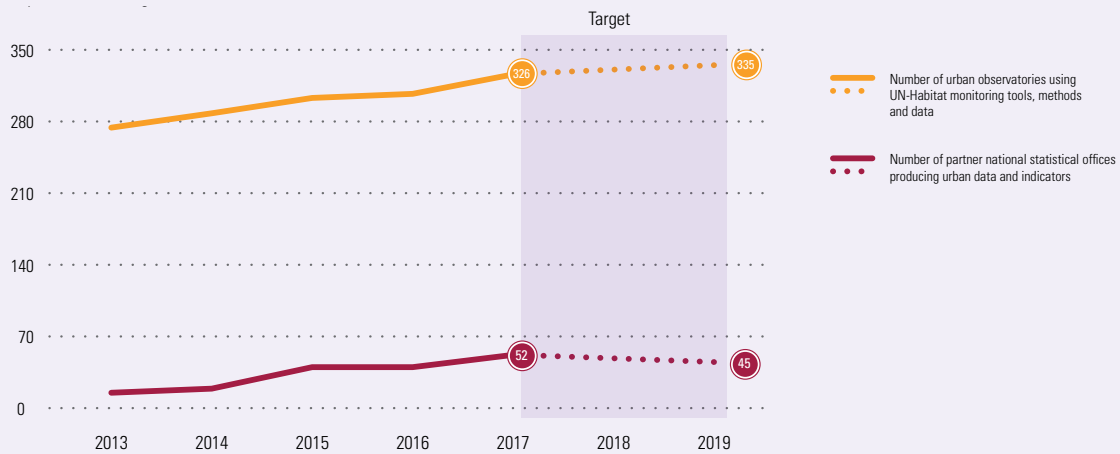
## Progress on expected accomplishments in strategic plan

Five out of six indicator targets for the three expected accomplishments set for 2017 were successfully achieved. There has also been relative increase in demand for capacity building on data collection and monitoring. The number of partner statistical offices producing urban data and indicators was slightly below target. This variance was due to inadequate funding and the focus on less developed countries under the MDGs. With the SDGs and New Urban Agenda providing universal coverage for all urban indicators, more statistical offices globally are now being supported.

National and local governments that have used the World Cities Report for policy formulation and engagement have increased by 85

per cent between 2014 and 2017. This can be attributed to improved dissemination of the report through electronic medium and the online platform created for the 2016 report. Significant progress was achieved in the number of national and local authorities as well as other Habitat Agenda partners that are formulating evidence-based policies or programmes which increased by over 85 per cent in the past three years. The increase is due to the training programmes in cooperation with partners such as the Centre of Liveable Cities (Singapore), Institute for Housing and Urban Development Studies (Netherlands), International Urban Training Center (South Korea) and Arcadis International.

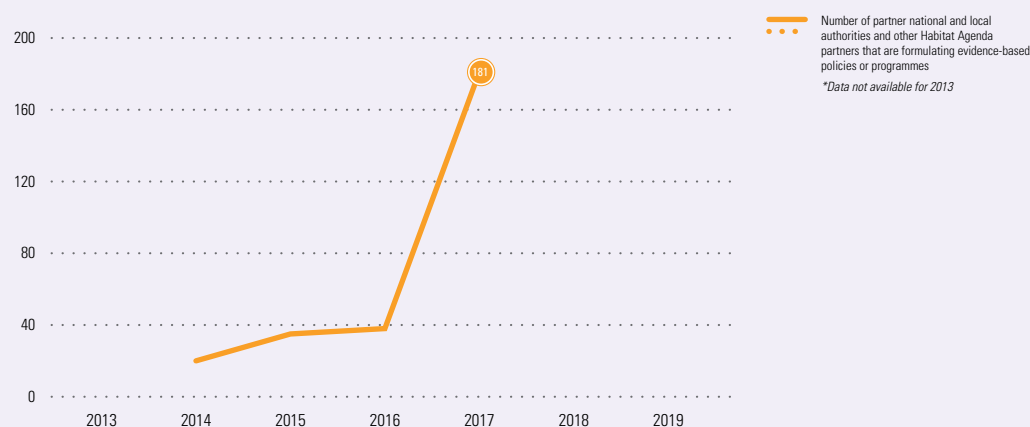
### E.A 7.1: Improved monitoring of urban conditions and trends



### E.A 7.2: Improved knowledge of sustainable urbanization issues at the local, national and global levels



### E.A 7.3: Improved capacity of national and local authorities and partners to formulate and implement informed policies or programme



## Strengthening capacities of national Governments and local authorities for evidence-based decision making for sustainable cities

### The Situation

The outcome document of the United Nations Conference on Sustainable Development, entitled "The future we want," recognizes that well planned and developed cities can promote economically, socially and environmentally sustainable societies. However, poor planning, inadequate governance and legal frameworks, fragile institutions, capacity deficiencies within local authorities, and lack of sound monitoring mechanisms diminish the potential of many cities to promote long-term sustainable urban development.

A global monitoring mechanism that is adaptable to national and local levels is urgently needed to provide a general framework that allows cities, countries, and the international community to measure progress and identify possible constraints, pre-empting unintended development.

High percentage of cities ultimately formulate policies and action plans without clear evidence and information. It is estimated that as high as 65 per cent of local authorities do not know how and why the city is growing in specific directions and who is behind this growth. Cities without the proper tools for planning run the risk of ending up in an unwanted situation.

Despite considerable progress in recent years, whole groups of people are not being counted and important aspects of people's lives and city conditions are still not measured. This can lead to the denial of basic rights for citizens. The city is denied the transformative potential which urbanization offers.

Too often, existing city data is not adequately detailed, documented and harmonized, or is simply not available for a whole host of critical issues relating to urban growth and development, which impacts the quality of decision-making.



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## The Response

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### “Better data for better policies”

In 2012, UN-Habitat created the City Prosperity Index as a main component of the agency’s flagship report “*The State of the World’s Cities*” to monitor urban sustainability and prosperity. One year later, UN-Habitat received numerous requests from local authorities and central governments to estimate their respective prosperity indexes. Mayors and other decision-makers wanted to know how their cities feature in comparison with other cities. This included knowledge on how to improve ratings and measurements of cities towards the prosperity path, including gaining critical insights in to which programmes and policies work, and the possible impact of actions taken.

A predetermined set of products and services including the collection and analysis of critical data about a city; refined diagnosis; preparation of plans and policies; adoption of

best practices; and the monitoring of results and impacts of these policies are all consolidated into a single product by the City Prosperity Index (CPI). Cities are now able to make better decisions with the benefit of internationally validated data and indices.

Local and national governments are interested in creating urban indicators and baseline information

for their cities, often for the first time, while city leaders want to define targets and goals supported by evidence-based policies and support in developing city visions and long-term plans based on reliable data and timely information. Some national governments have financed the development of a CPI for several cities in their respective countries.

The government of Colombia financed 23 cities (the capitals of the provinces); the Kingdom of Saudi Arabia financed 13 cities and the National Bank of Housing in Mexico signed a second agreement with UN-Habitat to cover a total of 250 cities with a budget of 3.2 million dollars. It is not only local and national governments that are interested in joining the CPI, national and international development banks have shown interest as well. CAF – Regional Development Bank for Latin America – and the Centro American Development Bank for Economic Integration (BCIE) paid for 5 and 3 cities from the region, respectively; foreseeing important opportunities for direct economic interventions in cities and interactions with city authorities through CPI findings.

## Progress and Results

CPI offers a unique and holistic view of sustainable urban development, articulating the different dimensions of city growth in four unique ways:

- 1. A flexible monitoring framework.** The CPI considers the contextual needs and aspects of cities. It promotes a new urbanization model that is universal (cities that are compact, resilient, socially diverse, energy efficient and economically sustainable) and it recognizes the need to be adaptable to different city and country circumstances, according to diverse urbanization challenges and opportunities.

**Policy Implications** - As part of its flexible approach the CPI has a double function, as a platform for global comparability

### CPI – advantages for development banks

- Updated database on indicators for the different dimensions of prosperity
- Portfolio of Best Practices
- Opportunity for direct interventions in cities and interaction with city authorities
- Financial interventions in capital development projects
- Better insights on urbanization trends and city development
- Guaranteed visibility in the UN system and the international development community, as part of the banks’ efforts to subscribe to global compacts on social responsibility.

in which cities can assess their situation, and compare their rate and present performance with other cities worldwide; and as a strategic policy tool where the data and information is adapted to local or contextual needs, and used to measure progress and identify deficiencies in the different dimensions of prosperity.

- 2. A framework that promotes integration.** The CPI promotes integration in the implementation of a more sustainable urbanization model to address the environmental, social and economic objectives of sustainability.

**Policy Implications** - The CPI looks at interactions between different components of the urbanization process and measures inter-sectoral

### CPI – value for money, advantages for cities

A unique index on prosperity and sustainability focusing on individual cities, looking beyond economic growth and including quality of life, adequate infrastructure, equity and environmental sustainability

- Baseline data that helps in defining targets
- Generic (comparability) and city specific indicators
- A diagnosis that identifies needs and opportunities
- Action plan on the way forward – a path towards prosperity and sustainability
- Policy formulation and reform based on indicators and informed diagnostic
- Exchange of Best Practices and Policies
- A local monitoring mechanism

relationships. It assesses possible effects of specific policies on different dimensions of prosperity. Using regression and correlation analysis and association of variables, the CPI can accurately determine the positive impact of a selected policy on city growth.

**3. An innovative tool based on spatial analysis.** New indicators such as street connectivity, public space and agglomeration economies provide clear spatial distributions that help increase value judgment and support decision-making.

**Policy Implications –** The Innovative spatial indicators of the CPI aim to measure these transformations in order to address them with reinvigorated urban planning and design, adequate laws and institutional frameworks, and local economic development solutions.

**4. A multi-scale decision-making tool.** The CPI gives decision-makers the ability to make adequate and evidence-based decisions from a territorial perspective, articulating different tiers of government and sectoral interventions in urban areas.

**Policy Implications -** The CPI provides national, state and subnational governments and local authorities with the necessary data and information to define territorial levels for coordination of roles and responsibilities. This functions according to the

principle of active subsidiarity and institutional collaboration.

Institutional capacities strengthened for evidence-based decision making and implementation

The CPI has been implemented in more than 400 cities across the world. In cases where interventions have been completed or are well-advanced, the impact has been mostly at the institutional level. Cities and countries are strengthening their policy making and implementation capacities and creating tangible conditions to implement transformative solutions.

The following are examples that showcase the impact of CPI in cities:

**Bucaramanga, Colombia.** This is a prime example of a city which has successfully been able to convert hard data and statistics to public policies at a local level. After the 2015 publication of the CPI results in 25 cities in Colombia, Bucaramanga City maximized the impact of the results of the CPI to promote sustainability by using the results obtained as a basis to implement concrete actions.

Bucaramanga first identified strategic projects for the city through processes which involved both the government and the civil society. UN-Habitat's conveying capacity and the CPI's up-to-date data were fundamental to promote trust with city inhabitants and stakeholders. This was critical to adopt open and transparent processes. In the 2017 second phase, Bucaramanga was able to redesign the City Master Plan

based on the CPI findings. The city local council then decided to adopt the CPI framework as the official local monitoring tool. The city has further advanced using the CPI by connecting studies on the urban form with local economic development and productivity.

The identification of local economies of agglomeration connected to residential densities and the provision of infrastructural development has enabled the city to consolidate its productive base. Using CPI data, the city has proposed new areas for the development of sustainable densities that are connected to the regional market.

**Zapopan, México.** This is one of the wealthiest, but also one of the poorest municipalities in Mexico. Zapopan is part of the second largest agglomeration in Mexico, part of the municipality of Guadalajara. Zapopan was the first municipality in the country to use the CPI in 2015 and was able to use data and information to design 5 transformative urban planning interventions in 2016. These interventions were adopted through innovative participatory processes, which involve different sectoral departments of the municipality and a wide range of stakeholders. By building such a consensus, it was critical for the new elected local government to endorse these proposals in 2017, ensuring political and administrative continuity. Today budgetary and institutional resources are used to implement these strategic plans.

Another positive impact is that the new administration has used CPI findings and results to create an economic and spatial agenda, which responds to one of the fundamental challenges of this municipality: urban sprawl, low densities and environmental degradation. Zapopan's use of this tool led to the revision of the CPI framework in the country, permitting to scale-up CPI intervention to more than 100 cities in Mexico.

Mexico – CPI at national scale implemented in collaboration with the National Workers' Housing Fund Institute. IINFONAVIT, the largest mortgage lender in Latin America, has supported the calculation of the CPI at a national scale. Data provided by the CPI has enabled the preparation of more than 100 city plans based on evidence. This is a clear institutional impact in which data and metrics have served as support to substantiate the elaboration of urban plans and regulatory reforms. The CPI is stimulating policy dialogue and guiding civil society and stakeholders to discuss sustainable solutions

that can be measured with the CPI, making it well positioned to serve as a key tool for monitoring progress in the achievement of the Agenda 2030 and the New Urban Agenda.

More than half of the initial 153 cities where CPI was implemented are small cities. This process has empowered them to revise data and information with the aim of redefining their comparative advantages. These municipalities have traditionally lacked information and the capacity to produce urban policy interventions based on evidence. The impact of the CPI is evident. A second phase is further expanding the scope of the CPI to another 152 cities, covering more than 90 per cent of the urban population of Mexico. In addition, the Extended CPI will be implemented at a metropolitan scale in the three largest urban agglomerations of the country, namely Mexico City, Guadalajara and Monterrey.

### When Spatial Analysis supports Decision Making: The case of the Kingdom of Saudi Arabia

In the Kingdom of Saudi Arabia, as part of *The Future Saudi Cities Programme*, UN-Habitat and the Ministry of Municipal and Rural Affairs created a specific sub product for the analysis of the spatial capital of 17 Saudi cities. Using innovative spatial indicators of the CPI this study has shown the importance of a strong relationship between public space, economies of agglomeration, and residential and infrastructure densities. This information has provided critical support to the on-going urban planning and design policy interventions aimed at leveraging densities and maximizing the street network of Saudi cities.

- In the last 3 years the CPI has offered navigation tools and the technical means for cities to formulate adequate policies based on good data, information and knowledge. The CPI is both a metric and a tool for policy dialogue that offers decision-makers and other stakeholders the technical conditions to use the best planning for their city at the best cost.
- The CPI has been adapted to respond to the monitoring and reporting of the NUA and the urban SDGs, particularly Goal 11 indicators. As a global and local framework for the monitoring of these agendas, the CPI helps to eliminate duplication of efforts and help harmonize methodologies with agreed standards and indicators. Cities using CPI are able to identify, quantify, evaluate, monitor and report on the progress they made towards achievement of the 2030 Urban Development Agenda.
- Governments like Botswana, Tunisia, Colombia, Argentina are establishing their own monitoring mechanisms based on CPI in order to report on a more systematic manner on the progress made in the implementation of their own national and local policies that are aligned with the New Urban Agenda. The use of the same framework allows data aggregate for regional and global monitoring.



# Integrated Programme

## Planning for sustainable cities in Haiti: The case of Canaan settlement

### Introduction

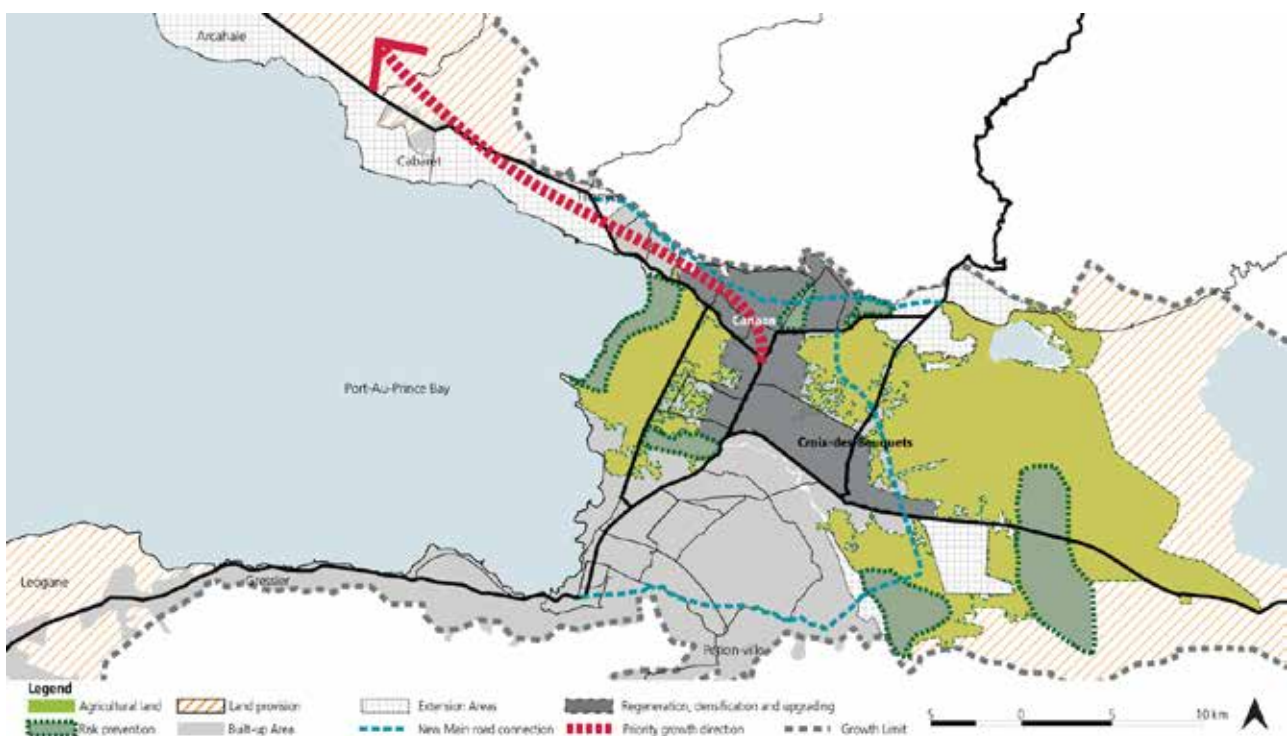
When cities grow rapidly in an unplanned way, they are confronted with a wide range of problems. To address the impact of unplanned cities, UN-Habitat supports local and national governments to develop integrated urban planning methods and systems to address urbanization challenges such as population growth, urban sprawl, poverty, inequality, pollution, congestion, and to improve urban biodiversity, mobility and energy.

UN-Habitat uses a three-pronged approach which incorporates Urban Legislation, Urban Planning and Design and Urban Finance. The approach is integrated, rather than sectoral, transformative rather than fragmented, and links urbanization and human settlements to sustainable development by focusing on prosperity, quality of life, urban economy and employment.

### The Situation

The earthquake that hit Haiti in 2010 was the most devastating event in the region's recent history. More than 200,000 people lost their lives, and another 1.5 million were displaced. With the massive destruction of homes, property and public infrastructure, livelihoods of millions of people were destroyed. The capital city, Port-au-Prince bore the brunt of the earthquake with many of those who lost their homes moving to Canaan, a barren area located on the outskirts of Metropolitan Port-au-Prince. In the aftermath of the disaster it was declared land for public utility by the government of Haiti. It witnessed rapid informal development, becoming the fourth largest settlement in Haiti with a population of more than 250 000 inhabitants in just seven years.

Map: Urban structure plan for Canaan.  
© UN-Habitat





The steady migration towards Canaan has resulted in uncontrolled urbanization. The lack of a common vision and proper planning for the development of Canaan and the management of this rapid growth presents a serious challenge to

the central government, municipal authorities, and community groups. It is also a threat to accessibility, provisions of housing and basic infrastructure, safety, economic development and overall quality of life for the whole Port-au-Prince. The

government of Haiti has recognized the rapid growth challenge facing Canaan settlement and its impact on urban development and the need to intervene in resolving these challenges.

## The Response

City extension planning for the Canaan settlement in Port-au-Prince strategically integrated interventions in Urban Legislation, Urban Planning and Design, and Urban Finance for efficient, synergetic and collaborative planning and implementation of strategic and holistic interventions. It leverages linkages between urbanization and human settlements on one the one hand, and the imperative for sustainable development and prosperity with people at its centre.

In 2015, UN-Habitat in partnership with the City Planning Department-Unité de Construction de Logements et de Bâtiments Publics (UCLBP) and various national government ministries to launch the Urban Development Initiative to complement the government's objective of implementing a sustainable urban plan of action for the greater Canaan area. With funding from USAID and the American Red Cross, implementation of the initiative was undertaken in collaboration with external partners such as Arcadis, American Red Cross, Global Communities, Habitat for Humanity and others. The aim of the Urban Development Initiative was to promote sustainable urban development of Canaan with its 250,000 inhabitants, transforming its urban fabric, and supporting the provision of public services.

Implementation of the initiative was built upon a continuous and broad participatory process involving all stakeholders. The simultaneous bottom-up and top-down approach brought together about 500 people from government ministries and municipalities, international organizations and Non Government Organizations, academia, planning experts, community groups and residents to draft a guiding strategy comprised of concrete projects. A participatory 'learning by doing' methodology was applied to map the main social, spatial, economic, legal-institutional and environmental characteristics of the area, enabling the multidisciplinary working groups to draft a strategic vision, develop an urban structure, and set priority projects for Canaan.

### Strategic Development Framework developed

A Strategic Development Framework for Canaan was developed with the following seven priority development areas identified: local governance; land tenure; economic development; spatial framework; environment; public services and construction quality. The strategic framework identified areas for city extensions, densification and potential new centralities within Canaan.

### Urban structure plan for Canaan designed

UN-Habitat facilitated the development of the Urban Structure plan for Canaan, based on the gaps and needs identified, and in line with sustainable urbanization principles. The plan incorporates construction of urban centres, development of a street network, design of public spaces, and provision for residents to access basic services, public facilities, businesses, and working areas within walking distance of their homes.

### Neighbourhood plans developed

Fourteen neighbourhood plans were developed through a participatory process with national government bodies, the municipalities of Croix-des-Bouquets, Cabaret and Thomazeau, and neighbourhood committees of Canaan I to V, Haut et Bas Jerusalem, Hautes Sources Puantes, St. Christophe, Onaville, Corail and Bellevue. These detailed plans show the road network, provision for public spaces, and no-built areas while preserving agricultural land and protecting the environment.

### Catalytic projects identified

Rapidly executable catalytic projects were implemented based on the priority concerns of all stakeholders.

## Progress and Results

### Long term common vision created for Canaan reflecting aspirations of all stakeholders

The strategic development framework and validated design plans represent a common vision of all stakeholders for sustainable development of Canaan. It projects growth in the area over a twenty-year period, identifying city extensions, densification areas, infrastructure networks and main economic hubs. It is the coordination framework for different development actors working in the area.

### Designing Canaan as a compact, socially inclusive, integrated, connected and resilient city

The urban design incorporates a comprehensive network of streets and public spaces that are essential to limiting urban sprawl and contribute to the growth of a compact and connected city. Allocation of suitable areas for planned city extensions will promote connectivity between the different areas of the city. The planned transportation system will include a road system, a grid of avenues, boulevards and streets which will provide alternative routes to avoid traffic congestion. The planned city extension proposed towards the northwest of the current settlement anticipates urban sprawl and therefore adequate provision has been made to ensure adequate access to basic services for over 250,000 new residents.

### The plan is guiding development of Canaan

The strategic framework and design plans are guiding all interventions in the continuous process of urban development in Canaan. Implementation of the Urban Development Plan is being financed through different investments and development channels, and while the plan has not been formally approved, the number of development projects is increasing and many aspects of the action plan are already being implemented by different organizations on the ground.

A 3.5 km of Route Canaan road is being built by Global Communities with funding from the American Red Cross, IOM and USAID.

### Strong ownership and buy-in for sustainable urban development of Canaan

The detailed city extension plans providing the requirements for implementing the Urban Development Plan of Canaan were presented to the UCLBP, the Ministry of Public Works and the three Municipalities concerned. This demonstrates a drastic change in attitude by national and local governments authorities towards planned city extensions who now see them as a powerful tool for preventing the formation of unplanned settlements. At the community level, one of the most significant changes realized was the validation and approval of the neighbourhood plans by community assemblies.

### Capacities of government institutions and community groups have been strengthened

Relevant Haitian institutions have improved their planning, urban management and monitoring capacities by leveraging experience gained in the informal development of Canaan Zone. Government officials now have the capacity to support systematic development and implementation of urban and neighbourhood plans. The initiative has strengthened administrative capacities of national and municipal governments, with more than 50 municipal staff having been directly involved in planning and implementing the Canaan project. Over 500 community members who were actively engaged in the planning process have taken ownership of each of the 14 neighbourhood plans and the catalytic projects.

Haiti is using the Canaan model as a framework for replication and scaling up sustainable urban planning for the rest of Port Au Prince and the whole country.

Strong ownership of 15 neighbourhood plans and catalytic projects by over 500 community members

**Bottom Left Image:** General view of Canaan from the road coming from Port-au-Prince.

**Bottom Right Image:** New public square in Canaan 1 neighbourhood. © UN-Habitat



### Building a resilient Canaan

Disaster risk reduction measures to guard against natural and man-made disasters have been integrated into plans to increase the resilience of Canaan. Sectorial studies focused on many of the risks that Canaan is prone to, and developed detailed strategies and technical designs to attenuate their effects on the urban fabric. For example, the main boulevards and streets have been designed to enhance storm water drainage and hence reduce risk of flooding. Priority interventions include the reforestation and

protection of riparian areas and improving watershed management including designation of 8 per cent of the land to be non-built areas.

### Haiti now has a framework for replication and scaling up sustainable urban planning

The Government has already decided to replicate the Canaan approach in four small and intermediate cities in Haiti, Les Cayes, Beaumont, Dame Marie and Jérémie where UN-Habitat will continue providing technical guidance.

## Lessons Learned

An important lesson learned is that strategic framework, urban structure plans, neighbourhood plans and projects are key instruments to guide the harmonized development of post-earthquake planning efforts.

Elaboration with engagement and participation of national and international stakeholders, creates trust and funding opportunities for the development of the affected area.

## Mainstreaming the UN-Habitat cross-cutting issues: Climate change, gender equality, human rights, youth

The challenges of urbanization, particularly rising inequality and environmental degradation, are symptoms of a larger deficit to respect different people and the environment in cities. Only when all social and environmental dimensions are respected and prioritised will urbanization realize itself as the transformative force that it is.

The 2030 Agenda envisions 'that no one will be left behind' and to reach the furthest behind first. The New Urban Agenda (NUA) reinforces the vision of sustainable cities for all. UN-Habitat advocates for cities that work to provide equal opportunity for all residents – female or male, young or old, rich or poor, citizen, migrant or refugee. As the global frontrunner in sustainable, inclusive and participatory urbanization, UN-Habitat leads by example in engaging the community in its work and tackling climate change in cities.

The four Cross-Cutting Issues of UN-Habitat, as identified by the Strategic Plan 2014-2019 are mainstreamed to ensure that all UN-Habitat work is targeting those furthest behind and promoting socially and environmentally sustainable cities. Mainstreaming requires that each and every project contributes to the larger long-term goals of UN-Habitat, the New Urban Agenda and the Sustainable Development Goals.

The primary aim of mainstreaming is to provide capacity building, support and technical guidance to project managers. The Cross-Cutting Marker System is one of the key accountability tools UN-Habitat uses to ensure inclusive and sustainable cities, and to measure progress. Since the introduction of the Markers, there has been a steady

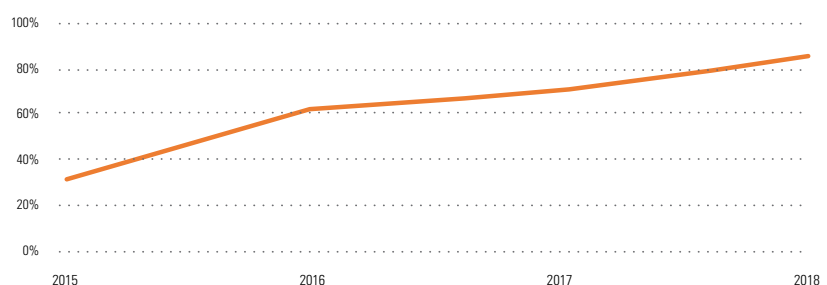
improvement in the percentage of UN-Habitat projects that are meeting the requirements of all four Markers as shown in the graph below. In 2015, only 30 per cent of projects met all requirements. This has risen to 62 per cent in 2016, and 71 per cent in 2017, with a goal of 85 per cent by the end of 2018. Furthermore, the number of projects that are scoring highly on individual Markers has also risen, with 40 per cent of projects achieving a 2 or above on at least one Marker.

The results of mainstreaming work can be seen throughout this report. UN-Habitat has successfully empowered local communities in countries such as Afghanistan, Kenya, Somalia, Colombia, Sri Lanka and Iraq. At country level, UN-Habitat personnel work closely with local authorities and community groups to ensure that no one is left behind in urbanization. They are supported by thematic experts at the Headquarters level.

### Targeted Programming: Participation of Young Women and Men in Saudi Arabia

UN-Habitat has developed with its partners several tools and methodologies in relation to participatory planning and governance. In Saudi Arabia, these were applied to enhance the ability of young men and women to engage in the urban development process, whilst sensitising local and national authorities to engage and work with youth. Through on-going workshops (currently 28 participants, 10 women), UN-Habitat has introduced tools and methods for engaging in urban development. After completing the training, participants are able to approach their regional governments in a formal and appropriate manner, representing their communities and influencing the decision-making process.

**Figure 12: Percentage of UN-Habitat projects that meet all cross-cutting requirements**







**GENDER  
EQUALITY**

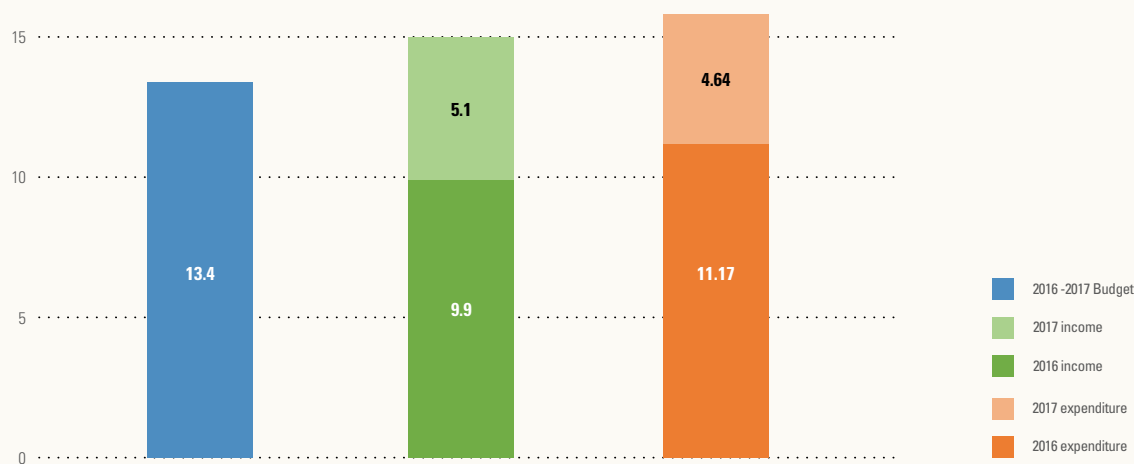
# Executive Direction and Management

Executive Direction and Management ensures efficient and effective implementation of the UN-Habitat mandates and strategic plan, compliance with United Nations policies and procedures, and transparent and ethical management of the organization.

## KEY ACHIEVEMENTS

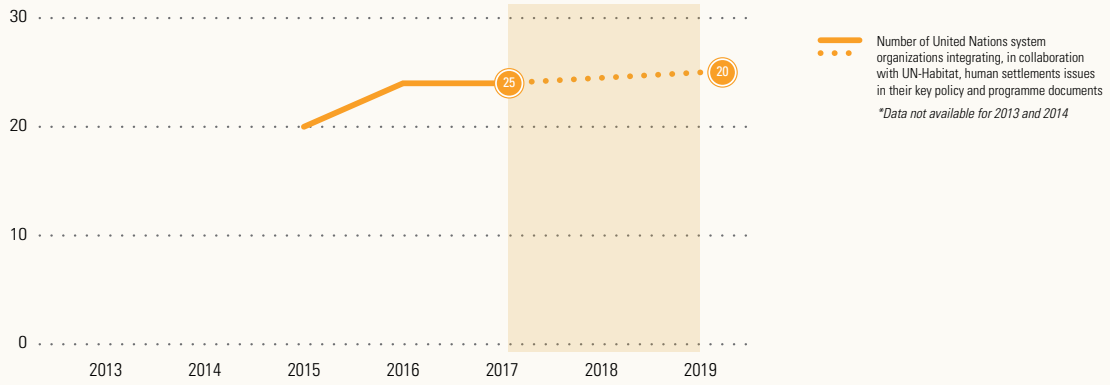
- The adoption of the NUA in 2016 heralded a new era for enhanced policy coherence in the management of sustainable urbanization and human settlements development in the UN System. UN-Habitat has established the Action Framework for the Implementation of the NUA, which outlines the essential components required for effective sustainable urban development.
- UN-Habitat is leading a coalition of six UN agencies (UNDP, UNEP, UN Women, UN Global Compact, WFP, UNOPS) in partnership with the World Bank, supporting countries and cities to implement solutions and investments for sustainable urban development.
- Revised evaluation framework, has improved the demand for and use of evaluations and influenced programming. Evaluated programmes and projects increased to 63 per cent in 2017 up from 30 per cent in 2015, improving coverage and demonstration of impact of UN-Habitat's interventions
- The SDG agenda and NUA have provided distinct opportunities to link urbanization and UN-Habitat's work to the development agenda more widely, contributing to linked advocacy and outreach activities
- Quality and transparency in the reporting on the delivery of programmes by UN-Habitat partners has improved. A new policy, developed based on good practices from other UN Agencies, now in implementation has contributed to harmonized and transparent reporting.

**Figure 13:** Executive Direction and Management 2016 - 2017 budget, income and expenditure in USD millions

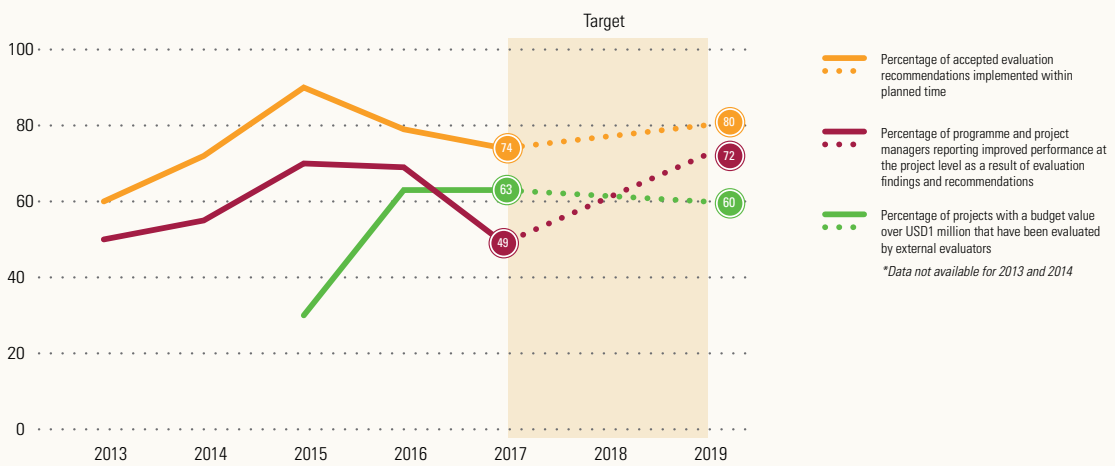


**Progress on expected accomplishments in strategic plan**

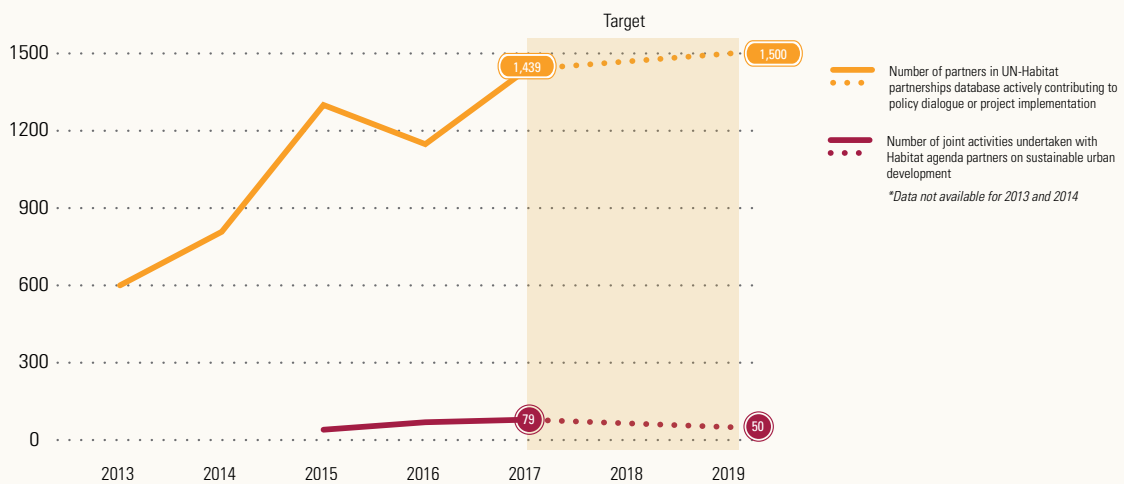
**E.A 9.1: Enhanced policy coherence in the management of human settlements activities within the United Nations System**



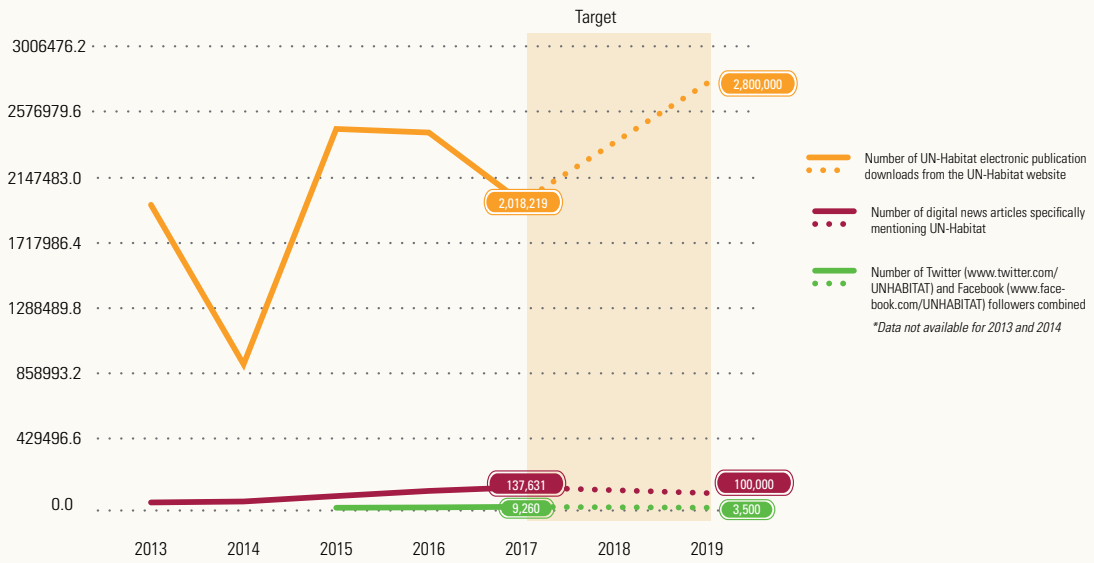
**E.A 9.2: Improved use of performance information from evaluations to influence management decision-making and performance improvement**



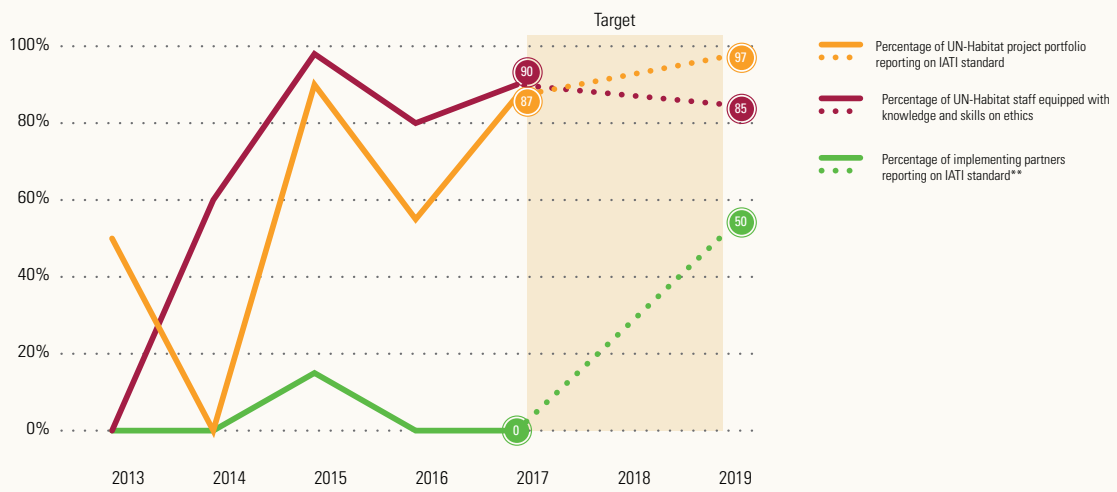
**E.A 9.3: Enhanced engagement of all Habitat Agenda partners and the United Nations system in sustainable urban development**



**E.A 9.4:** Enhanced awareness of the public and the media on sustainable urban development



**E.A 9.5:** Enhanced transparency and ethical management





## Finance, Audit and Evaluation

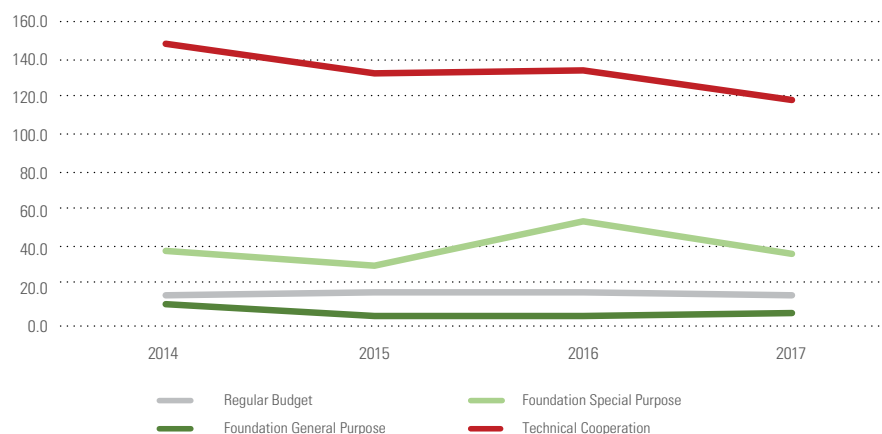
### Financial Performance

#### Introduction

UN-Habitat has three sources of funding: (i) United Nations regular budget allocations from assessed contributions to the United Nations and approved by the General Assembly; (ii) United Nations Habitat and Human Settlements Foundation contributions, consisting of general purpose budget approved by the Governing Council for coordination and core normative activities and special purpose budget allocations earmarked for specific normative programmes; and (iii) technical co-operation contributions earmarked for regional and country programmes. For the most part, financial performance is shown for the two years of 2016-2017 to give a holistic picture as the budget is currently approved on a biennial basis.

Regular budget allocations have remained constant over the years though extra allocations were given in 2015 and 2016 to enable UN-Habitat to convene the Habitat III Conference. Voluntary non-earmarked contributions to the Foundation General purpose contributions have experienced a substantial reduction and the organization's strategy has been to secure increased earmarked funding towards the Foundation Special Purpose account to cover part of its normative work but as this funding is less flexible, some thematic areas experience funding gaps. In the past 15 years, UN-Habitat has recorded significant growth in country level activities in response to Member States demand. By 31 January 2018, the agency had an active portfolio of USD 355 million and more than 451 projects.

**Figure 14:** Revenue trends from 2014 to 2017 in USD millions



#### Funding against plan in 2016-2017

Provisional figures for the 2016-2017 biennium show that the total income acquired amounts to USD 438.8 million representing 90 per cent of the approved budget of USD 482 million. The chart below shows resources secured in 2016-2017 under the different accounts. The higher allocation for Regular Budget reflects funding for organizing the Habitat III conference. The Foundation General Purpose account

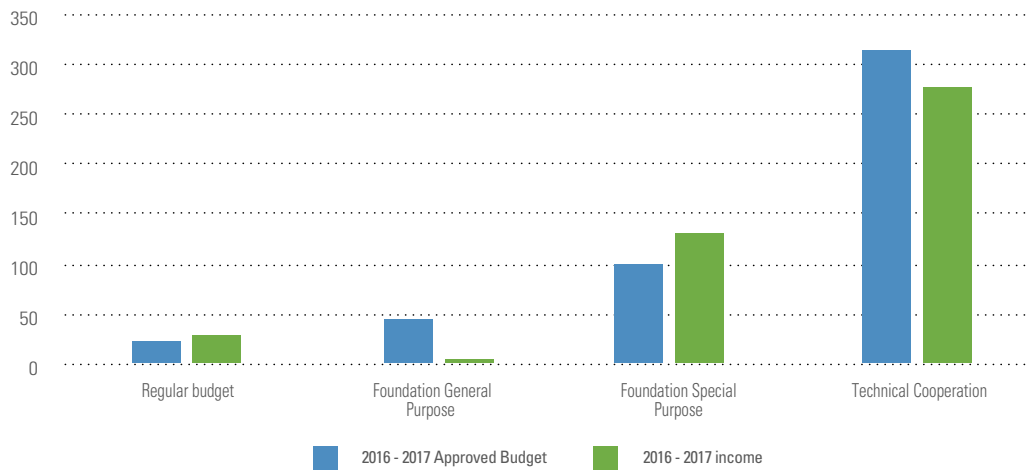
experienced a significant funding gap of USD 40.7 million. To counter this shortfall, UN-Habitat succeeded in securing USD 130 million for earmarked normative programmes under the Foundation Special Purpose account, exceeding the approved budget of 101.3 million by 28 per cent. Resources mobilized for technical cooperation activities were slightly lower at USD 278.2 million against an approved budget for the biennium of USD 312.9 million.

Around 37 per cent of total income acquired was for normative and coordination work financed by regular budget, foundation general purpose and foundation special purpose (the actual percentage for normative content is higher as normative aspects of technical cooperation work are not recorded in the financial system). Technical

cooperation programmes represent 63 per cent of UN-Habitat’s work. This balance of normative and operational programmes is reinforced by UN-Habitat’s matrix organizational structure which supports an integrated programming approach to ensure that global norms, policies, tools and guidelines are tested in country contexts and feedback from

lessons on the ground is used to improve normative outputs. Technical cooperation programmes also provide support to Member States to implement the New Urban Agenda and urban dimension of the SDGs as part of the 2030 Agenda and to respond to the Paris Agreement and its linkages to sustainable urbanization.

**Figure 15: Income secured in 2016-2017 by fund in USD millions**



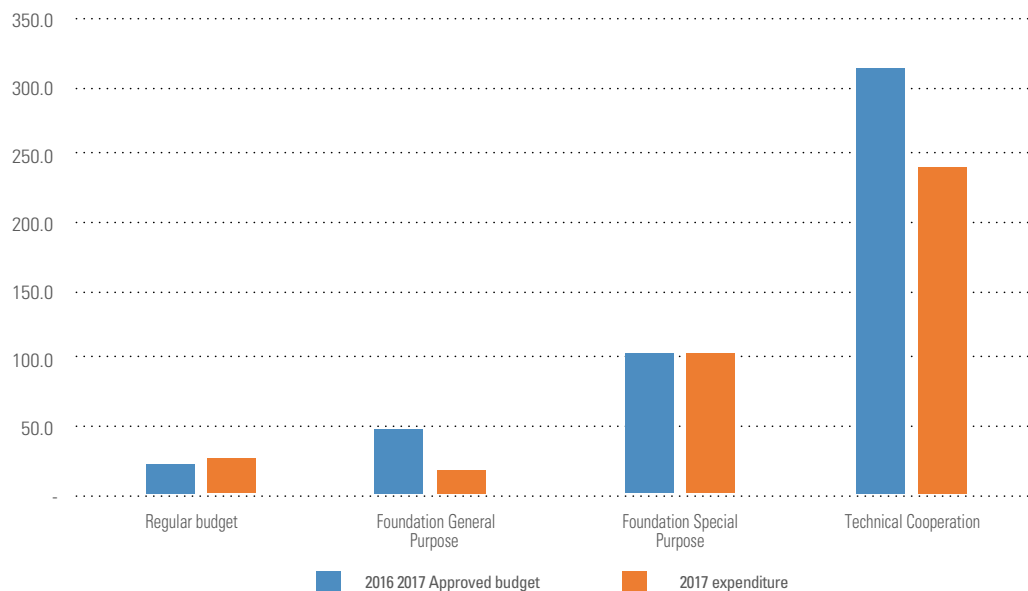
**Implementation against plan in 2016-2017**

UN-Habitat’s implementation during the 2016-2017 biennium totalled USD 387 million representing 80 per cent of the approved work programme budget. Regular budget expenditure was higher than initial plans representing the work on

Habitat III and follow up work on the New Urban Agenda, while under the Foundation General Purpose account, only high priority activities could be undertaken due to the continuing shortfall in this income. Expenditure under the Foundation Special purpose exceeded plans showing the focus on normative work while implementation of

country programmes was lower than expected partly due to challenges posed by administrative rules and procedures that are not fit for purpose for field operations, an issue that is being address under the UN-Habitat’s reforms in 2018 and also a focus of the Secretary General’s wider UN reforms.

**Figure 16: Budget against implementation 2016 - 2017 by fund in USD millions**



UN-Habitat works with implementing partners to who support execution of its programmes and as a result, the capacity of many partners who work at the local level is strengthened through this experience while their involvement also contributes to the sustainability of implemented programmes. In 2017, UN-Habitat signed 155 agreements of cooperation valued at USD 43 million.

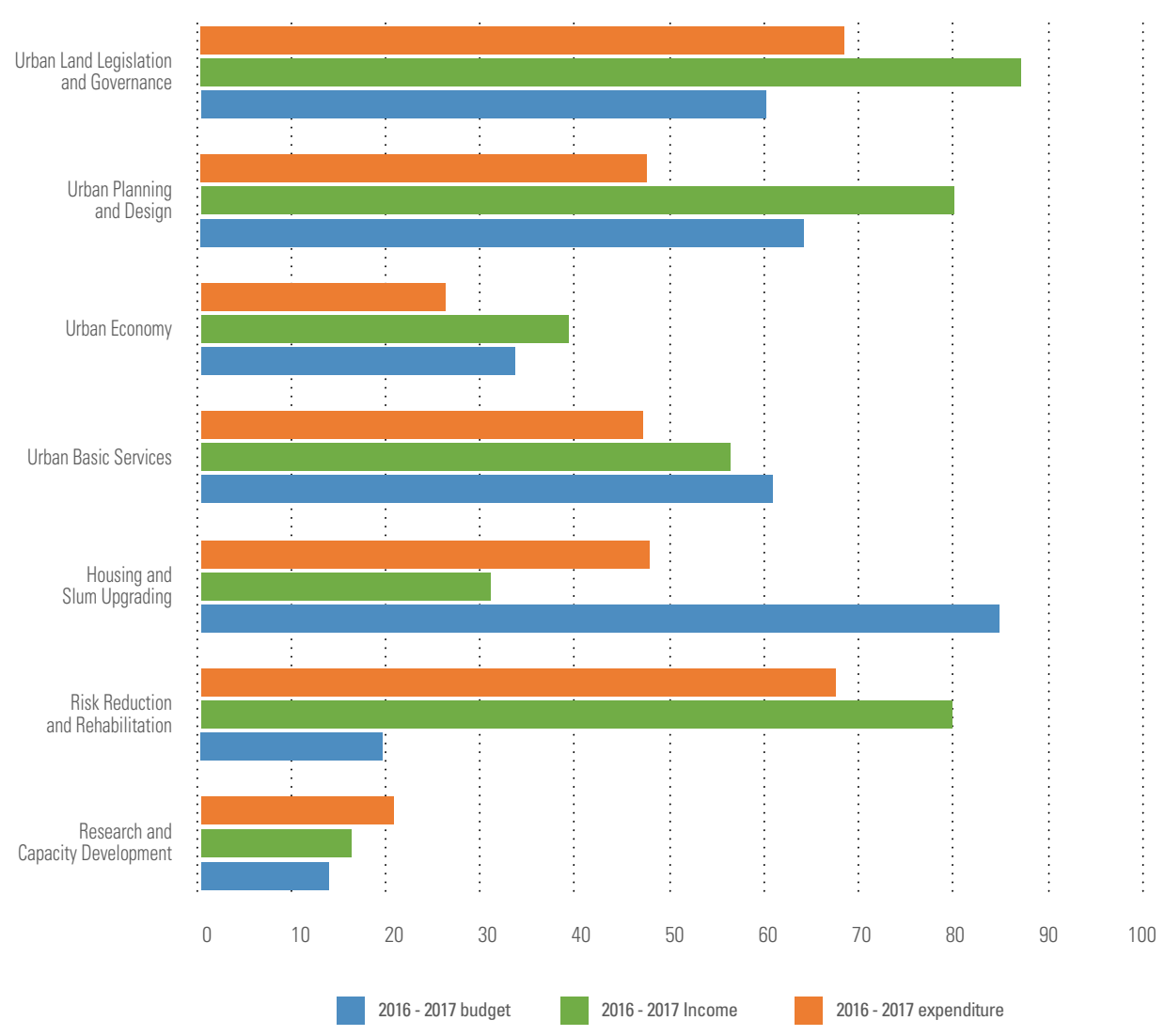
**Financial Performance by subprogramme in 2016-2017**

In terms of funding for the period of 2016-2017, there was significant support for urban land legislation and governance and urban planning, confirming their significance as two of three key components needed to minimize the challenges

of spontaneous urbanization, the third being urban economy. Funding for risk reduction and rehabilitation reflects UN-Habitat’s support to post-conflict and post-disaster countries where increasing focus is placed on planned long-term development to improve resilience and sustainability going beyond immediate humanitarian response. Resource mobilization efforts continue to target areas with funding gaps such as urban basic services and housing and slum upgrading which are priorities in many developing countries as well as research and capacity building which is crucial to help countries monitor and report on the urban dimensions of the SDGs and New Urban Agenda in a coherent manner.

Areas that met or exceeded their implementation targets against the 2016-2017 biennial budget include urban land legislation and governance, reflecting how crucial the issue of land in sustainable urbanization, risk reduction and rehabilitation, and research and capacity building which came to the fore in the work during the biennium leading to Habitat III relating to the New Urban Agenda, as well as development of methodologies to monitor implementation of the urban dimensions of the Sustainable Development Goals and the flagship City Prosperity Initiative which is helping more and more cities to align their urban interventions using a standardised evidence based method to identify gaps and priorities.

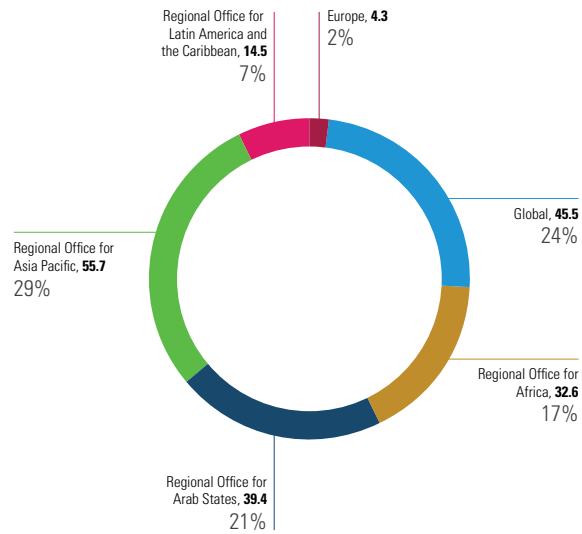
**Figure 17: Income secured for earmarked programmes by subprogramme in USD millions**



### Income by region

In 2017, almost one quarter of the agency’s funding went to global programmes which are mostly normative in nature and in line with UN-Habitat’s strategy to balance the normative elements of its work with operational programmes that test the norms, policies, and other tools developed at country level. As shown in the chart below, most operational activities take place in developing countries, many of which are transitioning from least development to emerging economies and experiencing rapid urbanization; these countries increasingly contribute to implementation of their own urban programmes.

Figure 18: Income allocation by region

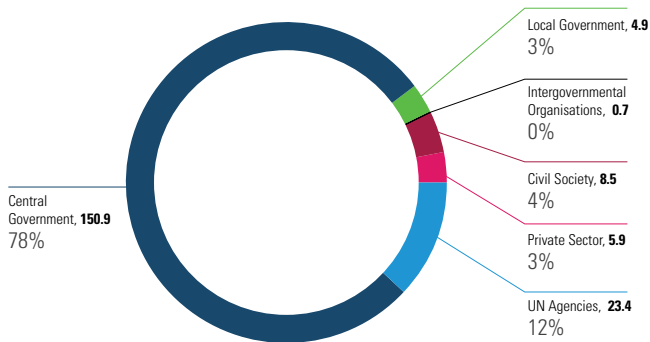


### Funding sources

In 2017, most of UN-Habitat’s funding, around 78 per cent, came from central governments as in past years. The second largest funding source is other UN agencies reflecting collaboration within the UN system; from joint normative programmes to *delivering as one* in country operations. UN-Habitat continues efforts to diversify its funding sources including establishment and accreditation to pooled funds such as the Adaptation Fund and Green Climate fund as these types of funds not

only foster collaboration but also enable leveraging of contributions from different partners to deliver programmes at a larger scale. New initiatives in this direction include the multi-partner Implementation Facility for Implementation of Sustainable Urban Development (IFSUD) recently established to support implementation of the urban dimensions of the SDGs and the New Urban Agenda. So far, IFSUD partners include the World Bank Group, UNDP, UN Women, UNOPS, WFP and the UN Global Compact.

Figure 19: Funding sources in 2017 in millions of US Dollars





**Table 1:** Voluntary contributions from Central Government in thousands of US Dollars

Country	Foundation General Purpose	Foundation Special Purpose	Technical Cooperation	Grand Total
Afghanistan	-	-	3,566.6	3,566.6
Australia	-	-	475.0	475.0
Barbados	14.8	-	-	14.8
Belgium	-	1,073.8	-	1,073.8
Brazil	-	-	-	-
Cape Verde	-	250.0	50.0	300.0
Chad	-	-	19.9	19.9
Chile	5.0	-	-	5.0
China	350.0	1,127.8	101.6	1,579.4
Colombia	-	-	-	-
Cote d'Ivoire	25.0	-	-	25.0
Denmark	-	10,350.3	1,592.4	11,942.7
Egypt	-	500.0	901.3	1,401.3
European Union	-	22,277.6	40,957.4	63,235.0
France	-	71.6	-	71.6
Germany	-	4,640.6	11,848.3	16,488.9
Haiti	9.9	-	-	9.9
India	100.0	-	50.0	150.0
Indonesia	-	302.0	-	302.0
Israel	10.0	-	-	10.0
Italy	-	500.5	-	500.5
Japan	117.1	959.9	14,296.5	15,373.5
Jordan	-	64.1	-	64.1
Kenya	68.3	-	-	68.3
Korea	87.6	4,449.7	-	4,537.3
Malaysia	-	4,000.0	-	4,000.0
Mexico	-	-	-	-
Mozambique	-	-	998.4	998.4
Myanmar	10.0	-	-	10.0
Namibia	150.0	-	-	150.0
Niger	-	770.0	-	770.0
Norway	593.0	2,598.9	1,846.3	5,038.2
Pakistan	-	-	24.9	24.9
Philippines	15.0	-	2,119.3	2,134.3
Senegal	-	-	138.9	138.9
Sierra Leone	10.0	-	-	10.0
South Africa	283.6	-	-	283.6
Spain	-	320.2	-	320.2
Sri-Lanka	25.0	-	156.4	181.4
Sweden	-	7,869.8	4,302.9	12,172.7
Switzerland	-	171.2	-	171.2
Uganda	-	62.2	-	62.2
United States of America	692.0	-	2,644.5	3,336.5
Zambia	25.0	-	-	25.0
<b>Total</b>	<b>2,591.3</b>	<b>62,360.2</b>	<b>86,090.6</b>	<b>151,042.1</b>

**Table 2:** Voluntary Contributions from Local Government in millions of US Dollars

Country	Foundation General Purpose	Foundation Special Purpose	Technical Cooperation	Grand Total
Alcadiade Bucaramanga, Colombia	-	-	283.4	283.4
Area Metropolitana de Bucaramanga	-	-	160.0	160.0
Area Metropolitana de Bucaramanga, Colombia	-	-	166.6	166.6
Barcelona City Council	-	296.2	-	296.2
Governo do Estado de Alagoas, Brazil	-	-	1,159.4	1,159.4
Chengdu Municipal People's Government	-	332.2	-	332.2
Servicio Nacional de Aprendizaje (Sena)	-	224.9	-	224.9
Dubai Municipality-Dxb-Mun-G-Exp	-	89.0	-	89.0
Gobierno del Estado de Sinaloa Government of Mexico	-	-	990.0	990.0
Wuhan Land Use And Spatial Planning	-	-	750.0	750.0
Municipality of Zurich	-	-	335.4	335.4
Agencia Catalana de Cooperacio Al Desenvolupament-Accd Catal Coop Dev Ag	-	52.3	-	52.3
Andalusian Agency Intl Coop for Dev	-	473.9	-	473.9
Yakutsk City Administration	-	199.1	-	199.1
<b>Total</b>	-	<b>1,667.6</b>	<b>3,844.8</b>	<b>5,512.4</b>

**Table 3:** Voluntary Contributions from Inter-Governmental Organizations in thousands of US Dollars

Country	Foundation General Purpose	Foundation Special Purpose	Technical Cooperation	Grand Total
Asian Development Bank - ADB	-	-	200.1	200.1
Banco Centroamericano de Integracion	-	-	441.0	441.0
Smart Africa Secretariat	-	-	50.5	50.5
The Secretariat of the Union for the Mediterranean	-	23.1	-	23.1
<b>Total</b>	-	<b>23.1</b>	<b>691.6</b>	<b>714.7</b>

**Table 4:** Voluntary Contributions from Private Sector in thousands of US Dollars

Country	Foundation General Purpose	Foundation Special Purpose	Technical Cooperation	Grand Total
Active Learning Solutions Pvt Ltd	-	20.0	-	20.0
Adelphi Research GmbH	-	-	371.7	371.7
Here Be Dragons - Investment Group	-	-	5,141.7	5,141.7
Microsoft Corporation	-	300.0	-	300.0
Veolia Environment	-	39.6	-	39.6
<b>Total</b>	-	<b>359.6</b>	<b>5,513.4</b>	<b>5,873.0</b>

**Table 5: Voluntary Contributions from UN Agencies in thousands of US Dollars**

Country	Foundation General Purpose	Foundation Special Purpose	Technical Cooperation	Grand Total
The International Fund for Agricultural Development	-	220.0	-	220.0
UN Office for the Coordination of Humanitarian Affairs	-	-	2,527.2	2,527.2
UN Secretariat	-	56.1	150.0	206.1
UN Trust Fund For Human Security	-	-	1,574.0	1,574.0
United Nations Children's Fund	-	-	2,946.1	2,946.1
United Nations Development Programme	-	3,000.0	11,382.2	14,382.2
United Nations General Trust Fund	-	-	675.0	675.0
United Nations Office for Project Services	-	244.4	-	244.4
United Nations Population Fund	-	-	116.3	116.3
UN-Women	-	-	483.7	483.7
<b>Total</b>	<b>-</b>	<b>3,520.5</b>	<b>19,854.5</b>	<b>23,375.0</b>

**Table 6: Voluntary Contributions from Civil Society in thousands of US Dollars**

Country	Foundation General Purpose	Foundation Special Purpose	Technical Cooperation	Grand Total
European Climate Foundation	-	200.0	-	200.0
Ford Foundation-NewYork	-	-	200.0	200.0
Fukuoka International Exchange Foundation	-	-	3,250.0	3,250.0
Hameen Ammattikorkeakoulu	-	133.2	-	133.2
Infonavit-Instituto Del Fondo Nac	-	-	2,824.0	2,824.0
International Real Estate Federation	-	20.0	-	20.0
Norwegian Refugee Council-NRC	-	-	917.5	917.5
Oxford Brookes University	-	20.0	-	20.0
Plan International-UK	-	6.5	-	6.5
Rockefeller Philanthropy Advisors	-	-	5.7	5.7
The Adaptation Fund Board	-	-	80.0	80.0
Water And Sanitation Corporation RW	-	80.6	-	80.6
<b>Total</b>	<b>-</b>	<b>460.3</b>	<b>7,277.2</b>	<b>7,737.5</b>

**Table 7: Implementation against plans in millions of US Dollars**

Fund	Initial Plan	Final Plan	Implementation	Implementation rate on Initial Plan	Implementation rate on Final Plan
Regular Budget	11.6	12.9	13.6	117.2%	105.4%
Foundation General Purpose	22.8	9.6	9.2	40.4%	95.8%
Programme Support Costs	14.7	12.4	10.3	70.1%	83.1%
Foundation Special Purpose	45.2	41.1	47.6	105.3%	115.8%
Technical Cooperation	147.2	138.3	128.1	87.0%	92.6%
End of Service Benefits	-	-	2.4	0.0%	0.0%
<b>Grand-total</b>	<b>241.5</b>	<b>214.3</b>	<b>211.2</b>	<b>87.5%</b>	<b>98.6%</b>

**Table 8:** UN-Habitat Implementation by Subprogramme in millions of US Dollars

Subprogramme	Initial Plan	Implementation
Urban Legislation, Land and Governance	32.4	27.6
Urban Planning and Design	35.2	25.9
Urban Economy and Municipal Finance	19.7	21.2
Urban Basic Services	33.2	30.3
Housing and Slum Upgrading	44.4	25.8
Risk Reduction and Rehabilitation	41.3	26.5
Research and Capacity Building	13.7	20.5
Executive Direction and Management & Policy Making Organs	16.4	23.6
Programme Support	4.8	9.9
<b>Total</b>	<b>241.1</b>	<b>211.3</b>



# UN-Habitat Audit Highlights

UN-Habitat Internal audit and external audit functions are performed by the United Nations Office of Internal Oversight Services (OIOS) and the United Nations Board of Auditors (BOA) respectively as prescribed by the United Nations Financial Regulations and Rules. UN-Habitat auditing practices comply with the international best practices in auditing:

- a. **Risk-based audit** approach with audit focus on high risk areas.
- b. **International auditing standards:** external audit follows the International Standards on Auditing while the Internal Audit is carried out in accordance with the International Standards for the Professional Practice of Internal Auditing.
- c. **Operationally independent from UN-Habitat:** OIOS has the authority to initiate, carry out and report on any action which it considers necessary to fulfil its

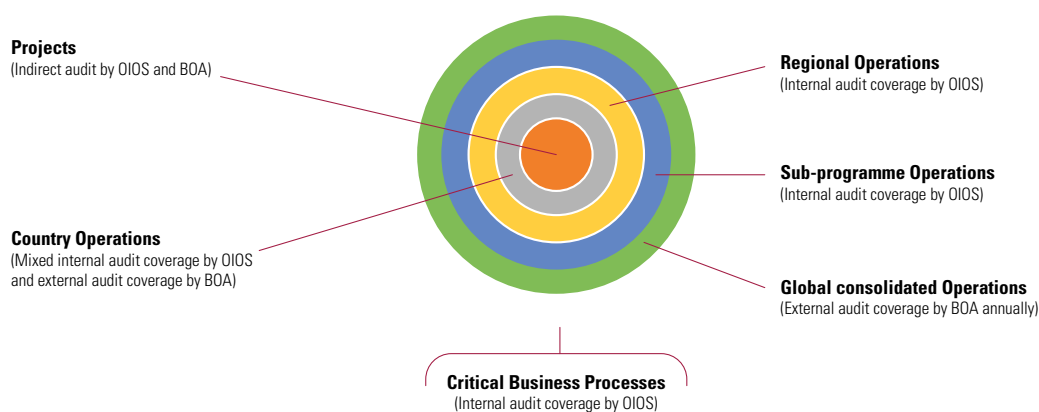
audit responsibilities. BOA are independent external auditors established by the General Assembly to audit the accounts of the United Nations organization and its funds and programmes and to report its findings and recommendations to the Assembly.

- d. **Public disclosure of audit reports:** BOA and OIOS audits on UN-Habitat are available on their public website.

UN-Habitat performs about 6 audits a year on its operations: 3-4 internal audits and 2 external audits (an interim and final audits on the financial statements of the year). In order to maximize the value for money on its audit resources, UN-Habitat adopts a multi-layered audit coverage as shown in the figure below:

The following tables show the audits that were completed in 2017 and the status of the implementation of audit recommendations, respectively:

Figure 20: Multi-layered audit coverage



**Table 9:** Audits completed in 2017

Type of coverage	Type of audit	Audit coverage
Country Operations	External	6 country operations: Libya, Syria, China, Lao PDR, Colombia and Brazil
Sub-programme Operations	Internal	Audit of Housing and Slum Upgrading Sub-programme (completed), Audit of Urban Legislation, Land and Governance Sub-programme (completed) Audit of Research and Capacity Development Sub-programme (ongoing)
Critical business processes	Internal	Audit of the management of benefits and allowances (completed) Audit of contract management (ongoing)
Consolidated Operations	External	Audit of the financial statements of UN-Habitat for the year that ended 31 December 2016 (completed)

**Table 10:** Status of the implementation of audit recommendations

Auditors	Internal Audit (OIOS)	External Audit (BOA)	Total
Due in 2017	36	20	56
Implementation in 2017	25	20	45
Rate of implementation	69%	100%	80%
Under implementation	11	-	11

During 2017, as a result of the implementation of audit recommendations, UN-Habitat conducted a comprehensive overhaul and strengthening of its management processes over the activities delivered by its implementing partners. The initiative included production of tools and systems such as a risk-based policy, standard operating procedures,

templates and a dedicated internet portal (<http://ipportal.unhabitat.org/>). The new processes will enhance the transparency, effectiveness and efficiency of the selection, management and monitoring of the activities delivered by implementing partners which are critical to UN-Habitat operations and financially significant.

In 2018, the organization plans to complete Internal Audit of Research and Capacity Building Programme at UN-habitat and commence on audit of UN-Habitat Regional Office for Africa and audit of UN-Habitat Barcelona Office.

## Evaluation Highlights in 2017

The Revised UN-Habitat Evaluation Framework (2016) has helped to increase evaluation focus, coverage and generated evidence performance. The evaluations conducted in 2017 were diverse covering country programmes (*Afghanistan*); global programmes (*World Urban Forum7*, *Achieving Sustainable Urban Development*, *Global Land Tool Network*); Subprogrammes (*Urban Planning and Design*); regional offices (Regional Office for Arab States) and Corporate (Mid-term evaluation of the strategic plan 2014-2019) as well as projects and programmes.

The actual evaluations of projects closing in 2016-2017 biennium was 63 per cent, exceeding the target set of 60 per cent. This has been possible due to focusing on country programmes and umbrella programmes with multiple projects. For example, the Afghanistan country programme, 12 projects were evaluated. The OIOS report, on Strengthening the role of evaluation and the application of evaluation findings on programme design delivery and policy directive (A/72/72, Para 37) of March 2017, rated UN-Habitat as having good quality evaluation reports and high ratings for the quality of results in its evaluation reports. It was also rated as having good procedure of tracking evaluation recommendations.

The culture of evaluation is improving and evaluations are used to influence decision making and performance improvement. Project managers reported considerable usage of the evaluation findings, lessons, and recommendations in terms of improving project performance. On-line survey conducted by the Evaluation Unit of UN-Habitat in December 2017 revealed that **49 per cent** of the 76-staff involved in project formulation and implementation indicated that evaluations are improving their project and programme performance. About **32 per cent** of the respondents to the December survey indicated that evaluation findings, lessons and recommendations influence decision-making. This low percentage is in line with the MOPAN findings that evaluation function has insufficient capacity (resources) and that evaluations are not linked into decision making processes.

### Examples of Use of evaluations in decision making and performance improvement

Results of the midterm evaluation of the strategic Plan 2014-2019 led to the adjustment to the strategic Plan 2014-2019 to ensure that it was aligned with the New Urban Agenda and the SDGs, especially goal 11 and other Goals relevant to cities and human settlements. In addition, some recommendations from the mid-term evaluation led to the review and updating of UN-Habitat's knowledge management systems. For example, the Project Accrual Accounting System (PAAS) was updated and version 2 was launched on 8 November 2017. The new version includes sections on monitoring at activity, output and expected accomplishment levels as well as a section on lessons learned. The midterm evaluation has also led to revision of the partnership strategy and its action plan as well as integrating partnerships, advocacy and resource mobilization within the planning, delivery, monitoring and reporting of the UN-Habitat transformational activities. The evaluation also revealed how UN-Habitat's global mandate is not matched by capacity and core resources to lead the implementation of the New Urban Agenda; and how the agency remains exposed to risk with unpredictable core funding. This finding is in line with the on-going effort on strengthening UN-Habitat. The evaluation recommended increased advocacy for an appropriate increase in core funding to ensure UN-Habitat's core mandates on normative and operational work are sufficiently supported.

Evaluation of the *Achieving Sustainable Urban Development* (ASUD) initiative was undertaken in order to assess the extent to which the overall support and technical assistance of UN-Habitat has been relevant, efficient, effective and sustainable. The evaluation found that the initiative achieved the strategic result of country specific experiences from an integrated approach between normative frameworks and operations. The evaluation also found that ASUD's strategic result of 'sustainable

urbanization principles drive policy and practice in countries was achieved in pilot countries. ASUD worked towards integrating planning and design, legal and regulatory frameworks, urban economy and financial aspects. It demonstrated that the integration of these elements is a precondition to building Planning City Extensions. In addition, ASUD addressed gender, youth, climate change and human rights issues, as cross-cutting in all ASUD implemented projects. Also ASUD enhanced UN-Habitat's country knowledge and made country programmes shift from a sectorial to a programme approach, enhancing the impact of the individual projects.

The evaluation recommendations tracking system has proved useful and enhanced following up of the implementation of UN-Habitat evaluations. By December 2017, UN-Habitat was tracking 321 recommendations from 27 evaluations of which 78 per cent were implemented, 21 per cent were in progress and only 1 per cent were not started. In addition, UN-Habitat also tracks the implementation of recommendations related to the agency from evaluations conducted by the two United Nations agencies, the Office of Internal

Oversight Services and the Joint Inspection Unit using their tracking systems. The Triennial Review Report of the implementation of the recommendations from Office of Internal Oversight Services evaluation of UN-Habitat determined that six recommendations out of seven were implemented and one recommendation was partially implemented. Implementation of these recommendations has significantly helped UN-Habitat to improve its approach to systematically identify and manage risk, improve its accountability, more clearly cascade its overall vision and strategy to regional and country levels, sharpen its project-approval processes, ensure a more risk-based approach to evaluation planning, and strengthened its resource mobilization and partnership strategies. Although, the recommendation on information and knowledge management is yet to be fully implemented, UN-Habitat now has the Knowledge Management Action Plan and will continue to strengthen the role of knowledge management within agency by undertaking specified measures proposed under recommendation.

#### Areas needing improvement include:

- Evaluation function has low level of funding and this impacts on the extent of evaluation outputs and influence.
- Quality of decentralized evaluations (those not managed by the Evaluation Unit) need to improve and comply with evaluation standards. They are also not centrally available and this reduces the like-hood that knowledge gained from such evaluation can be used to improve performance.
- Although evaluation recommendations tracking system is in place, there is no compliance requirement for staff to provide regular updates and getting responses on implementation of recommendations becomes time consuming and requires active follow-up by the Evaluation Unit.
- Uptake of Lessons learned could be improved through meta-evaluation and impact evaluation of project and program evaluations.



## Annex 1: 2017 Thematic Areas by Country/Region

	Urban Legislation Land & Governance	Urban Planning & Design	Urban Economy	Urban Basic Services	Housing & Slum Upgrading	Risk Reduction & Rehabilitation	Research & Capacity Development	CrossCutting & Programme Division
Afghanistan	✓	✓	✓	✓	✓	✓	✓	✓
Angola	-	✓	-	-	✓	-	✓	-
Argentina	✓	✓	✓	-	-	-	-	-
Bahrain	-	-	-	-	-	-	-	-
Bangladesh	-	-	-	✓	-	-	-	-
Bolivia	-	-	-	-	✓	-	✓	-
Brazil	✓	✓	✓	-	✓	-	✓	-
Burkina Faso	✓	✓	-	-	✓	-	✓	-
Cambodia	-	✓	✓	✓	-	✓	✓	-
Cameroun	✓	✓	-	-	✓	-	✓	-
Cape Verde	-	✓	✓	-	-	-	-	-
China	✓	✓	-	✓	-	✓	✓	✓
Colombia	✓	✓	✓	-	-	✓	✓	-
Costa Rica	-	-	-	-	✓	-	-	-
Cuba	✓	✓	✓	-	✓	-	✓	-
Democratic Republic of Congo	✓	-	-	-	✓	✓	-	-
Djibouti	-	-	-	-	✓	-	-	-
Ecuador	✓	✓	-	✓	✓	-	✓	-
Egypt	✓	✓	✓	✓	✓	-	✓	✓
Ethiopia	-	✓	-	✓	-	-	✓	-
Ghana	-	-	-	✓	-	-	-	-
Global	✓	✓	✓	✓	✓	✓	✓	✓
Guatemala	-	-	-	-	-	✓	-	-
Guinea	-	-	✓	-	-	-	✓	-
Haiti	✓	✓	-	✓	✓	✓	✓	-
India	-	✓	-	✓	✓	-	✓	-
Iran	-	✓	-	-	-	✓	-	-
Iraq	✓	✓	✓	✓	✓	✓	✓	✓
Japan	-	-	-	-	-	-	-	-
Jordan	-	✓	-	-	-	✓	✓	✓
Kenya	✓	✓	✓	✓	✓	✓	✓	✓
Korea, Republic of	-	✓	-	✓	-	-	✓	-
Kosovo	✓	✓	-	✓	-	✓	✓	-
Laos	✓	-	-	✓	-	-	-	-
Lebanon	✓	✓	✓	✓	✓	✓	✓	✓
Liberia	✓	✓	-	✓	-	✓	-	-
Libyan Arab Jamahiriya	-	✓	-	-	-	-	✓	-
Madagascar	✓	✓	-	-	✓	✓	-	-
Malawi	-	-	-	✓	-	✓	-	-

	Urban Legislation Land & Governance	Urban Planning & Design	Urban Economy	Urban Basic Services	Housing & Slum Upgrading	Risk Reduction & Rehabilitation	Research & Capacity Development	CrossCutting & Programme Division
Mexico	✓	✓	✓	-	✓	✓	✓	-
Mongolia	✓	✓	✓	✓	✓	✓	-	-
Morocco	-	-	-	-	-	-	-	✓
Mozambique	✓	✓	✓	✓	✓	✓	✓	-
Myanmar	✓	✓	✓	✓	✓	✓	✓	✓
Nepal	✓	✓	✓	✓	✓	✓	-	-
Nigeria	✓	✓	✓	✓	-	-	✓	✓
Pakistan	-	✓	✓	✓	✓	✓	✓	✓
Palestine	-	✓	✓	✓	✓	✓	✓	✓
Papua New Guinea	-	✓	-	✓	✓	-	-	-
Peru	-	-	✓	-	-	-	-	-
Philippines	✓	✓	✓	✓	-	✓	-	-
Regional-Africa	✓	✓	✓	✓	✓	✓	✓	✓
Regional-Asia	-	✓	-	✓	-	✓	✓	✓
Regional-Latin America and Caribbean	✓	-	✓	-	✓	✓	✓	-
Regional Office-Arab States	-	✓	-	✓	✓	✓	✓	-
Russian Federation	-	-	-	-	-	✓	-	✓
Rwanda	✓	✓	✓	✓	-	-	-	-
Samoa	-	✓	-	-	-	-	-	-
Sao Tome and Principe	✓	-	-	✓	✓	-	-	-
Saudi Arabia	✓	✓	-	-	-	-	✓	✓
Serbia	✓	-	-	-	-	-	-	-
Somalia	✓	✓	✓	✓	✓	✓	-	✓
South Africa	-	✓	-	-	-	-	-	-
South Sudan	-	-	-	✓	✓	✓	-	-
Spain	-	-	-	-	-	✓	-	-
Sri Lanka	✓	✓	✓	✓	✓	✓	✓	✓
Sudan	✓	✓	✓	✓	-	-	✓	✓
Syrian Arab Republic	-	-	-	✓	✓	✓	✓	-
Tanzania	-	-	-	✓	-	-	-	-
Chad	✓	✓	-	-	✓	-	-	-
Timor-Leste	✓	-	-	-	✓	✓	-	✓
Uganda	-	✓	✓	-	-	-	-	✓
Vietnam	-	✓	-	-	-	-	✓	-
Zambia	-	✓	-	✓	✓	✓	-	-
Zimbabwe	-	-	-	-	✓	-	-	-



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