

# Annual Progress Report 2013:

Implementation of the Medium-Term  
Strategic and Institutional Plan (MTSIP)  
(2008 - 2013)



DECEMBER 2013

**UN HABITAT**  
FOR A BETTER URBAN FUTURE

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## Abbreviations

AMCHUD	Africa Ministerial Conference on Housing and Urban Development	SUF	Slum Upgrading Facility
AMCOD	African Union Ministerial Conference on Decentralization and Local Governance	ULLG	Urban Legislation, Land and Governance
CCCI	City and Climate Change Initiative	UNACLA	United Nations Advisory Committee of Local Authorities
CLUVA	Climate Change and Urban Vulnerability in Africa	UNDAF	United Nations Development Action Framework
CPR	Committee of Permanent Representatives	UNEP	United Nations Environment Programme
EAC	East African Community,	UNESCAP	Economic and Social Commission for Asia and the Pacific
ECOWAS	Economic Community of West African States	UNESCO	United Nations Educational, Scientific and Cultural Organization
FA	Focus Area	UNFCCC	United Nations Framework Convention on Climate Change
GHGs	Green-house gases	UN-Habitat	United Nations Human Settlements Program
GHS	Global Housing Strategy	UNICEF	United Nations Children's Fund
GIZ	German Society for International Cooperation	UNIFEM	United Nations Development Fund for Women
GLTN	Global Land Tool Network	UNODC	United Nations Office on Drugs and Crime
GNSC	Global Network for Safer Cities	WBI	World Bank Institute
GUO	Global Urban Observatory	WUC	World Urban Campaign
HAPs	Habitat Agenda Partners	WUF	World Urban Forum
HIS	Institute of Housing and Urban Development Studies	YES	Youth Entrepreneurship and Sustainability
HRBA	Human Rights-based Approach	OHCHR	United Nations High Commissioner for Human Rights
IADB	Inter-American Development Bank	SLCWSU	Street-Led Citywide Slum Upgrading
ICLEI	Local Environment Initiative	IUTC	International Urban Training Centre
IMDIS	Integrated Monitoring and Document Information System	KSUP	Korogocho Slum upgrading programme
IPCC	Intergovernmental Panel on climate Change	LFFs	Local Finance Facilities
LADM	Land Administration Domain Model	TAMSUF	Tema Ashaiman Slum Upgrading Fund Tema Ashaiman Slum Upgrading Fund
LPI	Land Policy Initiative	Sida	Swedish International Development Cooperation Agency
MTSIP	Medium-Term Strategic and Institutional Plan	STMA-CSUF	Sekondi Takoradi Metropolitan Assembly City-Wide Settlement Upgrading Fund
nrg4SD	UN-Habitat and the Network of Regional Governments for Sustainable Development	LFSUS	The Lanka Financial Services for Under-served Settlements
PCA	Programme Cooperation Agreement	TAFSUS	Tanzania Financial Services for Under-served Settlements
PPUD	Police Platform on Urban Development	UNON	United Nations Office at Nairobi
RBM	Results-based management	IATI	International Aid Transparency Initiative
SADC	Southern African Development Community	PAG	Programme Advisory Committee
STDm	Social Tenure Domain Model	PAAS	Project Accrual and Accounting System
SUD-Net	Sustainable Urban Development Network		
SUF	Global Safer Cities Programme and the Slum Upgrading Facility		

# 1.0: Executive Summary

## 1.1 Introduction

This is the fourteenth and final progress report on the implementation of the medium-term and institutional plan (MTSIP, 2008-2013). It captures cumulative progress made towards achievement of the planned results for the six year period, but focuses more specifically on progress made in 2013, in line with Governing Council Resolution 24/15 of April 2013. A more objective assessment of results achieved and progress made over the six year period are best determined through an end of MTSIP evaluation. The report provides information on progress achieved through the contributions of UN-Habitat and partners comprising governments, local authorities and other Habitat Agenda Partners, with the support of donors. In the spirit of the Paris Declaration of 2005, results are owned by countries and UN-Habitat, like other development partners, is one of multiple stakeholders contributing to the observed change.

This 2013 annual report presents detailed analytical information on the progress made towards achievement of each expected accomplishment for the six focus areas of the MTSIP, at global, regional and country levels. It indicates whether or not change occurred, if it did, how it is manifested, what UN-Habitat and partners did to contribute to the observed change, and the progress made towards each of the specific indicator targets. While the intention is not to describe all the activities and processes undertaken in 2013, there are narratives of some of the developments taking place which are indicative of progress towards the desired change in policy, condition, awareness, etc. Social change is a process that takes place over time and while ultimate goals may not have been achieved, certain activities and processes represent important milestones towards the desired change. The report includes a few success stories that demonstrate the impact of UN-Habitat's intervention in people's lives.

The report covers progress made on activities implemented in preparation for the roll-out of the new strategic plan 2014-2019. In addition, it reports on updates and progress made on transformational developments, and follow-up on decisions of the 24<sup>th</sup> Session of the Governing Council. The report was compiled using information collected from country and regional offices, as well as global programmes and informs on performance at global, regional and country levels. It also outlines some of the lessons learnt and challenges encountered and how they are being managed. It takes into account feedback on previous MTSIP progress reports from the Member States through the Committee of Permanent Representatives and donors, including Norway, Spain and Sweden. Additional information was obtained from evaluation reports completed in 2013.

The report has four main sections. The first section is the executive summary which includes an introduction and key achievements, information on financial resources, and a summary of programmatic achievements by focus area. The second section provides a detailed analysis of programme performance for each focus area. The third section is an analysis of progress made in implementing the Enhanced Normative and Operational Framework and Cross-Cutting issues. Finally, the report provides an update on UN-Habitat's contribution to the Post-2015 UN Development Agenda and the preparatory process towards the Habitat III Conference and their outcomes. This report is a basis for learning, accountability, management decision-making and performance improvement.

## 1.2 Key Achievements

### Organizational and Management Achievements

The reporting period, 2013, represents a transitional period marking the end of the MTSIP (2008-2013) and operationalization of the strategic plan for 2014-2019 in preparation for its roll-out. A considerable amount of work was done to finalize the reform process, putting into place systems, procedures and policies to facilitate effective operationalization of the organizational reform and implementation of the strategic plan for 2014-2019. The organizational reform process is essentially completed, with the only outstanding issue being the approval of a new Secretary-General's Bulletin (SGB) to endorse the new organizational and programmatic structure. By December 2013, 95 per cent of the restructuring decisions recommended by the MTSIP Peer Review of 2010 had been implemented. There is now a new organizational structure in place consisting of: (i) Office of the Executive Director; (ii) Programme Division with seven thematic Branches and four Regional Offices; Liaison Offices (iii) Operations Division; and (iv) the External Relations Division.

The Project Accrual and Accountability System (PAAS) implemented in 2012 is now fully functional and integrates functions and processes previously handled under different systems, thus reducing the burden of multiple data entry, while making human resource, financial, administrative and programmatic management more effective, efficient and transparent. The PAAS has also enhanced results-based management application by integrating all programme and project planning, monitoring, reporting and evaluation in the system. UN-Habitat also invested considerable effort in training and other preparatory activities in readiness for implementation of the IPSAS system, which requires new business processes and collection and enhancement of data. New policies required for implementing the organizational reforms were prepared, approved and are under implementation.

To address the financial challenges, UN-Habitat introduced a cost recovery system and an enhanced budget process that leads to more realistic income projections. Cost containment measures were adopted which include computer based training, paper smart work flow and reduction of core travel in favour of video conferencing. Incentives were also introduced to encourage efficient delivery and promote more collaboration across the organization, especially on normative and operational activities. In addition, UN-Habitat adopted a resource mobilization strategy, action plan and support to address funding gaps and enhance sustainable funding for core and operational activities.

The Strategic Plan for 2014-2019 with its seven thematic focus areas that are fully aligned to the subprogrammes, was approved by the UN-Habitat Governing Council in April 2013, through resolution 24/15. Through the same resolution, the Governing Council also approved the biennial Work Programme and Budget for 2014-2015 that is fully aligned to the strategic plan, thus contributing to programmatic coherence and harmonization of reporting requirements. In preparedness for the implementation of the strategic plan, UN-Habitat developed a six-year performance measurement plan with baselines and targets to guide planning, implementation, monitoring and evaluation. To facilitate effective implementation of the strategic plan, for the first time, UN-Habitat held a senior management programming retreat which brought together all senior managers from headquarters, regional and liaison offices. This went a long way in strengthening programmatic alignment, coherence and in ensuring that all senior managers fully agreed on the modalities for programme and project delivery under the strategic plan. It also strengthened integration of normative and operational activities during implementation at global, regional and country levels. To strengthen application of result-based management in the organization, over 80 staff members were trained, including 38 from the Regional Office for Asia and the Pacific and 25 RBM champions.

Partly as a result of the efforts of UN-Habitat, other organizations and Habitat Agenda partners, there is increasing recognition of the contribution of urbanization to sustainable development. The report of the High Level Panel on the Post-2015 Development Agenda, and the UN Secretary-General's report titled "A life of dignity for all: accelerating progress towards the Millennium Development Goals and advancing the United Nations development agenda beyond 2015", recognize the value of cities and sustainable urbanization. At the Seventh Session of the Open Working Group on Sustainable Development Goals (SDGs), many Government delegations supported the inclusion of an urbanization-related goal in the post-2015 SDGs. UN-Habitat contributed to the preparatory process towards the Habitat III Conference and has realized the following important outcomes: a Habitat III Trust Fund was established; the preparatory process was approved by the Governing Council and the General Assembly; and over three million US dollars was allocated to support the preparation process in 2014-2015.

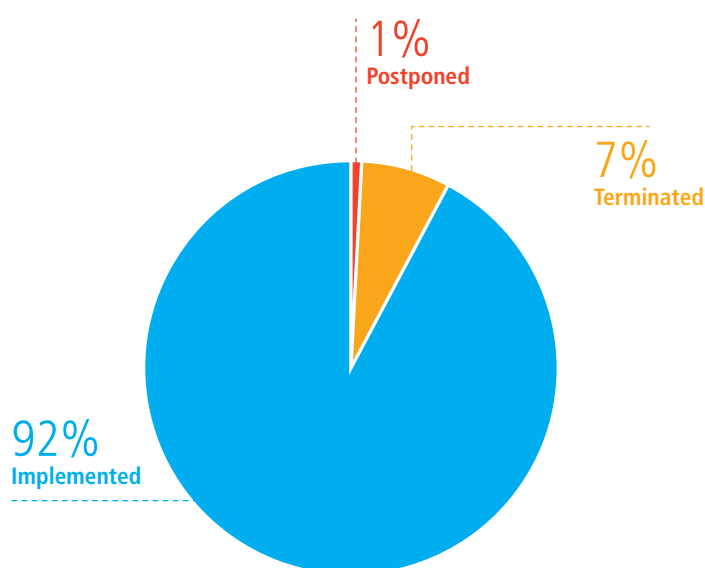
## 1.3 Programmatic Achievements

### i) Overall Assessment of the Implementation of the 2013-2013 work Programme

Analysis of the implementation rate of the work programme is based on the UN Secretariat's Integrated Monitoring and Documentation Information System (IMDIS). The system tracks the delivery of the outputs that contribute to the achievement of work programme objectives and expected accomplishments. UN-Habitat achieved an implementation rate of 92 per cent for the 2012-2013 biennium (figure 1). About seven percent of the total outputs was terminated while one per cent, was postponed to the next biennium. Most of the terminated outputs were for the two programmes on human settlements financing, the Experimental Reimbursable Seeding Operations (ERSO) and the Slum Upgrading Facility (SUF) whose operational activities were discontinued in 2012, following a Governing Council decision through resolution 23/10 of April 2011. Another category of outputs that was terminated was the Habitat country programme documents that could not be produced due to resource constraints in 2013.



Figure 1: Status of implementation of the Work programme, 2012-2013



Progress in implementation of the MTSIP is tracked and assessed through contributions made towards the expected accomplishments and the indicator targets. Progress at expected accomplishment level is determined by the depth of what was achieved towards the planned change expressed in a particular expected accomplishment. In practice, this is captured through statements of results and success stories included in progress or final reports of projects and programmes contributing to each expected accomplishment. Progress made towards indicator targets is determined by measuring the actual value of each indicator at an agreed period, in this case, end of 2013. The measurement is against a predetermined indicator target and its data collection methodology. For example, if the plan was that a number of countries would have improved their housing and land policies by 2013 would be 65, the rating will depend on whether or not the target of 65 was reached and how that assessment was arrived at. Progress on indicator targets is cumulative. The three-level colour-coded scale in table 1 provides the overall rating of the progress towards indicator targets set for 2013, the end of the MTSIP period.

Table 1: Key to progress made towards indicator targets for each focus area by December 2013

On target or exceeded target	Slightly below target	Well below target

Table 2 shows the rating of progress made against the set indicator targets for each Focus Area by the end of 2013. UN-Habitat made good progress towards achievement of planned results of the MTSIP. Assessment of overall progress made towards indicator targets shows that performance on 81 per cent of indicators was on target or exceeded it, 13 per cent was slightly below the indicator target, while 6 per cent was well below 50 per cent. Focus Area 5 had the lowest performance rating with all its indicators very much below the targets due to the discontinuation of the operational activities of the two programmes the Experimental Reimbursable Seeding Operations and the Slum Upgrading Facility. UN-Habitat was not successful in securing an appropriate partner to continue with the loan management as decided by the Governing Council. The indicator target for one expected accomplishment for Focus Area 6, on mobilization of general purpose or non-earmarked resources, was well below 50% of the target. However, the target for the ear-marked funding was surpassed. There are also a couple of indicators, including under Focus Area 4, on which data was not collected due to lack of resources to carry out the necessary surveys. More detailed information on each of the focus areas, is provided in the main report.

Table 2: Progress towards indicator targets by Focus Areas

Focus Area	Focus Area Expected Accomplishments	Indicator of achievement	Performance Rating 2013
FA 1: <b>Advocacy, Monitoring and Partnerships</b>	EA 1: Improved awareness of sustainable urbanization issues at local, national and global level	(i) Upward trend in downloads of the "State of the World's Cities Report, the Global Report on Human Settlements"	
		(ii) Increased number of governments and Habitat Agenda Partner institutions using the two flagship reports and the Best Practices in their education and training programmes,	
		(iii) Number of countries with National Urban Forums	
	EA 2: Habitat Agenda partners actively participate in the formulation of sustainable urbanization policy	(i) Number of partnerships contributing to sustainable urbanization	
		International Organizations	
		National Governments	
		Local Authorities	
		Training institutions/universities	
		Foundations	
		Private sector organizations	
		Civil Society Organizations	
		(ii) Number of youth groups participating in policy formulation and implementation in human settlements programmes	
	(iii) Number of human settlements programmes that mainstream gender and promote women's empowerment.		
	(iv) Number of partnerships promoting gender equality in sustainable urbanization issues		
EA 3: Monitoring of sustainable urbanization conditions and trends improved	(i) Number of local and national urban observatories producing evidence for policy making and implementation with support of UN-Habitat		
EA 4: Improved awareness among Governments and other Habitat Agenda partners...	(i) Trends in request from Governments and other Government partners and professionals for information and publications on urban economic development and finance systems		
FA 2: <b>Participatory Urban Planning, Management and Governance</b>	EA 1: Improved policies, legislation and strategies support inclusive Urban Planning, management and governance	(i) Number of countries whose policies, legislation and strategies incorporate sustainable urbanization principles	
		(ii) Number of crisis-prone and post-crisis countries whose policies, legislation and strategies incorporate urban risk- and vulnerability-reduction measures	
	EA 2: Strengthened institutions promote inclusive UPMG	(i) Number of institutions in targeted countries that actively promote sustainable urbanization dimensions	
	EA 3: Cities implement inclusive UPMG	(i) Number of cities implementing inclusive UPMG.	
FA 3: <b>Pro-poor Land and Housing</b>	EA1: Improved land and housing policies implemented	i) Extent to which targeted countries working with UN-Habitat are implementing land, housing and property policies	
	EA2: Security of tenure increased	i) Increased number of countries and partners implementing policies to improve security of tenure and reduce forced evictions in collaboration with UN-Habitat	
	EA3: Slum improvement and prevention policies promoted	i) Degree to which slum prevention and improvement policies are implemented in targeted countries	

Focus Area	Focus Area Expected Accomplishments	Indicator of achievement	Performance Rating 2013
<b>FA 4: Environmentally sound basic urban infrastructure and services Results framework</b>	EA 1: An enabling policy and institutional framework promotes expanded access	i) No. of countries progressively adopting relevant policies to expand access to environmentally sound urban infrastructure and services	
		ii) No. of institutions in target countries adopting mechanisms that expand access to environmentally sound urban infrastructure and services	
		iii) Number of people in UN Habitat targeted communities with access to environmentally sound basic urban infrastructure	
	EA 2: Increased institutional efficiency and effectiveness in the provision of basic urban infrastructure services	i) % of service providers (water & sanitation utilities) supported by UN- Habitat recovering at least 95% of maintenance costs of services	
		ii) % of consumers of UN-Habitat partner service provider organizations reporting satisfaction with services provided	
	EA 3: Enhanced consumer demand for efficient and environmentally sustainable basic urban infrastructure	i) % of consumers ranking basic urban infrastructure services as the first three of their priority needs	
<b>FA 5: Strengthened Human Settlements Finance Systems</b>	EA 1: Increased investment in affordable and social housing stock and related infrastructure	i) Value of commercial loans, government subsidies, and donor grants made available for projects	
		ii) % housing loans by domestic banks and micro-finance institutions going to lower –income deciles	
	EA 2: Increase in activities in municipal finance and affordable housing finance	i) Funding raised and leveraged for municipal finance for affordable housing and basic infrastructure	
<b>FA 6 : Excellence in Management</b>	EA 1: Staff are empowered to achieve planned results	(i) % of staff whose skills set are aligned with their MTSIP compliant job description	
		(ii) % of staff reporting improved information and knowledge sharing (scale on 1-5, where 5 is the highest)	
		(iii) Reduction in time spent compiling selected business processes complying with rules and quality standards (days)	
		Average time Project Review Committee/ Project Advisory Group review (days)	
		Average time for information communications technology procurement (days)	
		Average time for approval of cooperation agreements	
		Average selection time on UN-Habitat recruitments	
	EA 2: Institution aligned to deliver MTSIP results	(i) % of staff reporting increased horizontal collaboration (inter-divisional, inter-focus area)	
		(ii) Number of key restructuring decisions implemented as recommended by the organizational review	
	EA 3: RBM principles applied	(i) % of programmes and projects that are contributing to focus area results	
		(ii) Willingness to be held accountable for MTSIP results (1-5 scale, where 5 is the highest)	
	EA 4: Financial resources to deliver MTSIP results available	(i) Degree to which resource targets for non-earmarked funding are met	
		Earmarked	
(ii)% of non-earmarked and earmarked resources allocated to MTSIP focus areas			

## 1.4 Budget Performance and Status of Implementation

The approved estimated budget for the 2012-2013 Programme of Work was **USD 393.2 million**. Table 3 shows resource requirements for the work programme by source of funding.

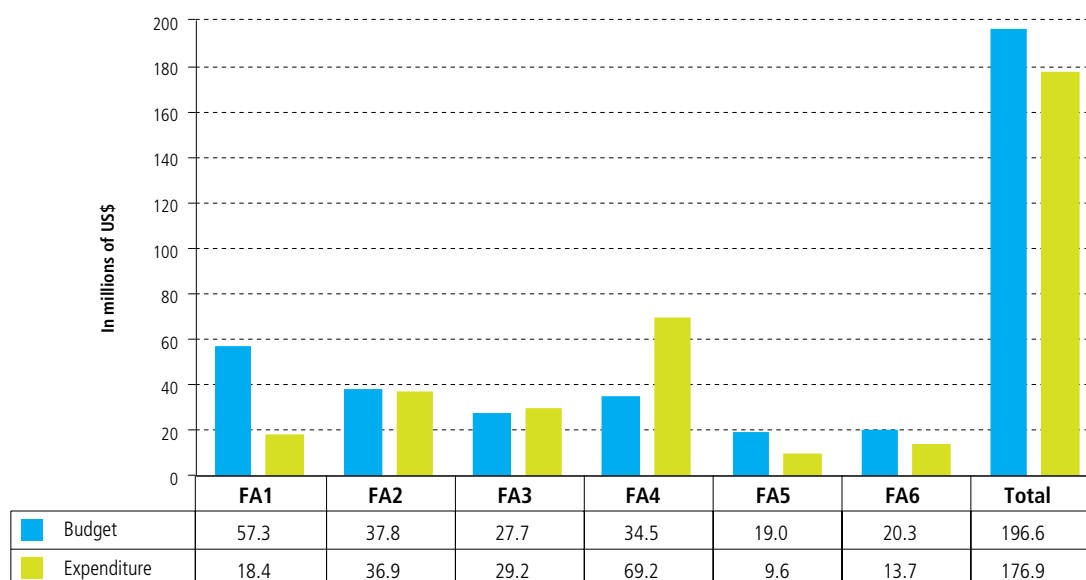
Table 3: Resource requirement for the work programme by source of funding (USD '000')

Category	Resources required (Estimates) 2012-2013
<b>Core resources</b>	
Regular Budget	22,450
Foundation General Purpose	70,221.5
Foundation special purpose (overhead) programme	12,988.0
Technical cooperation (overhead) programme	15,929.4
<b>Subtotal</b>	<b>121,589.7</b>
<b>Earmarked (including trust funds) resources</b>	
Foundation special purpose	97,536.8
Technical cooperation	174,100.8
<b>Subtotal</b>	<b>271,637.6</b>
<b>Grand total</b>	<b>393,227.3</b>
Post resources	80,922.0
Non-post resources	312,305.3

Source: Proposed work programme and budget for biennium 202-2013 (A/66/sect 15)

Targets for the biennium 2012-2013 are USD 60.4 million for non-earmarked funds and USD 283 million for earmarked funds. The approved estimated budget was USD 393.2 million. As of December 2013, USD 367 million out of an allotment of USD 556 had been utilized (65 percent). As the account closing process is not complete at the time of publishing this report, both the expenditure and allotment figures are subject to change.

Figure 2: Planned budgets against allocated resources and expenditures for all Focus Areas for 2013.



The overall estimated budget for 2013 is USD 196.6 million is 11% higher than the expenditure of USD 176.9 million as indicated in Figure 2. The budget estimates are made at the beginning of the biennium while the expenditure is linked to actual income received. In terms of sources of funding, table 3 shows that most of the funding is earmarked or trust funds for operational activities which are demand driven. This is particularly the case for Focus Areas 2, 3 and 4 where most of the operational activities are concentrated.

There are variations in the budget compared to the expenditure, particularly for Focus areas 1, 4, 5 and 6. In the case of FA1 and FA6, these variations rely mainly on Foundation non-earmarked funding and were therefore affected by the shortfall in Foundation General Purpose fund of around USD 45 million. The expenditure under FA4 was higher than the estimated budget because of new earmarked income for operational activities, particularly in the area of risk reduction and rehabilitation. This includes programmes in Sri Lanka and Myanmar. With respect to FA5, the expenditure in this area is lower relative to the initial estimate because of reduced portfolio after the operational activities relating to ERSO loans were discontinued as decided by the Governing Council in 2011.

## 1.5 Summary of Progress in implementation of the MTSIP by Focus Area

### Focus Area 1: Advocacy, monitoring and partnership

There has been improvement in progress made towards the four expected accomplishments for focus area 1. The level of awareness on sustainable urbanization issues at local, national and global levels, increased as did the participation of Habitat Agenda partners in sustainable urbanization issues. There were also improvements in monitoring sustainable urbanization conditions, as well as in awareness on urban economic issues. All indicator targets were met or exceeded except one on utilization of flagship reports by governments, local authorities and other Habitat Agenda partners which was narrowly missed.

UN-Habitat flagship reports are increasing awareness on sustainable urbanization issues but also impacting policy-making, training of future planners and policy-makers. More than 80 government and institutions of higher learning are using the flagship reports. The popular and fast growing City Prosperity Index is also very much in demand with an increasing number of countries in Latin America, Asia and the Pacific and the Arab States requesting to join it. Regional Ministerial Conferences continued to be important advocacy platforms for promoting awareness on sustainable urbanization. In the Asia-Pacific Region, the growing investments from governments in UN-Habitat initiatives and other urban events is a result of the increased awareness of national and local government authorities. In 2013, the League of Arab States drafted a Regional Strategy for Sustainable Urban Development for Arab States with support from UN-Habitat. The General Assembly of Ministers and maximum Housing and Urban Authorities of Latin America and the Caribbean (MINURVI) at its 22<sup>nd</sup> session held in 2013, committed to “*promoting the development of urban policies that are inclusive of informal settlements’ populations, guaranteeing access to urban infrastructure, community equipment and environmental sanitation, while also strengthening human and social capital*”. The Santiago Declaration was signed by the 13 Ministers who also committed to participate both in WUF7 and Habitat III.

Several national urban forums were established, including in **Cambodia, Laos, Papua-New Guinea, Mongolia, Pakistan**, and under consideration in **Afghanistan, and others re-activated - in the Philippines, Nepal and Vietnam**- by authorities, with support from UN-Habitat. In Papua New Guinea, the budget prioritized urban issues and was dubbed ‘urbanizing’ budget. The partnership agreement signed in 2013 between the Federal Government of Nigeria and UN-Habitat to support strengthening of partnerships for a New Africa Urban Agenda, demonstrated the country’s serious commitment to the urban agenda and to stronger regional cooperation and collaboration. Monitoring of sustainable urbanization improved, with the number of local urban observatories rising from 250 in 2012 to 274 in 2013, exceeding the original target of 200 local urban observatories by 2013. Progress made in monitoring sustainable urbanization is reflected in the growing interest of other UN agencies to collaborate, especially in partnership towards the post 2015 development agenda, and Habitat III Conference. The dissemination of tools to monitor sustainable urbanization conditions and trends has been accelerated by the development of two new composite indices: the City Prosperity Index and the Composite Street Connectivity Index.

## Focus Area 2: Participatory Urban Planning, Management and Governance

Urban planning, management and governance are now recognized as critical processes for promoting inclusive urban growth, preventing the development of slums and enhancing access to basic services for all. Satisfactory progress was made towards improving policies, legislation and strategies in the areas of urban planning, urban legislation, climate change and urban safety at global, regional and country levels. The number of countries whose legislation, policies and strategies incorporate urban planning, management and governance have improved or are improving increased from 28 countries in 2009 to 63 countries by December 2013, exceeding the target of 56 countries.

UN-Habitat achieved an important milestone in the refinement of its approach to planned city extensions as a key strategy for addressing urban growth, in particular for intermediate cities which face rapid population growth. Building on efforts from previous years, UN-Habitat established five universal criteria<sup>1</sup> in urban planning, in 2013, which will, from now on, underpin urban planning interventions. A strategy was established for effectively and coherently guiding countries with practical application of the new approach and universal urban planning principles. This major milestone has contributed towards restoring and repositioning urban planning, management and governance at the centre of international debate on urban development.

Since the adoption of the Governing Council Resolution 24/5, on promoting sustainable development through national urban policies, the National Urban Policy Framework developed by UN-Habitat has been utilized by four countries (Colombia, Rwanda, South Sudan, and Zambia) to guide their respective government-led processes of coordinating and rallying various actors in order to establish a common national vision for the desired urbanization. Since its launch in 2008, the Cities and Climate Change Initiative has expanded from initially supporting four cities to more than 50 cities (in Asia, Africa and Latin America) addressing issues of climate change in cities. Participating cities have built their resilience by enhancing their disaster preparedness and response capacities, by enhancing key physical infrastructure, by identifying the most hazard-prone areas, revising site selection criteria and building standards.

## Focus Area 3: Pro-poor Land and Housing

UN-Habitat made progress in advocacy for land and housing policy reforms, development of pro-poor and gender responsive tools and technical support and capacity building and their application to land, housing, and security of tenure, slum improvement and prevention at country level. All targets for the three expected accomplishments were exceeded by December 2013. The number of countries at different stages of developing, implementing or completing land and housing reforms increased to 48 countries by 2013 up from 37 in 2012 and exceeded the target of 32. The Habitat Agenda partners implementing policies aimed at progressively improving security of tenure and reduce forced evictions rose from 36 countries, up from 29 countries by the end of 2012 and surpassed the 2013 target of 29 countries.

Global Land Tool Network partners increased to 64 by the end of 2013 up from 54 partners at the end of 2012 supporting its work at global, regional and country levels. The number and diversity of partners is an indication of the increased traction and relevance of the UN-Habitat and GLTN approach to land and tenure security issues. The progress made in mobilizing support for the implementation of the continuum of land rights approach as the most effective way to provide tenure security at scale emerged as the single most important achievement of the Global Land Tool Network over the MTSIP period. The paradigm shift from individual titling to the continuum of land rights continues to receive growing international recognition and support.

Progress was made towards promoting policies that support slum improvement and prevention. By December, 2013, 40 countries and 150 cities were developing, implementing or completing slum upgrading and prevention policies, strategies and programmes with the support of UN-Habitat and partners, up from 24 countries in 2009 and 34 countries by the end of 2012. This exceeds the target set for 2013 of 29 countries, demonstrating the high response by countries to the initiative. There has been greater understanding of the shift in housing policy, trends and practice informed by the national housing profiles conducted in different countries. The experience and knowledge generated contributed to the development of the Global Housing Strategy.

<sup>1</sup> The five criteria are: (i) plan in advance of population increase, (ii) plan at the scale of the problem, (iii) plan in phases, starting with streets and following with water and sanitation, drainage, energy and lighting, transport, etc. (iv) plan for density and mixed land use, (v) plan for diversity and job creation

## Focus Area 4: Environmentally sound basic urban infrastructure and services

Satisfactory progress was made towards establishment of enabling policy and institutional frameworks that promote expanded access to environmentally sound urban infrastructure and services. The support provided by UN-Habitat and partners continues to have a catalytic effect on national policy reforms and institutional capacities for improved access to basic urban services, resulting in adoption of financing mechanisms targeting poor households. The total number of people in target communities who gained access to environmentally sound basic urban infrastructure reached 2,064,000 people by the end of 2013 up from 1,581,800 in 2012 surpassing the target of 2 million people.

An external evaluation of the implementation of the MTSIP 2008-2013 conducted in 2012 concluded that the policy reforms and ongoing programmes in the water and sanitation sector improved access and increased affordable water and sanitation services coverage to low income groups at the municipal and community level in several countries.

Progress continued to be achieved towards improving institutional efficiency and effectiveness in the provision of basic urban infrastructure services through UN-Habitat's institutional capacity building work with urban basic services utilities. The percentage of service providers (water and sanitation utilities) supported by UN-Habitat recovering at least 95% of operation and maintenance costs of services has increased from 33 percent in 2009 to 75 percent in 2013. The number of institutions that had adopted progressive mechanisms aimed at expanding access to environmentally sound urban basic services increased to 136 by the end of 2013, up from 126 in 2012, thus exceeding the target by 13%.

A growing number of countries are recognizing the importance of energy efficiency legislation as a result of UN-Habitat's advocacy work. Eight African countries signed a declaration calling for a regional energy efficiency building code to be developed by the East African governments.

## Focus Area 5: Strengthened Human Settlements Finance Systems

No meaningful progress was made towards achievement of the two expected accomplishments in 2013. The ERSO and SUF initiatives which were expected to be the vehicles for financial leveraging for municipalities and in housing finance did not expand or scale-up after the end of the pilot phase in 2011 as they were discontinued in 2011, in line with Governing Council resolution 23/10. In line with the recommendations and management response to the evaluation on MTSIP in 2012-13, municipal and urban finance and local economic development are fully embedded in the 2014-19 Strategic Plan.

During the last biennium of the MTSIP period, the Urban Economy Branch which was given the responsibilities to develop this focus area, has provided limited but essential backstopping and gate keeping of the existing ERSO and SUF projects to ensure their implementation and repayment of the ERSO loans (which is on schedule) while at the same time has begun formulating and implementing new municipal finance and urban economy initiatives.

In 2013 two major tools development initiatives have been started: one, a set of tools on land based financing, case studies and a training package which is expected to be completed and piloted in 2014; and two, a set of spatial economic analysis tools that allow to assess the economic impact of different planning scenarios. Furthermore, in 2013, a framework to apply municipal credit rating tools in five municipalities in Jordan has been agreed with the government of Jordan, and work has started in 2014.

## Focus Area 6: Excellence in Management

During the period under review, UN-Habitat made progress towards the achievement of planned results for Focus Area 6. Most targets were met, but the target on mobilization of non-earmarked resources was not met, while two indicators were not measured in 2013.

Regarding staff empowerment, about 99 per cent had their skills fully aligned to their posts. A total of 150 staff were trained in various administrative, financial and substantive areas. In 2013, the Urban Gateway provided easy access to information on sustainable urbanization to Habitat Agenda partners, while the PAAS enhanced information sharing and transparency. There was reduction in time spent completing selected business processes,

with the average time spent on recruitment declining to 109 days from 120 in 2012 and 274 days in 2009. By December 2013, 95 per cent of the restructuring decisions recommended by the MTSIP Peer Review of 2010 had been fully implemented, and a new organizational structure is now in place and is awaiting endorsement by the Secretary General.

Progress was made in the application and institutionalization of results-based management principles. New tools were developed and a total, 80 staff members had their capacities sharpened in RBM, including 25 RBM champions. The strategic plan for 2014-2019 and the work programme and budget for 2014-2015 were approved by the Governing Council in April 2013. A UN-Habitat Evaluation Policy was adopted and eight external evaluations were conducted in 2013. The evaluations identified a need for further sharpening of the strategic focus of UN-Habitat's interventions and integration compatibility between normative and operational frameworks. It was also recommended that the agency: improve communication with intended beneficiaries and external stakeholders; develop resource mobilization strategies; and enhance mainstreaming of cross-cutting issues within its interventions. To enhance transparency, UN-Habitat now has a total of 231 projects reported using the International Aid Transparency Initiative standard.

In terms of availability of financial resources to deliver the MTSIP results, UN-Habitat exceeded the level of earmarked resources planned but was well below the target for non-earmarked resources. To improve efficiency and accountability in the management of the agency's financial resources, the Project Accrual and Accounting System was updated and new features that support cost recovery and enhance project and resource management were added. In view of the ongoing shortfall in non-earmarked funding, a resource mobilization strategy was completed in 2013 and includes an action plan and a donor and resource mobilization service.

### The Enhanced Normative and Operational Framework (ENOF) and Cross-Cutting Issues

Progress was achieved towards integrating normative and operational work within UN-Habitat at global, regional and national level. By the end of 2013, there was marked increase in the number of countries addressing and putting in place policies and other mechanisms to address sustainable urban development issues. This is evidenced by UN-Habitat's work such as in urban planning, management and Governance, urban basic services, land and in disaster management and post disaster situations.

In 2012-13, the WUC Secretariat has focused its efforts on communication and outreach through strengthening several initiatives, particularly the outreach campaign 'I'm a City Changer' as a communication platform and a mobilization tool for the Habitat III Conference. The WUC is starting to engage cities to join the WUC as 'City Partners' committed to mobilizing partners and contributing to 'urban solutions' by organizing local 'I'm a City Changer' Campaigns. At the country level, National Urban Forums constitute country advocacy platforms towards the Habitat III Conference.

### Youth

UN-Habitat continues to advocate and raise awareness on issues affecting youth through its normative and operational work. The UN-Habitat Urban Youth Fund launched in 2008 supports innovative youth-led initiatives in developing countries around the world through the provision of technical and financial support. Over the period 2009 to 2013, 238 groups based in 63 countries and 172 cities, have been provided with resources to develop innovative and globally recognized youth initiatives. The One Stop Urban Youth Centre has become a widely recognized youth development model in Africa and globally. The pilot activities have demonstrated that it is strengthening the capacities of cities and youth groups to adopt and implement urban policies and programmes that support employment opportunities and livelihoods for urban youth.

The Urban Youth Fund projects continue to generate unique quality data on youth development on the ground from all development regions, driving the publication by UN-Habitat of the Global Youth-led Development series. The success and uniqueness of this Youth Fund is not only from the individual projects throughout the 172 cities in the world where it operates, but the comprehensive and holistic picture it provides to UN-Habitat, and the grounded experience and knowledge for normative work and policies.



The *Youth 21* process, initiated by UN-Habitat in 2012 as a multi-level governance programme, has laid the foundation with clear focus on the need to increase youth participation in governance. Its key achievement was the appointment of the Secretary-General's Envoy on Youth in January 2013, in line with the recommendations from the UN-Habitat *Youth 21* report. The appointment and the cooperation with the Envoy has improved UN-Habitat's policy impact at the UN level based. It has also helped include youth on the agenda of the UN as a whole, and increased youth's access to decision making processes within the UN system.

## Gender

UN-Habitat continues to promote gender equality and women's empowerment as essential components of sustainable urban development. In 2013, 25 UN-Habitat Headquarters regional and country staff were trained in gender mainstreaming, gaining the capacity required to address gender and women empowerment issues. UN-Habitat continued to advocate for the collection, analysis and dissemination of sex disaggregated data and analysis of the urban situation using a gender lens. The three UN-Habitat flagship reports "The State of the World cities reports and the Global Report on Human Settlements human settlements reports as well as in the State of Women in Cities report 2012/2013 have included sex disaggregated data at city level and, the analysis of sustainable urban development issues from a gender perspective.

The UN-Habitat *Policy and Plan for Gender Equality and Empowerment of Women in Urban Development and Human Settlements* was formally adopted in December 2013. The Advisory Group on Gender Issues created in 2012 with the specific role of advising the Executive Director on gender issues continued to serve as an advocacy platform on gender issues in various international, regional and national fora, representing UN-Habitat.

## Disaster Management

UN-Habitat's voice in the international arena is respected by the Inter-Agency Standing Committee and some of the main donors. The traditional humanitarian agencies are gradually accepting that there is a need for a seamless transition from relief to development, an approach adopted by UN-Habitat at its early stage of interventions in post-crisis situations. The Inter-Agency Standing Committee Transformative Agenda has incorporated a number of measures to ensure this transition, which UN-Habitat in cooperation with UNDP and UNICEF has promoted.

UN-Habitat has established a position of Urban Emergency Advisor, to UN Humanitarian Coordinator, assisting in strategic support to ensure capacity is in place to function efficiently within cities impacted by crises. The first deployment of an Urban Emergency Advisor was in 2013 in response to a rapidly deteriorating situation in Syrian cities.

Post-disaster and post-conflict field projects are the single largest component of the UN-Habitat operational projects, thus contributing to UN-Habitat's experience and income. Through these country projects, UN-Habitat influences disaster response, reconstruction policies and housing and urban strategies. UN-Habitat has a sustained presence in a number of critical countries like **Afghanistan, Pakistan, Somalia** and **Iraq**, turning the sustainable relief to reconstruction policy into practice, and developing an evidence-base for its longer term impact.

## Progress in the preparatory process for Habitat III

UN-Habitat is on schedule in implementing the Governing Council resolution 24/14 of April 2013 on Habitat III in response to the Secretary-General's proposal on the preparatory processes. UN-Habitat has prepared a draft Habitat III 'think piece', which was presented to the CPR and distributed to other UN system organizations for comments and further inputs. UN-Habitat also developed two strategic options for its input to the Habitat III preparatory process, each envisaging a different level of funding. The General Assembly allocated over three million United States dollars towards preparatory processes in 2014-2015. A Habitat III Trust Fund was established and operationalized.

Draft guidelines have been developed to support Member States in the preparation of Habitat III national reports. These have benefitted from the inputs of Member States and Habitat Agenda partners, including through an e-consultation, and have been distributed to all Governments. These guidelines, together with an earlier guide on the establishment or strengthening of National Habitat Committees distributed to all Governments in January 2013, have enabled the preparation of Habitat III national reports to begin.

UN-Habitat has also prepared proposals on the contribution of the UN system and Habitat Agenda partners to the Habitat III preparatory process. These were endorsed at a UN interagency meeting held on 3 July 2013 in Geneva, at which a UN Interagency Coordination Committee for Habitat III was established.

## Post 2015 Development Agenda

Partly as a result of UN-Habitat's efforts, combined with the efforts of other organizations and Habitat Agenda partners, there is increasing recognition of the contribution of urbanization to sustainable development. The report of the High Level Panel on the Post-2015 Development Agenda, published in May 2013, emphasized that "Cities are where the battle for sustainable development will be won or lost". It also recognized the key role of local authorities.

Also, the UN Secretary-General's report titled "A life of dignity for all: accelerating progress towards the Millennium Development Goals and advancing the United Nations development agenda beyond 2015", released in July 2013, recognized "Meeting the challenges of urbanization" as one of 14 key "...transformative and mutually reinforcing actions that apply to all countries..." that will be required to bring to life the vision of the development agenda beyond 2015 (paragraphs 82 and 94).

In addition, at the Seventh Session of the Open Working Group held during the period 6-10 January 2014, there was supported by Member States for the inclusion of urbanization in the post-2015 Sustainable Development Goals. The Co-Chairs, in their summary at the end of the Session, observed that "The inclusion of an urbanization-related goal in the SDGs was supported by many."

## Challenges

1. Declining non-earmarked resources is a critical challenge that UN-Habitat is addressing through an updated resource mobilization strategy, action plan and service to address funding gaps and enhance sustainable funding for core and operational activities. An Enhanced resource management, including budgeting linked to income projections, cost recovery, cost containment and efficiency measures
2. Participating effectively in the UNDAF processes at country level has been constrained by inadequate resources. UN-Habitat is reflecting on more innovative ways for participating in the process.
3. Preparing for implementation of major organizational improvements during the transition period with limited resources was both a challenge and an opportunity. UN-Habitat is doing this within its very limited resources, which is putting a strain on the available staff.

## Lessons learned

1. Advocacy is best achieved when taken beyond the normative function. In that regard, UN-Habitat needs to transform its flagship products, policy tools, reports and analytical instruments into meaningful training materials.
2. Successful organizational reform requires the buy-in and support of all staff.

## 2.0: MTSIP Focus Areas Assessment of Progress and Achievements

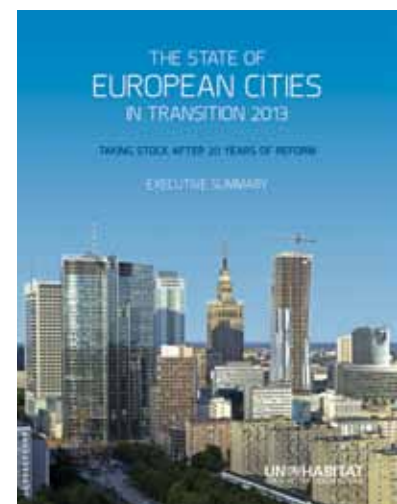
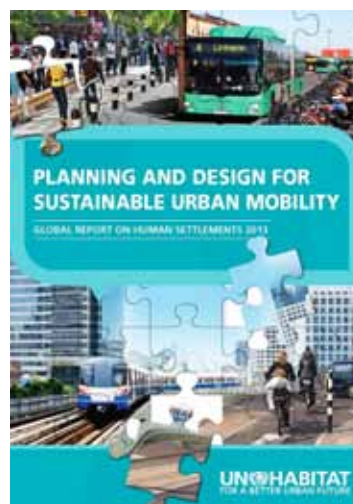
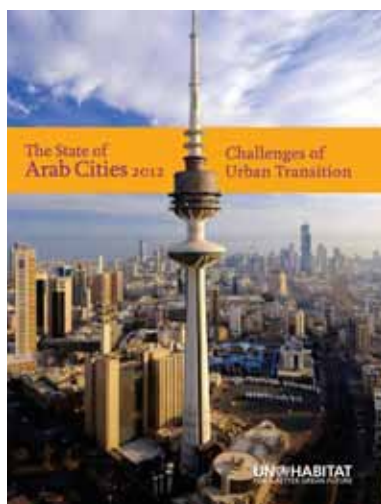
### Focus Area 1: Advocacy, monitoring and partnership

The strategic result of focus area 1, Advocacy, Monitoring and Partnership, is ‘Improved sustainable urbanization policies from local to global levels adopted’. It has three expected accomplishments: i) Improved awareness of sustainable urbanization issues at the local to global level; ii) Habitat Agenda Partners actively participate in the formulation of sustainable urbanization policy; and iii) Improved monitoring of sustainable urbanization conditions and trends. UN-Habitat and partners contributed towards achievement of results through advocacy and awareness raising, capacity development, development and provision of tools and guidelines, pilot projects, and supporting implementation of projects at global, regional and country levels.

#### Overall Assessment

Progress was made towards achievement of the three expected accomplishments of this focus area as indicated in table 3. Governments, Local Authorities and other Habitat Agenda partners’ awareness of sustainable urbanization issues, increased considerably at global, regional and local levels, due to the support provided by UN-Habitat and partners. The level of Habitat Agenda partners’ participation grew, while improvements were noted in the level of monitoring of sustainable urbanization conditions. There is also growing awareness of the contribution of urban economic development and finance to poverty reduction and sustainable human settlements development. Improved awareness of sustainable urbanization issues is evidenced by the increased participation in UN-Habitat advocacy events, enhanced demand and utilization of its knowledge products, and the development of regional strategies by regional Ministerial Conferences of the Arab States, the Latin America and the Caribbean, and Africa.

The increased participation of partners in the formulation of sustainable urbanization issues is manifested by the growing number of partners, including youth that are promoting sustainable urbanization through various initiatives. In addition, several UN agencies are working with UN-Habitat on sustainable urbanization issues, including the Post-2015 agenda and preparations for the Habitat III Conference. Improvements in the monitoring of conditions and trends are indicated by the growing number of national and urban observatories, which has exceeded the target set for 2013. All the indicator targets for the four expected accomplishments for focus area 1 except one were met and in several instances, exceeded. While some targets may have been set too low, the main reason is that there was an increase in the demand for support by UN-Habitat and also for its goods and services. Even Indicator 1.1 (ii) that monitors the use of the flagship reports and the Best Practices by Governments and education and training institutions, missed the target by a very narrow margin. It is shown in yellow on the traffic light chart in table 4. The improvements are partly an indication of improved tracking of the utilization of the flagship reports.

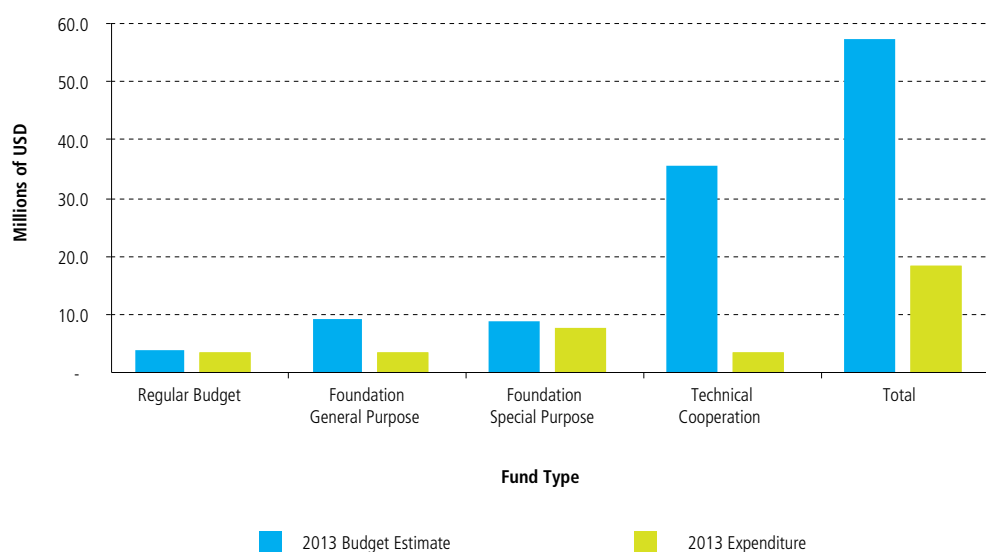


UN-Habitat flagship reports. © UN-Habitat

Table 4: Progress on indicators of achievement Focus Area 1

Strategic result of this Expected Accomplishments (EA)	Focus area is Sustainable urbanization principles drive policy and practice Indicator of achievement	Baseline 2009	Actual 2011	Actual 2012	Target 2013	Actual 2013
<b>EA 1.1:</b> Improved awareness of sustainable urbanization issues at local, national and global level	(i) Upward trend in downloads of the "State of the World's Cities Report, the Global Report on Human Settlements"	7,910	25,000	87,701	22,000	119,970
	(ii) Increased number of governments and Habitat Agenda Partner institutions using the Global Report on Human Settlements, the State of the World's Cities Report' and the Best Practices in their education and training programmes,	N/A	62	120	350	343
	(iii) Number of countries with National Urban Forums	14	19	35	22	43
<b>EA 1.2:</b> Habitat Agenda partners actively participate in the formulation of sustainable urbanization policy	(i) Number of partnerships contributing to sustainable urbanization	N/A	248	326	319	497
	International Organizations	25	73	76	48	65
	National Governments	45	40	55	52	79
	Local Authorities	38	48	43	55	80
	Training institutions/universities	25	20	35	37	38
	Foundations	9	12	13	16	26
	Private sector organizations	26	31	43	50	56
	Civil Society Organizations	35	24	52	65	153
	(ii) Number of youth groups participating in policy formulation and implementation in human settlements programmes	25	115	120	100	238
	(iii) Number of human settlements programmes that mainstream gender and promote women's empowerment.	37	62	46	45	48
(iv) Number of partnerships promoting gender equality in sustainable urbanization issues	135	237	250	200	254	
<b>EA 1.3:</b> Monitoring of sustainable urbanization conditions and trends improved	(i) Number of local and national urban observatories producing evidence for policy making and implementation with support of UN-Habitat	135	160	250	200	274
<b>EA 1.4:</b> Improved awareness among Governments and other Habitat Agenda partners of the contribution of urban economic development and finance to poverty reduction and sustainable human settlements development.	(i) Trends in request from Governments and other Government partners and professionals for information and publications on urban economic development and finance systems developed by UN-Habitat.	15,000	112,029	25,000	147,500	172,751

Figure 3: Planned budget and expenditure for Focus Area 1



### Financial Assessment

The estimated budget for Focus Area 1 was USD57.3 million against an expenditure of USD 18.4 million. The relatively low expenditure is linked to actual income received for these core activities which rely heavily on the Foundation General Purpose fund which had a shortfall of around USD 45 million in the 2012-2013 biennium (see figure 3).

### Expected Accomplishment 1: Improved awareness of sustainable urbanization issues at local, national and global level

There was improvement in the level of awareness on sustainable urbanization issues at local, national and global levels. This is evident among governments, local authorities, and other Habitat Agenda Partners. UN-Habitat made contribution to raising awareness through its flagship reports, regional and country reports and other knowledge products, its dedicated platforms and tools that include, the World Urban Campaign, the World Habitat Day, the Global Urban Economic Dialogue series, best practice database and capacity building efforts.

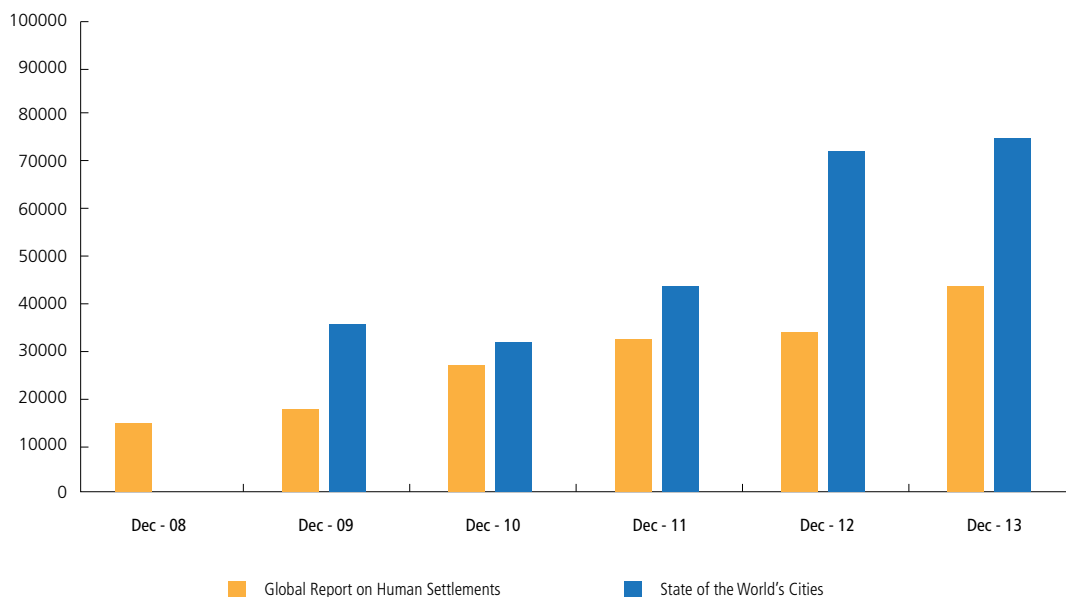
The improvements in the level of awareness are manifested in the increased attendance and participation in UN-Habitat advocacy events, enhanced demand and utilization of UN-Habitat knowledge products, especially the two flagship reports. Improved awareness is also evident from the increased demand for UN-Habitat support on sustainable urbanization issues, the development of regional urban strategies including the regional Ministerial Conferences of the Arab States and of Latin America the Caribbean and Africa. The increased number and activity of national urban forums are also indicative of increased awareness of sustainable urbanization issues at local level.

By December 2013 there were a total of 119,970 downloads of the two UN-Habitat flagship reports which represents an increase from the number of downloads in 2012 and, more importantly, exceeds the target of 22,000 set for 2013. In addition, the number of Governments and other Habitat Agenda Partner institutions using the flagship reports and data from the Best Practices programme in their education and training programmes had risen to 343 by 2013, up from 120 in 2012.

## i) Global Achievements

UN-Habitat flagship reports are influencing not only awareness on sustainable urbanization issues but also policy making, the visibility of the organization, and improved capacity of future policymakers who are trained in the various institutions that use these flagship reports and other knowledge products. More than 80 known institutions are using the flagship reports as recommended textbooks, including top universities. Their quality and the subject matter that they have addressed have put them at the ‘frontier’ of the urban development debate. Figure 4 shows the growing interest in the reports. The popular and fast growing City Prosperity Index is a follow-up component of the *State of the World Cities Report for 2012/2013*. The publication of flagship reports in several languages has extended their reach and relevance, as shown by the increased number of downloads. The 2013 *Global Report on Human Settlements* focused on Planning and Design for Sustainable Urban Mobility was launched in New York and Medellin and continues to receive acknowledgement for its contribution to knowledge and awareness raising on sustainable urbanization. The knowledge base produced through the flagship and regional reports has been used for the preparations of various conferences and fora such as WUF 6 and WUF 7, the regional Ministerial Conferences as well as to support UN contributions to the 2015 Post Development Agenda. Awareness and capacity on sustainable urbanization issues has also been strengthened through UN-Habitat’s capacity building programme, as well as the University partnership programme.

Figure 4: Number of downloads of the Global Human Settlements Report and State of the World Report



Since its launch in March 2010, the World Urban Campaign (WUC) has evolved from a knowledge sharing network into a think-tank and has considerably strengthened both in terms of legitimacy and number of partners engaged. The World Urban Campaign (WUC) has moved from a network of organizations united by the same purpose to become a more structured platform dedicated to identified advocacy and knowledge sharing goals. The WUC working group on Habitat III established in 2012 met in April 2013 and Sept 2013, to reflect on past conferences, and more importantly, initiate a strategy and draft a position paper entitled ‘The City We Need’. Partners’ mobilization and information sharing on the Habitat III and Post-2015 agenda have provided a rallying point and greatly energized discussions and interest on sustainable urbanization with Governments and regional groups. This provided an opportunity for strategizing on how to benefit from the outcomes of these big events. Both the launching and celebration of the winners of Dubai International Award for Best Practice, which was celebrated in 2013, contributed to increased awareness.

## ii) Regional Achievements

The growing demand for regional reports is indicative of their value to Governments and other Habitat Agenda partners. However, their impact at regional level may not yet be fully appreciated until more data collection and assessments are undertaken. In addition, their publication in several languages has given visibility to issues related to sustainable urbanization and connected UN-Habitat with different global and regional partners in a critical manner. The State of Arab Cities 2012, Challenges of Urban Transition has triggered several technical cooperations in the region.

Improved awareness of sustainable urbanization issues amongst Habitat Agenda partners in the Arab States is evidenced by the increasing demand for UN-Habitat's technical support and services in the region. The **occupied Palestinian territories, Iraq, Sudan and Saudi Arabia** started developing national and regional spatial plans in 2013 with UN-Habitat support. **Syria, Jordan, Lebanon, Iraq, occupied Palestinian territories; United Arab Emirates** are working on housing/ shelter policies and strategies. In addition, **Syria, Jordan, Lebanon, Iraq, occupied Palestinian territories** and **Sudan** are working on urban housing and basic services support in an emergency context.

Regional Ministerial Conferences continued to be important advocacy platforms for promoting and increasing awareness on sustainable urbanization. **In 2013**, UN-Habitat continued to work closely with the Nairobi based African Ministerial Conference on Housing and Urban Development (AMCHUD) Secretariat in promoting the Africa Urban Agenda as a follow-up to the Nairobi Declaration, Pact ('Maximizing the Urban Advantage'), a strategy document adopted in 2012, to guide Member States in promoting sustainable urbanization in their respective countries. In the Asia-Pacific Region the growing investments from governments in UN-Habitat initiatives and other urban events is a result of the increased awareness of a number of national and local government authorities. Several national urban forums were established (in **Cambodia, Laos, Papua-New Guinea, Mongolia, Pakistan, and under consideration in Afghanistan**), and others re-activated (in the **Philippines, Nepal and Vietnam**) by authorities, with support from UN-Habitat, due to renewed interest and relevance of the urban issue in the national development agenda.

In 2013, the League of Arab States drafted a Regional Strategy for Sustainable Urban Development for Arab States with support from UN-Habitat following the preparation and dissemination of the State of Arab Cities Report in 2012, and based upon its recommendations. This was a highly participatory process, which involved contributions from ministries represented within the Ministerial Council on Housing and Construction of the League of Arab States. All 22 Arab States are represented in the Ministerial Council. The strategy outlines priority urbanization issues in the region that should be jointly considered by Arab States and strategic urban development priorities and goals by sub-region. Based on this and with reference to the State of Arab Cities report, the strategy outlines key areas for UN-Habitat's technical cooperation with Arab States.

In the Africa region, World Habitat Day celebrations are becoming strategic occasions to promote the mandate and on-going activities of the agency, print and electronic media in countries like the **Democratic Republic of Congo, Burkina Faso and Chad** provide ample coverage for UN-Habitat activities and thematic issues thus widening the coverage for the dissemination of the work of UN-Habitat.

## iii) Country Achievements

National Urban Forums are both a sign of awareness and instruments for strengthening awareness in countries. In 2013 National Urban Forums continued to be very active in the Latin America and Caribbean region where they are mobilizing support towards the Habitat III Conference. Three countries, **Colombia Ecuador, and El Salvador** successfully organized National Urban Forums. In **Cuba** National Urban Forums have been held annually in the last six years both as public events, as well as National Habitat Committee Meetings. A regional strategy for Latin America has been developed to support countries to participate effectively in the preparatory and consultative process towards the Habitat III Conference. In addition to this, increased knowledge of local governments occurred as a result of the dissemination and discussion of Latin American experiences on decentralization policies and management of basic services at the local level.

Many countries are not only manifesting their increased awareness but are also demonstrating their commitment to the cause either by developing national strategies or committing resources. In 2013, the National Budget of **Papua New Guinea** for 2014, was publicized in national newspapers as an ‘Urban Driven Budget’ following its analysis by the National Research Institute of **Papua New Guinea**. World Habitat Day 2013 observations were organised by governments and UN-Habitat and reported in countries such as **Nepal** and **Sri Lanka**.

In the Asia-Pacific, three new National Habitat Committees were established in **Pakistan, Afghanistan and Papua-New Guinea**. In **Afghanistan** this was part of the preparatory process for the Habitat III with the aim of formulating National Plans of Action through the Habitat Committee’s broad-based membership. UN-Habitat **Pakistan** with its counterpart agency, the Climate Change Division of the Government of Pakistan set up a core group that functions as a National Habitat Committee. A National Urban Forum will take place in 2014 after the Committee has facilitated a Provincial Dialogue to prepare the urban development agenda titled “the future we want”.

National urban forums are increasingly becoming important national advocacy and learning platforms for raising awareness on sustainable urbanization during World Habitat Day celebrations. They also support UN-Habitat’s operational work in the countries and relevant normative tools and publications. The number of countries with national urban forums increased to 43 by the end of 2013 up from 35 at the end of 2012 and only 14 in 2009. During 2013, UN-Habitat continued to provide technical and financial support to strengthen the national urban forums. **Vietnam and Mongolia** used the Urban Forums as an arena for national dialogue on specific complex urban themes or to ‘shift urban paradigms’, initiated by different partners. In **Vietnam**, the Da Nang City organized a Community of Practice conference on ‘Integrative Urban Development: towards Green and Resilient Cities in Vietnam’ in 2013. This conference created space for urban sector stakeholders to exchange experiences and tools on improving city resilience to floods and integrating climate change resilience into urban planning. In **Papua-New Guinea**, the Government’s prioritization of the urbanization issues in the budget resulted in it being dubbed an ‘urbanising’ budgets. This change is partly attributed to valuable information in the National and three City/Town /Urban Profiles prepared by UN-Habitat and to national urban forums organized by the government Office of Urbanization since 2010.

In **Burkina Faso**, the national conference on urban planning in 2013 was a vehicle for advocating the Habitat Agenda. The conference also deliberated on issues related to forced evictions and called for respecting the rights of slum dwellers. In **Senegal**, innovative urban thinking linking the three pillars: social inclusion, environmental sustainability and economic development can be attributed to UN-Habitat’s sustained advocacy over the last ten years and the conferences on sustainable urban development. A committee for the development of ‘Urban Poles’ was recently constituted to work closely with UN-Habitat in piloting interventions looking at the reconciliation between urban planning, regional development and public/private investments. In **Zambia**, the National Habitat Committee established since the Istanbul 1996 Conference meets regularly under the leadership of the Ministry of Local Government and Housing. The National Habitat Committee convened a National Conference on Urban Policy and Planned City Extensions in May 2013 with technical support from UN-Habitat and attracted stakeholders in the urban sector who discussed the way forward for urban development.

## Expected Accomplishment 1.2: Habitat Agenda partners actively participate in the formulation of sustainable urbanization policy

The number of partners actively participating in sustainable urbanization has increased and some are participating in policy making. This is illustrated by the number of Memorandums of Understanding signed with Governments, local governments and other Habitat Agenda Partners. The number of legal agreements (Memoranda of Understanding, Contribution Agreements with donors, and cooperation agreements with implementing partners) signed between UN-Habitat and governments, as well as Habitat Agenda Partners, increased from 263 in 2007 to 497 in 2013. Most legal agreements were signed with NGOs, local authorities, and governments. The lowest number of legal agreements were signed with professional organizations, followed by financial institutions and lastly, with research institutions. Many of the legal agreements were signed with implementing partners, the majority of them were new organizations. There was also a marked increase (283 by December 2013 from 100 in 2012) in the number of youth groups participating in policy formulation and implementation in human settlements programmes.



There has been a marked improvement in the level of participation by women in sustainable urbanization issues. As a result of concerted efforts to strengthen integration of gender issues UN-Habitat's work contributed to an increase in the number of human settlements programmes that mainstream gender and promote women's empowerment to 48 by December 2013. The number of partnerships promoting gender equality in sustainable urbanization issues rose from 250 in 2012 to 254 in 2013, thus exceeding the target of 200.



Strengthening Partnerships for a new Africa Urban Agenda conference in Nairobi, Kenya 2013. © UN-Habitat

### (i) Global Achievements

From table 3, it is clear that there has been an increase in the number of partners participating in sustainable urbanization issues, with UN-Habitat continuing to engage existing partners. In 2013 emphasis was placed on strengthening partnerships for a new urban agenda through fostering dialogues at global, regional, national and local levels with a variety of partners, including: (i) dialogues between civil society and relevant government ministries responsible for housing, urban development, and local governments; (ii) engagement with institutional partners, especially the United Nations Economic Commission for Africa, United Nations Capital Development Fund, Cities Alliance, United Cities and Local Governments in Africa and Asia; (iii) supporting debates by parliamentarians at global and sub-regional level; and (iv) promotion of UN Inter-Agency collaboration on sustainable urbanization and human settlements development.

As a result of active mobilization and sensitization of partners around the world to the regional consultations of the high level panel on the post 2015 development agenda, partnership for sustainable urban development was identified as a key pillar in the final report of the high level panel. Partners were also sensitized on the Guidelines for the preparation of National reports for Habitat III. UN-Habitat also made inroads in mobilizing other UN agencies. Following two consultative meetings, an umbrella Memorandum of Understanding between UN-Habitat and other UN agencies was prepared in 2013. It broadly outlines specific areas of collaboration in the field of sustainable urbanization, with special focus on strengthening the partnership towards the post 2015 development agenda, and Habitat III.

Adoption by the Board of the Global Parliamentarians of a Habitat Charter in April 2013 and the two follow-up meetings held in October 2013 in Arusha and Croatia indicate an increased interest in the new urban agenda. The Global Parliamentarians on Habitat, Africa chapter, organized a conference in Arusha, Tanzania, hosted by the East African Legislative Assembly and attended by about 200 parliamentarians who reviewed the achievements of MDGs and implementation of Habitat Agenda. The Global Round Table Conference of Parliamentarians on

the Urban Economy, Port and Historical Cities in Croatia, were attended by parliamentarians and academicians from 25 countries. A Declaration was adopted and parliamentarians committed further to the implementation of the Habitat Agenda, as well as the forthcoming major events of the World Urban Forum VII and Habitat III.

## (ii) Regional Achievements

Progress was made in increasing the number of partnerships with national governments in the Asia-Pacific region, especially in formal urban policy review and formulation. During 2013, seven countries received support in urban policy formulation through capacity and data development and programme design support, especially towards planning for resettlement after disasters or conflicts. UN-Habitat played a catalyzing role in the United Nations Development Group Asia-Pacific's regional thematic group, by providing technical support to the development of UNDP's Regional Strategy for Urbanization and at the country level with UNDP, UNICEF and WHO on their urban agenda. Strategies for sustainable urban development in the region are being developed jointly by the United Nations Development Group members and other key stakeholders.

There is increased interest and awareness in urbanization issues in the Arab State as manifested by their participation in relevant conferences and fora. In 2013, seven countries in the Arab States region, including **Qatar, Saudi Arabia, Kuwait, Bahrain, and Oman**, endorsed the regional urban development strategy framework for the Gulf States. It focuses on adopting sustainable urbanization policy and spatial strategies that consider a regional perspective for complementarity and cooperation. Some of the evidence includes the development of the national urban strategy in **Iraq** spearheaded by the Habitat Agenda partners. The **Government of Iraq** provided financial support to facilitate the region's preparatory activities to facilitate effective participation in the Habitat III conference for the Arab region. Increased attention to urbanization issues is also reflected in National Development Plans and United Nations Development Assistance Frameworks in **Iraq, Sudan and occupied Palestinian territories**, developed in 2012-2013. UN-Habitat's main contribution has been in anchoring discourse in technical support with normative tools and facilitating the development of the regional strategy and working alongside Habitat Agenda partners in the development of National Development Strategies and UN Development Assistance Frameworks.

In Latin America and the Caribbean region, UN-Habitat actively engaged with other United Nations Agencies as partners on sustainable urbanization issues as evidenced by the number of joint programmes that were developed and jointly implemented with the other UN agencies. From 2009 to 2013, UN-Habitat has participated in nine UN joint programmes funded by the MDG-Fund. In **Haiti**, UN-Habitat participates in Joint Programmes, in different issues such as shelter, Internally Displaced Persons, rehabilitation and others within the post-disaster context.

UN-Habitat has actively participated in the United Nations Development Group for Latin America and the Caribbean and contributed to joint publications, including the *Sustainable Development in Latin America and the Caribbean, Follow up to the United Nations development agenda beyond 2015 and to Rio+20*. In contributing to the promotion of sustainable cities, the 22<sup>nd</sup> General Assembly of Ministers and maximum Housing and Urban Authorities of Latin America and the Caribbean which took place in 2013, strongly committed to "*promoting the development of urban policies that are inclusive of informal settlements' populations, guaranteeing access to urban infrastructure, community equipment and environmental sanitation, while also strengthening human and social capital*"<sup>1</sup>. This was agreed in the Santiago Declaration, signed by the 13 Ministers who also expressed their interest in participating both in WUF7 and Habitat III.

Together with the United Cities and Local Governments, UN-Habitat organized two regional validation seminars for the Latin American Chapter of the Third World Report on Decentralization and Local Democracy (GOLD III). The meetings involved the participation of local governments and local governments associations from **Argentina, Bolivia, Brazil, Colombia, Costa Rica, Chile, Dominican Republic, El Salvador, Guatemala, Honduras, Panama, Mexico, Paraguay, Spain, Uruguay and Venezuela**. This process benefitted from the support of the Federation of Latin American Cities, Municipalities and Associations of Local Governments, Mercociudades and the Spanish Federation of Municipalities and Provinces as key partners, in order to guarantee technical and political support implementation of agreed programmes.

<sup>1</sup> Santiago Declaration, page

The number of countries participating and showing commitment to sustainable urbanization is growing. The African Ministerial Conference on Housing and Urban Development (AMCHUD) member countries are gradually adopting UN-Habitat products and services, particularly National Urban Policies, to provide them with a forward looking vision to sustainable urban development. The idea of compact cities and planned city extensions are increasingly gaining traction in most of the AMCHUD countries, notably in **Nigeria (including cities at the State level), Ghana, Burkina Faso, Malawi, South Africa, Liberia**. These countries have developed or are in the process of developing national urban policies, structure plans at the city level and capacity building initiatives both at central and sub-national level of government to create institutions to roll out implementation.

The partnership agreement signed in 2013 between the Federal Government of Nigeria and UN-Habitat to support strengthening of partnerships for a New Africa Urban Agenda, demonstrated the country's serious commitment to the urban agenda and to stronger regional cooperation and collaboration. The initiative, which is supported by a significant amount of funds will focus on the preparation of an African position for Habitat III, promoting good governance and capacity building for Habitat Agenda Partners in order to enhance their engagement in policy dialogue. Nigeria's financial commitment signifies a change in donor relations in the region with an African government providing financial support to improve relations between state and non-state actors, and to raise the profile of urbanization in the region.

More governments, Habitat Agenda Partners and institutional partners have committed to work together in the pursuit of sustainable urbanization for Africa following a successful "Take-off Conference" on strengthening partnerships for a New Africa Urban Agenda held in Kenya in December 2013. The initiative to elevate the urban agenda in Africa to the presidential level was given further boost when the President of Ghana accepted to spearhead communication of UN-Habitat with African Heads of State on prioritizing the urban agenda. A consultative meeting held in the margins of the General Assembly on November 25, 2013, considered the modalities of this process. Ghana supported the process with provision of financial resources to strengthen local governments as a key partner of the Presidential Initiative for the African Urban Agenda. The Take-off Conference brought together senior government officials and Habitat Agenda Partners from 37 African countries, the United Nations Economic Commission for Africa, United Nations Capital Development Fund, United Cities and Local Governments in Africa and Asia, and Cities Alliance.

### (iii) Country Achievements

In **Senegal**, UN-Habitat advisory work and projects has greatly influenced national urban policies. The World Urban Campaign which was launched in Dakar in mid-2013 for the Africa region is contributing towards aligning the different stakeholders to the new urban agenda, World Urban Forum 7 and Habitat III. In **Zimbabwe**, Habitat Agenda Partners have been instrumental in the decision by the Government to stop all 'forced' evictions. The Government has pledged to provide alternatives to informal settlement dwellers prior to any evictions. In **Liberia**, the relevant government ministries are meeting more regularly to discuss urbanization issues, including during the 'Urban Stakeholders Roundtable' periodically convened by the Ministry of Internal Affairs.

## Expected Accomplishment 1.3: Monitoring of sustainable urbanization conditions and trends improved

There is improvement in the monitoring of sustainable urbanization conditions and trends. This is demonstrated by (i) the growing number of local and national urban observatories producing evidence for policymaking and implementation with support of UN-Habitat; (ii) the increasing recognition of the utility value of UN-Habitat's Urban Indicators programme and the Global Urban Observatory by other UN agencies and other Habitat Agenda partners; and more recently, the City Prosperity Index which is being adopted by countries at an increasing pace. The flagship and regional reports support trend monitoring and indicator data provision on the one hand, and policy analyses at the regional, national and local levels, on the other.

The number of local urban observatories increased from 250 in 2012 to 274 in 2013, exceeding the target of 200 local urban observatories set for 2013. This has been achieved through the technical assistance provided by UN-Habitat to countries and cities to establish urban observatories in Africa, the Arab States, Asia Pacific, Latin America and the Caribbean. Partners extensively used three main tools: the (i) *Urban Indicators Programme Guidelines*; (ii) *Guide to set up urban observatories*; and (iii) *UrbanInfo* to establish and strengthen sustainable

urban development monitoring systems. Several United Nations agencies and other Habitat Agenda partners are increasingly reliant on indicator data from UN-Habitat's Urban Global Observatory. The City Prosperity Index, which a growing number of cities are adopting, shows the different components of a holistic notion of urban prosperity, how to measure it, and how to organise for its achievement. By December 2013, a number of cities from various regions of the world expressed interest in adopting the City Prosperity Index and several had committed financial resources to implement it.

### (i) Global Achievements

UN-Habitat contributed to improved monitoring of global trends and conditions on sustainable urbanization through its indicators programme, the urban observatories, the flagship reports and the City Prosperity Index. In 2013, UN-Habitat became an important centre for the production and use of urban statistics on monitoring sustainable urbanization conditions and trends. There was an increase in the number of requests for data on urban indicators from international agencies, universities and research centers, civil society, media, national and local authorities.

There is an improvement in the number of countries using data and information from UN-Habitat to inform policy-making and decision-making. UN-Habitat made a contribution in strengthening the capacity of national and local governments through providing technical support in the production of local urban knowledge and the establishment of local urban observatories to collect and analyze data on indicators. Monitoring of sustainable urbanization has improved quantitatively with the increased number of urban observatories and qualitatively with the inclusion of new indicators and indices relevant for the assessment of emerging issues key to sustainable urbanization. The continuous support for national statistical offices has also contributed to improvements in their performance.

Progress made in monitoring sustainable urbanization also has influenced the development agenda of other UN agencies, as evidenced by the various initiatives where UN-Habitat technical support and normative tools are used. UN-Habitat contributed a chapter, "Global Review of the Contribution of Culture of Sustainable Cities" to UNESCO's publication, *Agenda Placing Culture at the Heart of Sustainable Development Policies* presented in May 2013. The publication recognizes that cities are the place where culture will shape the path of development. In 2013, **UNAIDS** partnered with UN-Habitat to make the fight against HIV/AIDS more effective in cities with the two agencies working to produce data HIV/AIDS disaggregated on slum and non-slum. It is expected that a Mayoral declaration will be formulated to make the fight against HIV/AIDS in cities more effective. **UNFPA** is also partnering with UN-Habitat to assess conditions of youth and reproductive health in cities, with the intention of informing policymaking. Country slum data produced by UN-Habitat are now part of the **United Nations Development Programme's** annual Human Development report and also of the **World Bank's** World Development Indicators.

There is improvement in the capacity of Habitat Agenda partners to monitor sustainable urbanization trends at different levels. Improved global monitoring through national and local urban observatories has enabled countries and cities to improve their capacity to design, access, manage and analyze their information to enhance policy, planning and decision-making. At least 10 national reports were produced after the publication of State of the World's Cities reports for the **Philippines, Mexico, Iraq, Russia, India, China, Brazil**, etc. The dissemination of tools to monitor sustainable urbanization conditions and trends has been accelerated by the development of two new composite indices: the City Prosperity Index and the Composite Street Connectivity Index which is an outcome of the publication "Streets as Public Spaces and Drivers of Urban Prosperity of 2013.

More than 50 cities are using the City Prosperity Index to assess their prosperity and set up action plans towards a more prosperous future and many more have expressed interest in using it. The City Prosperity Initiative is an innovative tool that enables cities to assess the level of their prosperity beyond the usual economic measures. The Index has seven dimensions of urban prosperity: Productivity, Infrastructure Development, and Quality of Life, Environmental Sustainability, Equity/Social, Institutions/Laws/Governance and Urban Planning. The Composite Street Connectivity Index also introduced in the urban observatory the concept of urban form and structure, based on land allocated to streets and the availability of public spaces, two elements that guide urban renewal programmes.

Information from the Global Urban Observatory has helped partners shape Sustainable Development Goals with a focus on *Sustainable Cities and Human Settlements*. As a follow-up to the Rio+20 Outcome Document, “The Future We Want”, UN-Habitat contributed the Statistical note on Sustainable Cities and Human Settlements for the Sustainable Development Goals chaired by United Nations Department for Economic and Social Affairs. UN-Habitat monitoring tools that include the Urban Indicators Programme, City Prosperity Index and Composite Street Connectivity Index are now part of universities and academics teaching and research materials (Cambridge University, New York University, Princeton University, Africa City Centre, Global Cities Institute – University of Toronto, University of Nairobi, London School of Economics, Urban Planning Institute (China), etc.). The media is also using the statistics from the Global Urban Observatory.

UN-Habitat has created conditions to harness research and capacity development work with key strategic partners that support the production of better data, information, policies and programmes for sustainable urban development. This has been achieved through the creation of the Global Urban Research Network which includes specialized think-tanks, initiatives by the private sector such as the Erickson and IBM’s Smarter Cities Initiatives and leading institutional and capacity development organizations and professional bodies. By developing these new strategic partnerships, UN-Habitat has generated systemic knowledge convergence that synergizes know-how and the resources to exploit comparative advantages of all the agencies.

### (ii) Regional Achievements

There is increasing capacity and engagement in monitoring of sustainable urbanization issues at regional level. The Latin American Development Bank is supporting the use of the City Prosperity Index in 5 Latin American cities **Fortaleza, Lima, Quito, Guayaquil and Panama** under an initiative known as “Prosperous Cities with Future” which is intended to eventually expand its cover to 12 cities in the region. This initiative is a follow up to a comprehensive study of inequalities in Latin American cities that helped to guide policies aiming to narrow the gap between the rich and poor in Latin American cities funded by the same bank.

The Global Urban Indicators database was the source of the information used extensively to prepare informed documents on Sustainable urbanization in Africa for the Conference on Partnership for the Africa New Urban Agenda held in Nairobi in December 2013. In Africa, 50 mayors have adopted the approaches and methods originating from the flagship reports and more than 100 cities have requested for assistance to mainstream the City Prosperity Index into their urban policies.

Among the Arab States, the award-winning observatory of Medina has used UN-Habitat methods and approaches to establish eight additional observatories. One of the key strategies of the *Future Saudi Arabia Cities Programme* is to promote sustainable urban development in 17 cities using evidence-based and multi-dimensional analysis of the City Prosperity Index. Further, UN-Habitat jointly with the Ministry for Social Development has reviewed and updated the Local Urban Observatories indicator database, which allows local authorities, the Ministry for Social Development and policy makers to have relevant, accurate and reliable urban indicators.

### (iii) Country Achievements

There is growing evidence of increased capacity and monitoring of sustainable urbanization conditions and trends by countries and other Habitat Agenda partners. In 2013, the government of **India** launched a country wide-slum mapping campaign to identify the magnitude of slums in the country. The Millennium Challenge Cooperation also requested the Global Urban Observatory for support in the development of city indicators. Under the One UN Plan and Multi-Partner Trust Fund funding mechanism, UN-Habitat entered into a 5-year joint programme agreement (2012-2016) with UNFPA on joint scaling up of the Urban Observatory System with the Ministry of Planning’s General Statistics Office in **Viet Nam**.

In **Viet Nam**, there has been promotion and improvement of evidence-based multi-sector urban planning and urban statistical data through a tripartite initiative between UN-Habitat, General Statistics Office and the Urban Development Agency. The Government of Viet Nam developed its National Urban Development Strategy while the relevant Ministry developed and institutionalized an urban indicator system with UN-Habitat support. **Sri Lanka** prepared city resource profiles in 25 townships as a basis for informed planning with support from UN-Habitat. **Myanmar** collected City/Municipal profiles for 95 Townships and conducted an Urban Poverty Study in

Yangon to benefit the Urban Resource Center. An interactive web portal was developed for the **Pakistan** Urban Observatory based on the Global Urban Observatory concept. The portal is now populated with baseline information on 8 secondary cities.

**In Nigeria**, an increasing number of states have established urban observatories in order to link information to policy formulation. In 2013, UN-Habitat agreed to support the State of Ondo with the State Economic and Urban Renewal Programme. It will also support the creation of an Ondo State Urban Observatory which will be the focal point for urban policy development and planning. The State of Kogi will also receive support on its Structure and Urban Planning in addition to the creation of the Kogi State Urban Observatory that supports urban management through structured urban planning, and land reform.

Since 2013, **Egypt** is collaborating with UN-Habitat in the development of a comprehensive report of the *State of Cities Prosperity* in the country which will include the preparation of City Prosperity Index in more than twenty cities. In **Mexico**, more than ten cities or municipalities, including Zapopan, Corregidora, Cajeme and Cancun reviewed their urban development agenda using the City Prosperity Index. At the metropolitan level, Metro Guadalajara designed a metropolitan development model for a more prosperous Guadalajara, leveraging its regional comparative advantage. In **Colombia** various partners joined together to advance Colombian cities towards prosperity. Based on the City Prosperity Index, the Secretariat of Economic Development of Bogota, Findeter, the Latin America Development Bank and the Presidential Agency for Cooperation are working together to develop a holistic urban development programme for Colombian cities that embrace: productivity, infrastructure development, quality of life, environmental development and equity/social inclusion.

In **Senegal** the Economic, Social and Environmental Council (*Le Conseil Economique, Social et Environnemental*) created an Observatory in May 2013 to support policy formulation on the following development areas: Environment; Territorial Development; Economy and Finance; Industrial, Trade and New Technology; Rural Development; Gender, Equity and good governance; Education, Youth, Sports and Employment; Culture, Art and Tourism and; Health and Social Affairs. The observatory covers more than 30 cities and is a practical framework for the formulation, implementation, and monitoring of sustainability policies and practices to increase prosperity at the national level. The Ministry of Urban Development of **Ethiopia** is supporting the use of the City Prosperity Index in secondary cities in the country, integrating the resilience dimension.

The Geographic Information System section in the Benadir Regional Administration's Department of Urban Planning in **Somalia** was strengthened through the ongoing UN-Habitat support. The capacity development programme builds on earlier Geographic Information System based on mapping of Mogadishu that provided multiple map layers for public buildings, urban services and others, to facilitate tracking and coordination of reconstruction activities by multiple actors.

## Expected Accomplishment 1.4: Improved awareness among Governments, and Habitat Agenda partners of the contribution of urban economic development and finance to poverty reduction and sustainable human settlements development

Trends in request from Governments and other Habitat Agenda partners and professionals for information and publications on urban economic development and finance systems developed by UN-Habitat increased in 2013 to 172,751, from 147,500 in 2012 far exceeding the target of 25,000 set for 2013. In 2013 seven publications<sup>2</sup> were disseminated as part of the economy and finance publications series.

### (i) Global Achievements/Regional Achievements

UN-Habitat's partnership with local and national governments and the private sector is growing. New agreements and projects financed by governments and the private sector were signed in 2013 with Colombia, El Salvador and Brazil clearly demonstrating improved awareness and commitment, particularly for urban economic development.

<sup>2</sup> "Guide to Financing Infrastructure and Basic Services", "Property Tax Regimes in Europe", "Property Tax Regimes in East Africa", "Fiscal Decentralization in Zambia", "The Competitiveness of Cities", "Unleashing the Economic Potential of Agglomeration in African Cities", "Small Town Development Approaches"

In **the Pacific**, the trend is that urban economic development and finance is an emerging driver for national development agendas as evidenced by adoption of recommendations from urban sector profiles and is included in recent City Development Strategy projects. This will need to be supported by greater attention to the identification of appropriate urban data and indicators. Municipal leaders in **Mongolia** are indicating the same.

The *Quang Nam Green Growth Investment* forum, which was jointly conducted by UN-Habitat, Global Green Growth Institute and the Quang Nam Provincial Government of **Vietnam** in 2013, is an example of the initiatives dedicated to urban financing. The Investment Forum brought together city leaders, investors and development stakeholders and indicated serious commitment in the country to 'greening' urban investments.

The formulation of 'green' City Development Strategies in three cities provided the local leaders and officials with knowledge and skills on how to enhance local competitiveness, resilience and promote local economic development for poverty reduction and sustainability through a strategic planning approach and adaptive and innovative governance.

Habitat Agenda Partners, including governments in the **Arab States region**, have developed better awareness of the relationships between urban development strategies, poverty alleviation and local/national economies through participation in the development of the Arab Regional Urban Strategy in 2013 as well as attendance at relevant events in World Urban Forums during the MTSIP period. The Arab Regional Urban Strategy strongly promotes the role of urban regions as hubs of economic opportunity. The report highlights emerging urbanization trends in the different sub-regions which include, how systems of interdependent urban agglomerations have evolved into extended metropolitan regions, and how spatial networks of growth nodes linked by development corridors have merged into Mega Urban Regions, highlighting the economic impacts of strategic urban growth.

This is further manifested in the increased attention to urbanisation issues in National Development Plans and UN Development Assistance Frameworks in **Iraq, Sudan** and **occupied Palestinian territories**, developed in 2012-2013. UN-Habitat's main contribution to this change in 2013 was in facilitating the development of the regional strategy and working alongside Habitat Agenda Partners in the development of National Development Strategies and United Nations Development Assistance Frameworks. The main contribution of partners has been in their inclusion of urban issues in national development strategies and assistance frameworks.

### (iii) Country Achievements

In **Egypt**, the General Organization for Physical Planning conducted a comprehensive socio-economic impact assessment to ensure a transparent process was undertaken, to reduce potential negative impact on the community. Strategic plans for 20 cities were developed, ensuring that focus on local economic development provided analysis for the economic situation and potential interventions to boost the economic activities of the cities. UN-Habitat provided technical support and continued to work to improve awareness among the stakeholders at local and central levels on the importance of local economic development within the strategic urban planning process.

In **Brazil**, both the Ministry of Cities and the State of São Paulo are financing two initiatives related to Metropolitan Legislation. In **El Salvador**, the initiative is related to supporting the development of the railway and the first phase already started. In **Colombia**, governments and the private sector are directly supporting initiatives involving youth and public spaces and the improvement of urban legislation, both at national and local levels. In **Mexico**, UN-Habitat through continuous advocacy, succeeded in sensitizing national policymakers to include prosperity as a main development principle in the National Development Plan 2013-2018 (Plan Nacional de Desarrollo 2013-2018), which is the strategic tool of national policies.

In **Indonesia**, by October 2013: i) at least 50 local government officials from the District of Kupang, and 30 women village leaders from the district of Belu, benefited from urban economic development and asset-based economic development training, funded and facilitated by UN-Habitat; (ii) 80 local government officials attained skills to conduct dissemination and knowledge transfer to other departments and community groups in their districts (Kupang and Belu) regarding urban economic development and asset based economic development; (iii) UN-Habitat supported the government of Kupang and Belu through facilitation and training, and; (iv) UN-Habitat sent 80 selected local government officials including 30 women village leaders from two regencies to another province (Yogyakarta) to learn urban economic development/asset based economic development, and how to link it to medium term development planning in partnership with a local NGO in Yogyakarta.

In **Senegal** the Social Housing Workshop held in 2013 included a session on identifying suitable solutions for housing finance for the urban poor and vulnerable groups. UN-Habitat has explored practical ways to support the use of microfinance mechanisms for this purpose. In **Somalia** as a direct result of the implementation of the *‘Joint Programme on Local Governance & Decentralized Service Delivery* municipalities have established a system through which they raised revenues used for their-own operations and investments in their locations. UN-Habitat’s role in the programme is to support policy and legal reforms for fiscal and administrative decentralization.

### Challenges encountered

1. While the number of downloads of UN-Habitat publications has increased, UN-Habitat is still not able to indicate who is downloading the publications, whether they are reading them or not and how the publications are being used.

### Lessons learned

1. It is very important to follow up on Ministerial conferences to ensure that all the decisions are implemented or acted upon as necessary.
2. It is not enough to produce good knowledge products like publications. These must be effectively disseminated and mechanisms put in place to track which Habitat Agenda partners are using them and for what.
3. It is important to have follow up components for the flagship reports/s. More specifically, after publication, the organization needs to unpack some tools, training materials and operational documents from the publications.

## Focus Area 2: Participatory Urban Planning, Management and Governance

The strategic result for focus area 2 is: “Inclusive urban planning, management and governance (UPMG) improved at national and local levels”. Three expected accomplishments contribute to the achievement of the above result, namely: (i) improved policies, legislation and strategies support inclusive urban planning management and governance (ii) strengthened institutions promote inclusive urban planning, management and governance (iii) cities implement inclusive urban planning, management and governance. To contribute to the achievement of the strategic result and the expected accomplishments, UN-Habitat worked with a wide range of partners to support national Governments, local authorities and other Habitat Agenda partners to develop more livable, productive and inclusive cities. This was done through providing support to improve policies, strengthen institutions and improve implementation in the areas of urban planning, climate change, urban legislation and urban safety.

### Overall Assessment

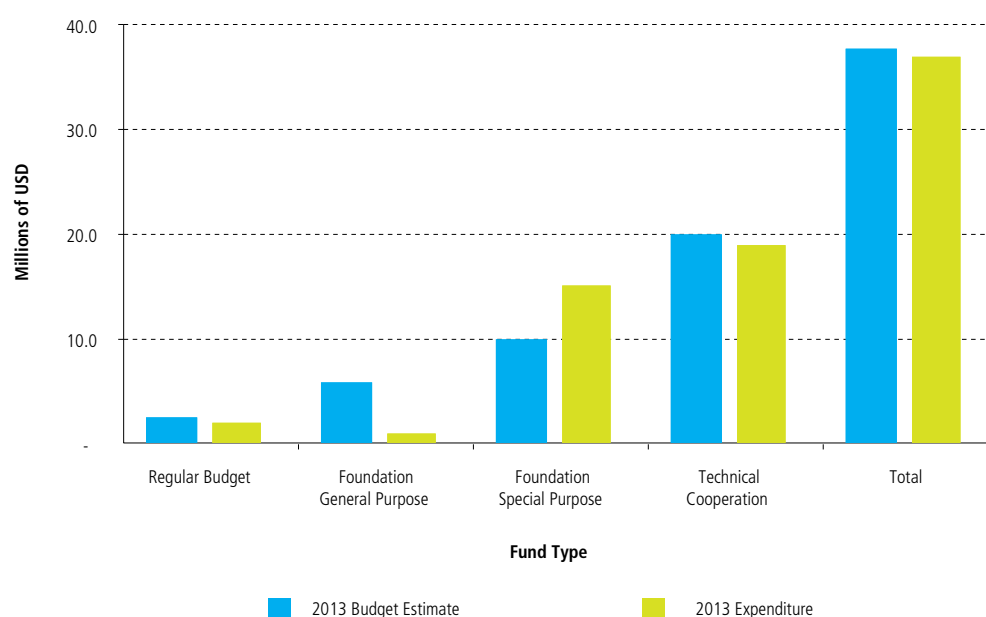
Progress was made towards achievement of each of the expected accomplishments, that is, improvement of policies, strengthening of institutions and implementation of inclusive policies, legislation and strategies that support inclusive urban planning, management and governance at global, regional and country levels. This is demonstrated by the increasing number of Governments that are adopting national urban policy frameworks or reviewing and improving existing ones, with support from UN-Habitat. For example, **Egypt, Rwanda and Malawi** reviewed their national urban policies and eighteen others have requested support to review theirs. Seven university modules on cities and climate change developed by UN-Habitat and partners are being used in universities in **Germany**, Africa and Asia. UN-Habitat and its partners contributed to the progress noted through capacity building, provision of normative tools and guides, technical assistance and pilot projects in urban planning, climate change, urban legislation and urban safety. Table 5, shows the progress on indicators over the MTSIP period. Three out of the four indicator targets were met and exceeded while one was not met. Three indicator targets were exceeded due to the increased demand for UN-Habitat support in these areas. The fourth indicator target was not met because UN-Habitat made a strategic decision to focus on implementation of activities in fewer cities for greater synergy and impact from the various programmes rather than spread out to more cities.



Table 5: Progress on indicators of achievement for Focus Area 2

Expected Accomplishments	Indicator of achievement	Baseline 2009	Actual 2010	Actual 2011	Actual 2012	Target 203	Actual 2013
EA 2.1: <b>Improved policies, legislation and strategies support inclusive urban planning, management and governance (UPMG)</b>	(i) Number of countries whose policies, legislation and strategies incorporate sustainable urbanization principles	28	39	39	56	56	63
	(ii) Number of crisis-prone and post-crisis countries whose policies, legislation and strategies incorporate urban risk- and vulnerability-reduction measures	9	11	11	11	11	14
EA 2.2: <b>Strengthened institutions promote inclusive UPMG</b>	(i) Number of institutions in targeted countries that actively promote sustainable urbanization dimensions	29	41	53	55	60	78
EA 2.3: <b>Cities implement inclusive UPMG</b>	(i) Number of cities implementing inclusive UPMG.	112	132	147	169	209	173

Figure 5: Planned budget and expenditure for Focus Area 2



## Financial Assessment

Focus Area 2 had a total expenditure of USD 36.9 million against an initial budget of USD 37.8 million as shown in figure 5. The area attracted higher levels of Foundation earmarked income than the budget reflecting the efforts of the organization to strengthen the important strategic area of urban planning and design as part of the organizational reform. However, like other focus areas, FA2 experienced a shortfall in Foundation non-earmarked funding.

## Expected Accomplishment 2.1: Improved policies, legislation and strategies support inclusive urban planning management and governance (UPMG)

Progress was made towards improving policies, legislation and strategies in the areas of urban planning, urban legislation, climate change and urban safety at global, regional and country levels. The progress is reflected in the growing number of countries whose legislation, policies and strategies that incorporate urban planning, management and governance have improved or are improving with UN-Habitat support. The number of countries increased from 28 countries in 2009 to 63 countries by December 2013, which is more than the target of 56 countries set for 2013. UN-Habitat and other partners provided the necessary support in response to a marked increase in the number of governments requesting technical support in reviewing existing policies or development of new ones.

The number of crisis-prone and post-crisis countries whose policies, legislation and strategies incorporate urban risk and vulnerability-reduction measures increased to 14 by December 2013, against the target of 11 countries set for 2013. The additional countries are **Fiji, Nepal and Sri Lanka** that approved their national climate change policies for addressing the urban or local government aspects of climate change. UN-Habitat launched a new initiative, the City Resilience Profiling Programme in 2013 that is supporting 10 cities in ten countries to strengthen the resilience of disaster prone cities so that they are able to withstand and recover quickly from catastrophic events.

### Urban Planning

#### (i) Global/ Regional Achievements

Urban planning, management and governance are now recognized as critical processes for promoting inclusive urban growth, preventing the development of slums and enhancing access to basic services for all. Progress has been made towards improving policies, legislation and strategies support inclusive urban planning, management and governance.

The Achieving Sustainable Urban Development Programme (ASUD) launched in 2011 is advancing the new UN-Habitat vision on urbanization and urban planning, through an urban paradigm shift that embraces a holistic/integrated urban planning approach. This approach requires that adequate public space (30 -35 per cent) and basic services such as drainage and energy are provided, and that effective laws on land use and building codes are adopted and enforced for the direct benefit of the city dwellers who are the primary target group. UN-Habitat's new urban planning approach, specifically on planned city extensions, was validated and endorsed at an Expert Group Meeting in Barcelona in September 2013. Following a review of international best practices and city experiences, and in response to resolution 24/5 of the 24<sup>th</sup> Governing Council, the experts agreed on a *Communiqué* that consolidates consensus on basic principles and conditions for successful planned city extensions. As a result, UN-Habitat achieved an important milestone in the refinement of its approach to planned city extensions as a key strategy for addressing urban growth, in particular for intermediate cities which face rapid population growth.

Building on sustained efforts from previous years, in 2013, UN-Habitat established five universal criteria<sup>3</sup> in urban planning, which will, from now on, underpin urban planning interventions. A strategy was established for effectively and coherently guiding countries with practical application of the new approach and universal urban planning principles. This major milestone helped restore and reposition urban planning, management and governance at the centre of international debate on urban development.

Furthermore, in 2013, the Governing Council adopted Resolution 24/3 which mandates UN-Habitat to develop international guidelines on urban and territorial planning. The guidelines will provide a set of agreed universal principles for urban and territorial planning at all levels, as well as provide recommendations for each stakeholder category (central government, local authority, civil society and professionals). A first draft was developed by a team of 29 global representatives and experts from national and local governments, international development agencies, research and academia, professional and civil society organizations.

<sup>3</sup> The five criteria are: (i) plan in advance of population increase, (ii) plan at the scale of the problem, (iii) plan in phases, starting with streets and following with water and sanitation, drainage, energy and lighting, transport, etc. (iv) plan for density and mixed land use, (v) plan for diversity and job creation

The guidelines will be a strategic contribution of member states and partners towards the preparation of the new urban agenda which will be adopted during the Habitat III conference in 2016.

Member states now widely recognize the importance of a national urban policy in fostering sustainable urban development in response to various consultations and advocacy work undertaken by UN-Habitat and partners during the MTSIP implementation period. This recognition and support for national urban policy is also reflected in the adoption of Resolution 24/5 by Member States at the 24th Governing Council session. The resolution mandates UN-Habitat to promote sustainable development through national urban policies as a key strategy for national socio-economic development, to maximize the national and local benefits of urbanization while mitigating potential adverse externalities, and as a coordination mechanism amongst different sectors and ministries. This mandate enables UN-Habitat to assist member states when developing and improving their urban policies and in mobilizing resources to achieve sustainable urban development through the implementation of national urban policies and planned city extensions.

To address the dynamic nature of urbanization the national urban policy promotes urban compactness, urban system integration, the appropriate connection of spaces and territories, social inclusiveness and spatial justice as basic concepts that can be applied appropriately to any urbanization process at any stage. In addition to the three countries (**Egypt, Malawi and Rwanda**) that piloted the National Urban Policy Framework, an additional eighteen **Bahrain, Bangladesh, Cape Verde, Chile, Colombia, Comoros, Ecuador, El Salvador, Gabon, Ghana, Liberia, Mozambique, Mexico, Pakistan, the occupied Palestinian territories, Saudi Arabia, South Sudan, and Uganda** have expressed interest and need to review their National Urban Policy and are at different stages of implementing that review.

The completion of the National Urban Policy Framework and the commencement of the development of the International Guidelines on Urban and Territorial Planning are key milestones in sustainable urbanization policy guidance achieved by UN-Habitat. The recently drafted Regional Strategy for Sustainable Urban Development for Arab States (2013) acknowledges that the highly centralized nature of urban governance in the Arab States has limited their capacity to cope with rapid urban growth. The strategy is informed by the evidence-based research contained in UN-Habitat's *State of the Arab Cities* flagship report. The strategies proposed in the report are in line with UN-Habitat's new urban agenda. UN-Habitat's contribution in the development of the strategy has been in providing relevant information from evidence-based research and technical support to guide the dialogues while the Arab States have participated in the development of the strategy and advocated nationally for its endorsement.

## (ii) Country Achievements

A growing number of countries are using the National Urban Policy as a tool to promote inclusive policies and the positive role of urbanization in national socio-economic development and assert urban space and territoriality. As of December 2013, the National Urban Policy Framework developed by UN-Habitat was utilized by four countries (**Colombia, Rwanda, South Sudan, and Zambia**) to guide their respective government-led processes of coordinating and mobilizing various actors in order to establish a common national vision for the desired urbanization. In **Colombia**, the government is designing a National Urban Strategy through policy recommendations aimed at consolidating the system of cities and strengthening the Colombian Association of Capital Cities. A Cooperation Agreement that supports this national government-led process was signed between UN-Habitat and its counterpart, *Departamento Nacional de Planeación*.

In **South Sudan**, a draft Framework for Urbanization Policy was produced in 2012, and proposed, amongst others, the following principles: promotion of urban centres as engines of growth, promotion of socio-economic development through an integrated regional settlement system (attention paid to the informal economy), facilitation of socio-economic development of poor rural regions (taking the towns to the people) and; enhancement of a participatory and accountable urban governance. In **Zambia**, there is strong political will for formulating a National Urban Policy and a discussion paper to guide National Urban Policy was developed and funds allocated for the process. In addition, the Comprehensive Urban Development Plan of Lusaka approved in 2009 was revised with a focus on future city extensions. An action plan for the implementation of the National Urban Development Programme in **Cape Verde** has been prepared, which includes support to urban policies, legislation and strategies.

In **Libya**, in 2013, the Planning Policy Guideline on Large-scale Housing Development was developed by the Urban Planning Agency with the technical support of UN-Habitat in order to achieve sustainable urban development under the Libyan Transitional Government. In **Somalia** the government is implementing a policy that aims at decentralizing services from Mogadishu to fourteen other cities and towns (Berbera, Burao, Borome, Gabiley, Sheikh, Odweine, Garowe, Bossaso, Gardo, Bander Beila, Eyl, Jariban, Galkacyo and Adado). In addition, Somalia produced or improved upon the following policies: Decentralization Policy, Fiscal Decentralization Policy, Public Financial Management Policy, and Land Policy.

## Urban Legislation

### (i) Global Achievements/Regional Achievements

UN-Habitat strengthened its message that law creates a stable and predictable framework for both public and private sector action, and can guarantee the inclusion of the interests of vulnerable groups while also providing a catalyst for local and national discourse. Since 2011, UN-Habitat has continued to emphasize the importance of urban legislation as a core component of developing sustainable and inclusive urban contexts. The impact of weak legal frameworks has often been cited in UN Habitat flagship reports, as undermining effective planning and sustainable development outcomes.

The interest and momentum around urban legislation has grown through a number of very effective engagement strategies. An Urban Legal Network ([www.gln.net/uln](http://www.gln.net/uln)) was formed as the main partnership platform to engage a broad range of stakeholders on urban law debates, provide a networking tool to link with each other and as portal to share information on urban law issues.

Efforts were made to build links with stakeholders via various global forums where UN-Habitat actively contributed to the World Bank's Law Justice and Development Week, the United Cities and Local Government Congress, and the World Urban Forum. At all of these events, there has been growing interest in the role of urban law as a key pillar in urban development was expressed.

### (ii) Country Achievements

By establishing an Urban Legislation Unit in early 2012, UN-Habitat was able to respond to urban development issues and challenges in a more holistic and dynamic manner. Via targeted technical support, UN-Habitat added value to its country level technical expertise and advisory services. In particular, technical support on urban legislation has been able to complement the work being undertaken across an expanding range of thematic areas. In **Kenya**, UN-Habitat has documented the evolution of planning law under the 2010 Constitution. This has been integrated into responses to support development interventions and been applied in urban extension and densification projects in Machakos and Kisumu. UN-Habitat is working with the City-County of Nairobi on devolved planning and urban development instruments.

In Rwanda, the foundation for work on a national urban policy for Kigali and intermediate cities was established with support from UN-Habitat in partnership with the Spanish Government through the ASUD funding with the creation of a map of the planning, housing and development legislative frameworks. In **Egypt**, a legal analysis of planning laws and institutions is being applied to urban extension projects in Cairo and other regions of the country and will be used to develop recommendations for reform. UN-Habitat and GIZ supported the analysis. In **Mozambique**, an assessment of the legislative frameworks around planning and development was undertaken in 2013 with support from UN-Habitat. The findings of the assessment will support the Government's proposed economic development of two major cities, Nampula and Nacala.

In Medellin, **Colombia**, the analysis of Medellin's practice and the national legal frameworks around planning, participation moments within the planning scheme and land value rises associated with urban development, is contributing to city wide efforts to improve long term development processes, and specifically land readjustment approaches. The technical outputs of this work, such as the legal framework analysis, are already having an impact and providing new insights into how urban development can take place in a rapidly developing and changing city context. For example, how communities can be more effectively and formally engaged and how land values can be capitalized upon.

## Climate Change

### (i) Global/ Regional Achievements

UN-Habitat contributed effectively in processes related to the United Nations Framework Convention on Climate Change and lead side events at the annual Conference of Parties and the Local Government Climate Change Roadmap process (led by ICLEI – Local Governments for Sustainability) which provides inputs from local authorities into these negotiations. Progress was made towards integrating local authorities into a post-Kyoto Protocol climate regime. For example, local and sub-national governments were formally recognized as “governmental stakeholders” at the Conference of Parties (COP)-16 in 2010 and during the COP-19 in Warsaw when the United Nations Framework Convention on Climate Change held its first-ever ‘Cities Day’.

UN-Habitat prepared two policy documents on cities and climate change; Policy Note No. 1 on “Adaptation Finance” and Policy Note No. 2 on “Mitigation Finance” that were used to demonstrate the need for local authorities to have direct access to climate finance. To further strengthen the normative basis for UN-Habitat’s country-level work in the area of climate change, in 2013 (at COP-19 in Warsaw) the Cities and Climate Change Initiative launched its Policy Note No. 3, on “Addressing Urban Issues in National Climate Change Policies”, based on a survey of more than 20 such policies.

UN-Habitat also substantively contributed to the work of the Intergovernmental Panel on Climate Change (IPCC), which helps to provide the scientific underpinnings to the climate negotiations. UN-Habitat served on the Intergovernmental Panel on Climate Change’s Expert Group on Human Settlements and Infrastructure which called for expanded discussion of human settlements in the IPCC’s influential *5<sup>th</sup> Assessment Report* – a recommendation that has since been adopted. UN-Habitat provided peer review on pending key chapters of this Report, drafts of which cited the Agency’s *Global Report on Human Settlements 2011: Cities & Climate Change*, as well as UN-Habitat’s work with partners on measuring city-level greenhouse gas emissions. A regional knowledge platform on climate change and cities in the Asia/Pacific region was established to support advocacy and capacity-building efforts through the Cities and Climate Change Initiative. A regional workshop was convened under this platform in collaboration with UN-Habitat and the UNDP Asia-Pacific Regional Center where CCCI/Asia’s Issue Brief No. 1 on “Urban Poverty, Inequality and Vulnerability in a Warming World”, was launched and formed the basis for discussions with municipal stakeholders.

The findings of the independent evaluation of the Cities and Climate Change Initiative (2012) confirmed that at city-level, the CCCI has enhanced the awareness of participating local authorities, both decision makers and professionals, that climate change effects are not distant and abstract but can be “..translated into concrete and feasible actions identified during the course of the normal planning process.” (page. 34). Further, CCCI’s participatory approach has led to wider awareness and a high sense of ownership of CCCI activities amongst stakeholders and local residents down to the grassroots level.

### (ii) Country Achievements

Progress was made in a number of countries that improved their policies with support from UN-Habitat and partners. **Fiji** has adopted national climate change policies that address the urban dimensions of housing and urban development. In **Mozambique**, a climate change adaptation and mitigation plan for Maputo was formulated as conclusion of four years of the Cities and Climate Change Initiative, and the building codes for promoting the construction of safer schools at the national level were reviewed. In **Pakistan**, in 2013, UN-Habitat and the Ministry of Climate Change jointly launched the Cities and Climate Change Initiative Pakistan. With a focus on adaptation, the Initiative will, among other activities, support the implementation of those elements of the National Climate Change Policy and the National Climate Change Action Plan that are relevant to the local government sector.

In 2013, the **Philippines** National Government staff utilized the revised planning guide for local governments that address climate change considerations with 15 local government units. In **Uganda**, in 2013, the Cities and Climate Change Initiative submitted a proposed Strategy for Integrated Flood Risk Management to the Kampala Capital City Authority. The team also held a national workshop to explore the national policy implications of that work, including legal/regulatory reform to support regulation of land in flood-prone areas. In **Zambia**, a flood risk reduction project for Lusaka City was prepared in 2013 jointly with UNDP and will be implemented in 2014 and 2015. This will help the city council to formulate a resilience strategy using flood risk reduction as an entry point.

## Urban Safety

### (i) Global / Regional Achievement

Progress was made in improving policies, legislation and strategies in urban safety at global and regional levels with support from UN-Habitat and partners. The Global Network on Safer Cities and partners expanded its work and influence to the regional and national levels. Regional Networks on Safer Cities for Africa and the Asia/Pacific were established with many cities committing to establish national networks.

The Global Network on Safer Cities is contributing to delivering in partnership at the global level, increasing global advocacy and outreach and ensuring increased and coordinated implementation at the city/local level. Since the launch of the Global Network on Safer Cities in September 2012, several partnerships continue to be formalized (World Vision, European Forum on Urban Safety, United Nations Office on Drugs and Crime, CITYNET, Geneva Peacebuilding Platform, amongst others).

New areas of intervention are also being defined as a result of the establishment of the Global Network on Safer Cities. For example, some of the priority areas that have been identified include peace-building and safety, public-private partnerships for supporting safety interventions at city/local level as well as development of new tools such as an urban safety monitor. Moreover, ten mayors accepted to become members of the Steering Committee of the Global Network on Safer Cities providing political guidance and supporting awareness raising on urban safety both regionally and globally.

During the first steering committee meeting of the Global Network on Safer Cities in March 2013, the Mayors presented an outcome document calling on the Governing Council of UN-Habitat at its 24th Session to recognize the growing involvement of local authorities through the Global Network on Safer Cities and to support an inter-agency collaborative framework on safer cities. They encouraged the Governing Council to invite the United Nations Office on Drugs and Crime Commission on Crime Prevention and Criminal Justice to support an inter-agency task team to review and present proposals for updating the 1995 “Guidelines for the Prevention of Urban Crime” towards UN system-wide Guidelines on Safer Cities, with an accompanying instrument of an Urban Safety Monitor, and a financial mechanism to support action for the creation of safer cities.

The Governing Council resolution “Supporting Action for the Creation of Safer Cities” was adopted at the twenty-fourth session of the Governing Council and the Commission on Crime Prevention and Criminal Justice adopted a resolution on “Promoting and mainstreaming the rule of law, crime prevention and criminal justice in the post- 2015 development agenda”. The said resolution requested the United Nations Office on Drugs and Crime (UNODC) to provide substantive contributions to UN-Habitat in the context of its efforts to complement the development of UN system-wide Guidelines on Safer Cities.

### (ii) Country Achievements

A number of countries are improving their urban policies to incorporate the urban safety dimension. Following the launch of the Global Network on Safer Cities some national governments started mainstreaming safety in their national policies. For example, **South Africa** is mainstreaming safety in its new National Urban Policy and Cairo, **Egypt**, is mainstreaming participatory planning for safe streets and public spaces methodology into General Organization for Physical Planning processes.

In Ouagadougou, **Burkina Faso**, the security dimension has been fully integrated into both local and national urban planning efforts. An action plan for the fight against Small Arms and Light Weapons has also been developed and is being implemented. A Decree on the establishment, composition and functioning of local safety councils has been prepared and forwarded to the Council of Ministers for adoption. This decree will support the scaling up and rolling out of the safer cities approach to other municipalities and councils in Burkina Faso. In Nairobi, **Kenya** urban safety is being prioritized in the new Integrated Urban Development Plan process through the working group on Governance.

## Expected accomplishment 2.2: Strengthened institutions promote inclusive urban planning, management and governance

Progress was achieved towards strengthening institutions to promote inclusive urban planning, management and governance. This was done through capacity building, provision of tools and guidelines and development of strategic concept papers. By the end of 2013, the number of institutions in target countries that actively promote sustainable urbanization principles had increased to 78, up from 55 at the end of 2012 and had surpassed the 2013 target of 60 institutions. This was primarily due to increased requests for UN-Habitat support.

### Urban Planning

#### (i) Global /Regional Achievements

Contributions were made in strengthening urban planning related institutions.

The *Urban Planning for City Leaders* guide, launched in 2012 was adopted as a training tool and reference material for cities by several training organizations such as United Cities and Local Government, CityNet, Miles (Durban), Centre for Livable Cities (Singapore), World Bank Initiative, and Jomo Kenyatta University of Agriculture and Technology (Kenya). The Guide, which elaborates the role of urban planning in achieving the urban development and management objectives of mayors, has helped bridge the gap between experts (planners in particular) and decision makers. The Guide also provided planners with relevant arguments in their dialogue with decision makers and sensitized mayors to the advantages of pro-active urban planning and the importance of spatial decisions.

The launch of the *Urban Planning for City Leaders* Guide in March 2013 at the Caribbean Urban Forum was



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followed by the development of a sub-regional programme for capacity building of national planning associations in the region. The launch of the Guide at the annual CityNet meeting in Seoul resulted in the development of a training module that was used to support regional training workshops in Kuala Lumpur (September 2013) and Hanoi (December 2013) that benefitted sixty local government decision-makers, technicians, and representatives from civil society.

The quick Guides on *Urban Patterns for a Green Economy*, which UN-Habitat developed as a contribution to the Rio+20 process, have been widely discussed and referenced in the international debate on the post 2015 agenda, and have been translated into Chinese. These Guides offer a systematic review of key urban strategies for supporting a green economy and are bridging an important gap between the environmental and urban agendas; they are particularly relevant for middle income and emerging economies.

From the specific perspective of public space - its value and contribution to sustainable cities - experts and partners will now be better able to contribute to the discussions on the new urban agenda and Habitat III as a result of the development of *Future of Places* ([www.futureofplaces.com](http://www.futureofplaces.com)), a platform developed through a partnership between UN-Habitat, the Axelson Johnsson Foundation, Sweden and Project for Public Spaces, New York. At the first *Future of Places* Conference in Stockholm in 2013, UN-Habitat and its partners convened more than 200 public space experts from all regions. The experts agreed to formalize their contributions in a Declaration on Public Space and to maintain this platform (up to 2016), with global, sub-regional and national forums under the banner of “Future of Places”.

In Latin America and the Caribbean, UN-Habitat has established a network of experts on key themes for regional urban development, such as, intensification, value capture and urban safety. The network is providing technical support, to member countries, in the development of local policies and plans. City-to-City Alliances, a technical cooperation network created among local governments of Latin America and Spain, has facilitated capacity building in participating cities. Through the network, technical and organizational capacities of local governments were strengthened and institutional channels established that promote exchange of experiences in urban planning, social cohesion and local development. The network supported the establishment of horizontal interactions among the participating municipalities of **Bolivia, Colombia, Cuba, Ecuador, El Salvador, and Spanish Municipalities**. Five city-to-city agreements were signed and implemented in the Latin American cities involved. The African Planning Association and the Africa Union of Architects conducted training and capacity development activities for their members with a view to discussing and adopting sustainable urban development principles (ninety participants have been trained in Abidjan, Lagos, and Rabat). The African Planning Association’s *The State of Planning in Africa* Report, finalized in 2013, is an important reference on the issue for the region.

## (ii) Country Achievements

Progress was made in countries on strengthening urban planning institutions. For example, establishing the Urban Research Development Institute has been one of the strategic initiatives of UN-Habitat in **Myanmar** and now supports the design of city development strategies and operationalization of the national Urban Resource Centre. UN-Habitat took the lead in the establishment of the centre in Yangon under the Ministry of Construction and gained commitment from other partners to support the institution to increase evidence-based urban policies and programmes in the country. In addition UN-Habitat trained the Urban Planning Unit of the Yangon City Development Committee in order for the Committee to better support the urban planning schemes of UN-Habitat and other partners, such as JICA.

Five countries (**Colombia, Egypt, Mozambique, the Philippines and Rwanda**) developed their capacity to achieve sustainable urban development through planning for the extension and densification of cities, by leveraging on the methodology, tools and technical advisory services provided through the Achieving Sustainable Urban Development Programme. In each country, specific local institutions are targeted for capacity development. Urban planning institutions were supported in **Myanmar, Sri Lanka, and Vietnam**. In **Vietnam**, UN-Habitat in cooperation with UNDP introduced Public Administration Performance Indicators and multi-sector planning into the series of national and local leadership trainings. In addition, Officials of People’s Committees and Hoi An city, Da Nang city and Quang Nam provincial Departments were able to utilize their new knowledge and skills of strategic and participatory planning in the process of socio-economic development planning and implementation.

In **Zimbabwe**, four participating cities are mainstreaming inclusive urban planning, management and governance as a result of the support UN-Habitat provided through the programme on urban governance funded by the European Union. In Santa Marta, **Colombia**, UN-Habitat has supported the development of the city’s strategic and master plans by organizing capacity building workshops on urban planning for local government and other



stakeholders. In Medellín, UN-Habitat has collaborated with INSVIMED *Instituto de Vivienda y Habitat de Medellín* (Institute for Social Housing and Habitat) in the development and implementation of the Participatory and Inclusive Land Readjustment (PILAR) tool.

In **Egypt**, the government is improving urban planning, implementation and monitoring practices for urban development nationally. It is also establishing systematized knowledge for enhanced management of urban growth by national and regional institutions in close partnership with local government. The concept of Green Cities has been adopted, especially for the development of new settlements. Land readjustment is being adopted as a tool for densification, which would preserve valuable agricultural land from development. Egypt has also obtained UN-Habitat support in the development of the Suez corridor as an industrial hub with potential for urban growth.

In **Iraq**, UN-Habitat contributed towards strengthening local governance and local capacity on service delivery and 15 per cent of the investment budget is now given to Governorates. In **Afghanistan** UN-Habitat assisted the Independent Directorate of Local Governance of the national government to strengthen its capacities in urban planning and management and service delivery, aiming at enhancing good governance principles and practices. In **Mozambique**, the City of Nampula prepared a detailed urban plan as well as a city development strategy to assist the municipality in better managing the city's growth. In addition, urban and regional planning gaps were analyzed in order to allow sustainable spatial development within the Nacala corridor by promoting linkages between functional territories and administrative units. In 2013, UN-Habitat continued to provide technical support through normative tools for territorial development and urban/cities extension dynamics in collaboration with GAZEDA – *Gabinete Das Zonas Económicas de Desenvolvimento Acelerado*, the agency in charge of land allocation within the industrial area of Nacala.

In the **Philippines**, the capacities of national government agencies and cities are being strengthened by successfully demonstrating innovative approaches in achieving sustainable development. Participating cities are utilizing methodologies, case studies and tools in urban planning (city extensions and city shelter plans), urban basic services (drainage, mobility and energy) and urban economy and finance. In **Rwanda**, in addition to the National Urban Policy, UN-Habitat is supporting the review of planning methodology and implementation tools for intermediate towns, and pilot implementation in one selected second-tier town. Support was also provided in the development of adequate guidelines and planning briefs in the implementation of the Kigali Master Plan with particular focus on extension areas (townships) and public space. In **Kenya**, through a Memorandum of Understanding with the Jomo Kenyatta University of Agriculture and Technology, UN-Habitat is providing support in policy debate, practical piloting work and in the development of curricula. A similar partnership with the Africa Association of Planning Schools (Kenya Chapter) supports capacity building with a focus on sustainable urbanization. In Nairobi and Kisumu, UN-Habitat is collaborating with the city counties to develop capacity in planning, design of public space and urban extension work.

UN-Habitat helped strengthen the Ministry of Local Government in the **occupied Palestinian territories** by seconding experts to the ministry, and providing on- the- job training to various local NGOs. In **Sudan** the planning capacities of 125 Physical Planning ministry staff in 5 states of Darfur were strengthened using the UN-Habitat manual *Planning Urban Settlements in South Sudan: Basic Concepts*. In 2013, 4 new cities (**Addis Ababa, Kathmandu, Les Cayes and Mumbai**,) improved their capacity to address the provision of quality and multi-functional public spaces using participatory planning, design, management and implementation processes. Pilot projects are being used to enhance city-wide public space policies and strategies. Furthermore, in Addis Ababa, inputs were provided in the revised Addis Ababa Master Plan, emphasizing the use of public spaces to develop green areas, increase connectivity and accessibility, and improve overall quality of life.

## Urban Legislation

### (i) Global Achievements

Some progress has been made in building institutional capacity in urban legislation. To build knowledge of urban law and promote it as a distinct field, the Urban Legal Network is showcasing UN-Habitat's work and that of partners (the World Bank and MIT) on key thematic areas relevant to urban law. Case studies on land readjustment experiences in developing country contexts have also been published.

Professional capacity and expertise are being enhanced through partnerships with private law firms and academic institutions to improve the global pool of urban lawyers and develop urban law as an area of dialogue and academic research. The University of London's Institute for Advanced Legal Studies has partnered with UN-Habitat to hold an "urban law day" in early 2014 with the aim that this becomes a regular event supported by a joint programme of PhD research. UN-Habitat is also contributing to the development of Masters level programmes in urban law.

UN-Habitat is in the final testing phases of a global data base of urban law, called 'HabLex', which will be launched at the World Urban Forum in 2014. Hablex aims to be an easily accessible data base on urban law, capturing national laws, regulations, by-laws and local ordinances on all "urban development" themes from building codes to local safety. UN-Habitat, in partnership with Urban Landmark, Cities Alliance and the African Centre for Cities, is supporting the development of a Guide to Urban Legal reform in Sub-Saharan Africa. The Guide highlights the specific contextual factors that should be taken into account when tackling law reform relating to the regulation of land and land development in African cities and targets practitioners in government and international agencies.

UN-Habitat is undertaking a comparative study on local law making processes, which is due for completion in March 2014. Drawing on research from case studies from both developed and developing countries, the project will provide important information on how devolved authorities make laws (by-laws, ordinances) and how others implement laws designed at the national level. UN-Habitat also partnered with UNEP and the World Bank to explore the role of environmental decision making, such as environmental impact assessments (EIA), in urban development, with a view to improving the integration of environmental considerations.

UN-Habitat has partnered with the Massachusetts Institute of Technology (MIT) based Land Governance Laboratory and the Global Land Tool Network to develop improved participation and governance approaches to land readjustment via a series of international case studies and a global think tank of experts who will provide intellectual inputs from their own experiences in each of these themes. This work will be combined with the Agency's own learning on the Participatory and Inclusive Land Readjustment global pilot in Medellin to provide innovation in land readjustment approaches.

## Climate Change

### (i) Global/Regional Achievements

UN-Habitat has made progress in its efforts to strengthen the capacity of Habitat Partner Universities in delivering training programmes on cities and climate change. During the 2008-2013 period, UN-Habitat launched the '*Cities and Climate Change Academy*' to facilitate the development of a curricula on the topic of cities and climate change. Seven university-level modules on cities and climate change have been developed. At present five universities in Africa, two in Germany and one in Asia are testing those modules. The modules are currently being adapted for the Latin America and Caribbean Region. Seven case studies on city- and national-level experiences in various regions from the Cities and Climate Change Initiative have been documented in a "*Special Edition of Local Environment: The International Journal of Justice and Sustainability*" as part of the ongoing collaboration between UN-Habitat with Durham University (UK).

During the period under review, the capacity of over 40 training institutions from Africa and Latin America was strengthened, including on the topic of climate change, under the auspices of the Strengthening Training Institutions Project funded by the UN Development Account. UN-Habitat strengthened its collaboration with other UN Agencies in cities and climate change. Throughout the MTSIP period, UN-Habitat contributed effectively to the UN System's High Level Committee on Programmes' Working Group on Climate Change. In 2013, under the auspices of this Group, UN-Habitat began to lead a UN-wide Task Team on "Urban Risk Management and Climate Smart Cities". In partnership with UN ESCAP and the Rockefeller Foundation, UN-Habitat developed a climate change simulation game for local government training institutions in Asia. This was rolled out in **Thailand** and in a regional training event in **Korea**. UN-Habitat held a regional training of facilitators in the **Philippines**. The facilitators have subsequently supported the development of climate change vulnerability assessments and action plans in a number of countries.

Collaboration with UN agencies in capacity building on climate change in the Asia Pacific region has increased. Joint initiatives included; i) the launch in 2013, of a four-year Myanmar Climate Change Alliance Programme, with funding from the EU Global Climate Change Alliance in collaboration with UNEP; ii) an Interactive Training, in collaboration with UN ESCAP, on Pro-poor, Urban Climate Resilience in Asia-Pacific, at the United Nations Conference Center in Bangkok, Thailand, and; iii) collaboration with UNEP and the World Food Programme in supporting municipalities in undertaking vulnerability and adaptation assessments in several countries.

## (ii) Country Achievements

Progress was made in enhancing the capacity of many institutions in climate change dimensions. The University of **Papua New Guinea** has been collaborating with UN-Habitat to develop a training programme for local authorities on climate change planning. UN-Habitat supported the Local Government Academy of the **Philippines** in its capacity building programmes on mainstreaming climate change adaptation into urban plans and regulations, for local government officials and national line agencies. This also involved sharing practical lessons from the application of Cities and Climate Change Initiative toolkits in cities. State colleges and universities in four cities partnered with UN-Habitat in training local government units and concerned communities in packaging and implementing demonstration projects for climate change adaptation. The Cities and Climate Change Initiative provided technical orientation and training to the technical team of the League of Cities of the **Philippines**; the League is now crafting a climate change support programme to be linked with the Cities and Climate Change Initiative.

UN-Habitat collaborated with **Vietnam** National University to conduct a Cities and Climate Change Initiative vulnerability assessment in one city, and with Portland State University (US) to prepare an 'eco-city development plan' in Vietnam. In **Rwanda** officials from 17 urban districts were equipped with skills and information required for the land use planning aspects of urban resilience as a result of UN-Habitat support. UN-Habitat supported the University of the South Pacific and the island of **Samoa** authorities in climate change vulnerability assessment and climate change planning. These contributed to improving their capacities as the Pacific sub-region's focal points to support other island countries in building their understanding of potential impacts of climate hazards and design appropriate actions plans.

### Box 1: Participatory land use plans for more resilient cities in Cuba

In the last five years, the introduction of a strategic approach to the development of participatory land use plans in several cities and municipalities in Cuba has led to a change in the lives of the community. In the province of Santiago de Cuba in the Palma Soriano, for example, UN-Habitat used three capacity building processes as part of a joint project with UNICEF and UNDP in the aftermath of Hurricane Sandy. These are: (1) training in the positioning of ceilings (2) update of the land-use plan of the municipality with the risk reduction approach and in the process of awareness raising on resilience. This experience benefited 1700 families directly, with new roofs. Remarkably, 5,000 people including government officials, the community and construction brigades, as well as the families, learned assembly techniques and construction, and participated in the process of construction and in the training provided by UN-Habitat.

## Urban Safety

### (i) Global/Regional Achievements

In the area of urban safety, a joint training was conducted with the Planning and Design Branch and CITYNET on integrated urban planning in the Asia Pacific in Kuala Lumpur. The training was the first in a series of regional and national training sessions which was attended by 30 participants from 11 countries and 21 cities in the Asia Pacific. The City of Cape Town, **South Africa** approved through a full council resolution the establishment of a Regional Centre of Excellence on urban safety.

## (ii) Country Achievements

In Ouagadougou, **Burkina Faso**, three modules on the prevention of public insecurity have been developed and integrated into the new Guidelines for the municipal police. One hundred (100) trainers in prevention of insecurity techniques, 413 resource persons (including: local elected officials, opinion leaders, and decentralized administrative authorities, local security council members, directors of partner organizations/associations), 88 community “agents of change” and 430 school going children, students and school leavers have been trained using these three modules. Another 164,000 staff (of which only 8% were women) of public institutions and civil society have been trained in crime prevention and the fight against small arms proliferation. In **Mexico**, the Latin America guide on safer cities was adapted for application at the national level in 2013.

## Expected accomplishment 2.3: Cities implement inclusive urban planning, management and governance

Progress was made towards implementation of inclusive urban planning, management and governance. UN-Habitat and partners contributed to the progress through various strategies that include capacity building, technical assistance, provision of tools and guides and pilot projects. The number of cities implementing inclusive Urban Planning Management and governance increased to 173 cities by the end of 2013, up from 169 in 2012 and 112 in 2009. The target of 209 cities set for 2013 was not reached. This is mainly as a result of the strategic decision made to focus UN-Habitat’s implementation activities in fewer cities for greater synergy and impact from the various programmes rather than spread out to more cities. UN-Habitat’s work in urban safety and the Cities and Climate Change Initiative constitutes the bulk of the implementation aspects.

## Urban Planning

### (ii) Country Achievements

Several countries have made progress in implementing policies and strategies for contributing to inclusive urban planning, management and governance strategies. In **Colombia**, three cities (Santa Marta, Medellin and Bogota) are making progress in implementation of urban planning, management and governance strategies under the *Achieving Sustainable Urban Development Programme*. In Medellin land readjustment is being carried out to enable the city to tackle urbanization challenges such as urban sprawl and proliferation of slums using the *Participatory and Inclusive Land Readjustment* tool developed by UN-Habitat. In Santa Marta, the city is undertaking orderly and proactive city extension to improve utilization of land and better connect its various sub centers. In Bogota, in collaboration with the city, UN-Habitat is involved in the redesign and improvement of an important economic hub for the local manufacturing sector.

Nairobi City County, in **Kenya** has progressed in developing a new Master Plan, which will be launched in April 2014. UN-Habitat’s technical inputs on issues such as the application of mixed-use urban land, securing public space as a means for stimulating economic growth, improving neighbourhoods and connectivity, have been integrated into the draft Master Plan. The County has also demonstrated its commitment to integrating public space into its programme by establishing an office for public spaces (with a budget) led by an Assistant Director within the Department of Land, Housing and Urban Planning. UN-Habitat will continue to provide technical support to the Nairobi City County in the review of an enabling legislative framework and propose new legislation and implementing guidelines.

The city of Kisumu, **Kenya**, has improved its capacity to address mixed-use, social mix, sustainability and proper design for public space in its city plans through technical support from UN-Habitat and other partners. In addition, UN-Habitat has worked with the city to demonstrate sustainable urban planning principles in the new extension for the Central Business District of the city. Mavoko town, **Kenya**, is building sustainable neighbourhoods for people relocated from informal settlements in Nairobi and Machakos counties. This resettlement project is a concrete demonstration of sustainable urban planning and social housing. UN-Habitat assisted the county in developing a legal framework – called the *Urban Regulation Document* –, which is aligned with the area Master Plan. It is a normative legal document that the Machakos County has officially included in the lease contract with the resettled community.

The City of Rabat, **Morocco**, as a member of the World Urban Campaign, has set up a Municipal Development Plan based on a participatory diagnosis and a city consultation. Cities of Marrakech and Suleymaniah, have initiated Safer Cities programmes with support from UN-Habitat, United Nations Development Programme and UN Women.

## Climate Change

### (i) Global/Regional Achievements

Progress was made in enhancing implementation of climate change dimensions in urban planning, management and governance with support from UN-Habitat partners. Since its launch in 2008, the Cities and Climate Change Initiative has expanded from initially supporting four cities to more than forty cities (in Asia, Africa and Latin America) to address climate change. It has proven to be amongst the most successful themes for regional fund raising. It is also a valid entry point in the middle income countries that increasingly make their own development investments and thus require technical support in designing viable mitigation and adaptation strategies.

UN-Habitat continued to support the elaboration and refinement of the “Global Protocol on Community-Scale Greenhouse Gas Emissions”. The tool, launched in 2012, is recognized as critical for city-level mitigation efforts worldwide. In 2013, to help develop a more robust version of this tool, Cities and Climate Change Initiative supported capacity building events in Latin America, Asia and Africa, including direct piloting in Kampala, **Uganda**. UN Habitat (with ICLEI) is utilizing this tool in the EC-funded project “*Promoting Low Emission Low Development Strategies*” to carry-out baseline emission studies in eight model cities in **Brazil, India, Indonesia** and **South Africa**.

During the reporting period, the Cities and Climate Change Initiative assisted a number of cities and towns to undertake climate change vulnerability and adaptation assessments: four cities in the **Philippines** (in partnership with the World Food Programme), two in **Sri Lanka**, one in **Vietnam** (as well as one ‘eco-city development plan’), one in **Nepal** (a city-regional assessment of the Kathmandu valley), one in **Laos** (where work also involved the drafting of a national climate change strategy), and one in **Cambodia**. In the Pacific, the Cities and Climate Change Initiative supported climate change vulnerability and adaptation assessments in a number of small cities and towns, including one each in **Papua New Guinea, Samoa, Fiji** and **Vanuatu** (the latter two in collaboration with UNEP). In addition, the Cities and Climate Change Initiative and its partner Resource Centres on Urban Agriculture and Food Security made progress with urban agriculture demonstration projects in pilot cities in **Nepal** and **Sri Lanka**.

Participating cities have built their resilience by (i) enhancing their disaster preparedness and response capacities, (ii) enhancing key physical infrastructure, (iii) identifying the most hazard-prone areas, and (iv) revising site selection criteria and building standards. A refined, participatory methodology is available to build multi-stakeholder capacity at the local level for climate change planning, conduct vulnerability assessments, develop action plans, and mainstream climate change into spatial plans as well as into disaster response plans.

### (ii) Country Achievements

In **Burkina Faso** the municipality of Bobo Dioulasso has adopted a municipal action plan on climate change 2013–2018, while demonstration initiatives on climate change adaptation, in partnership with the Resource Centres on Urban Agriculture and Food Security have been launched in three districts of Bobo Dioulasso. As a direct result of their engagement with the Cities and Climate Change Initiative in **Cambodia**, Sihanoukville received support to implement small-scale pilot initiatives, which included mangrove restoration, coastal protection and better basic urban services.

In **Mozambique**, a City Development Strategy and citywide slum upgrading plan for Nampula, and climate change adaptation and mitigation plan for Maputo have been developed. In **Pakistan**, implementation of the National Climate Change Policy is in progress. Vulnerability assessments are being conducted for two city regions to determine exposure and sensitivity to climate change and provide recommendations for government response. The recommendations of the assessment will help the government in climate-smart planning and replicate similar processes in other Pakistani cities. This initiative is being undertaken with technical support from UN-Habitat and the Climate Change Division of the national government.

In **Senegal**, 68 houses were completed and handed over to the City of St. Louis. The houses targeted at resettlement of families previously identified as highly vulnerable to storm surge. Through the Cities and Climate Change Initiative, UN-Habitat is supporting St. Louis in developing green spaces, including for urban agriculture. St. Louis city council is also implementing climate change adaptation/mitigation activities according to an approved strategy that was elaborated with the support of the Cities and Climate Change Initiative.

In **Sri Lanka** and **Vietnam**, climate change vulnerability and adaptability assessment and disaster risk reduction measures were undertaken in six cities and one province over the past three years. The assessment results were integrated into the City/Provincial Development Strategies in 2013. Four **Sri Lankan** city councils allocated resources to implement disaster risk reduction plans.

## Urban Safety

### (i) Country Achievements

In **Ouagadougou, Burkina Faso**, UN-Habitat supported the establishment of 47 local safety councils. A Safety Observatory was established and operationalized within the municipality to monitor progress and trends, strengthening local capacity to collect and analyze information. UN-Habitat also supported the establishment of a system of “Community Volunteers for Road Safety”. A survey showed that 97 per cent of the population of Ouagadougou over the age of 15 years stated that the community volunteers contributed greatly to streamlining traffic and reducing the risk of accidents especially during peak hours. An additional 290 volunteers were mobilized in 2013 to join the 300 already recruited in 2012. With the support of UN-Habitat, the Government of **Conakry, Guinea** prepared a code of good practice of conduct and evaluation of public events. This has resulted in community organizations (groups of youth and women), local government and the police working in partnership on the planning and management of public events.

In **Cairo, Egypt**, women’s safety audits were carried out in the three selected areas for intervention. Situational analysis reports have been prepared and recommendations submitted to government. *Place-making participatory planning* workshops have been conducted in each of the three areas and the implementation of women-inclusive management of public spaces model has been approved by government. In **Kenya**, under the “*I’m a City Changer Campaign*”; the Safer Nairobi Initiative was re-launched in June 2013 with the new decentralized government coming into place. Hundreds of youth from the surrounding disadvantaged neighbourhoods (Kibera, Korogocho) are benefiting from this intervention and also adding to the safety of the central business district.

Progress was made in highlighting safety concerns of women and girls through the “*Because I am a Girl*” initiative jointly implemented by UN-Habitat, Plan International and Women and Cities International. A set of five tools were developed and situational assessments conducted in five cities (Kampala, Delhi, Cairo, Lima and Hanoi). In each of the cities, girls shared similar experiences of insecurity, of sexual harassment and of feelings of exclusion, as well as visions for safer future cities. In Kampala, 80 per cent of girls claimed that they do not feel safe when in public spaces; in Delhi, only 3.3 per cent of girls reported always feeling safe when using public transportation; in Cairo, 32 per cent of girls felt that they never could talk to anyone about their safety concerns; in Lima, only 2.2 per cent of girls reported always feeling safe when walking in public spaces; in Hanoi, girls reported that they seldom (36 per cent) or rarely (23 per cent) had access to emergency services – notably the police.

## Challenges

1. Demand for UN-Habitat support is increasing in planning at different levels. However, the current staffing levels make it difficult to respond adequately. The risk of loss of opportunity is high and is increasing with the present reduction in levels of staff. Innovative ways are required to respond to this challenge.

## Lessons learned

1. Proactively developing stronger relations with existing and potential civil society partners and with other parts of United Nations on the joint programmes would be one of the options for UN-Habitat to increase its impact on urban programmes.

2. Though acknowledged as a major player in on the ground implementation, the role of the private sector in the CCCI, so far, has remained limited. As private sector engagement does not happen automatically, a more pro active approach is therefore called for.
3. In terms of the active participation of Local Governments, a key lesson that was learned was that 'former mayors' and 'retired officials' have demonstrated willingness to commit more time to enhancing the voice of local governments in the global arena, lobbying for the interests of local governments and contributing to UNACLA at a technical level on the UNACLA themes.



Training of Sustainable Construction materials held in Dharan Nov 2013. © UN-Habitat

### Focus Area 3: Pro-poor Land and Housing

The strategic result for focus area 3 is 'Improved access to land and housing' and the expected accomplishments are i) Improved land and housing policies implemented, ii) Security of tenure increased, and iii) Slum improvement and prevention policies promoted. UN-Habitat and partners contributed towards the strategic result and expected accomplishments through their work at global, regional and country levels. They contributed through: development of normative tools, advocacy and awareness raising; capacity building, pilot projects and; supporting implementation at country level.

Much of the work is done through three main programmes and networks that is the Global Land Tool Network, the Participatory Slum Upgrading Programme and the Global Housing Strategy, reflect the work of UN-Habitat in pro-poor land and housing. The Global Land Tool Network (GLTN) is a network of international and regional partners committed to improving the tenure security of the poor and the vulnerable by developing and implementing appropriate pro-poor large-scale land tools and approaches, developing the capacities and creating knowledge and awareness of the key global, national and local land sector stakeholders.

The Participatory Slum Upgrading Programme focuses on improvement of the living conditions of the poor in towns and cities particularly, contributing to Millennium Development Goal 7, target 10 "to halve the proportion of people without access to safe drinking water and improved sanitation by 2015, and target 11, to significantly improve the lives of at least 100 million slum dwellers by 2020". The initiative supports capacity strengthening of local, central and regional institutions and key stakeholders by promoting good governance and management approaches and implementation of pilot projects. The third programme the Global Housing Strategy, is anchored on the Habitat Agenda pillar of Adequate Housing for All, which advocates for the radical shift in the housing

theory and practice to achieve the full and progressive realization of the right to adequate housing. The strategy is linked to the right to an adequate standard of living including slum upgrading and prevention

### Overall Assessment

Progress was made on implementation of improved land and housing policies, improving security of tenure, and promoting slum improvement and prevention policies at global, regional and country levels. This is demonstrated by the many countries that have adopted or are implementing pro-poor and gender sensitive tools and approaches, and revision of national building codes with support from UN-Habitat and partners. The results based management, gender responsive and rights based principles of the Global Housing Strategy were mainstreamed in all housing and slum upgrading activities through the utilization of tools developed by UN-Habitat for implementation by country teams in 49 countries. This was also done through integrating housing and slum upgrading within an Urban Development framework. For example, **Togo, Djibouti** and **Mali** are integrating housing and slum upgrading within urban development in their interventions. These initiatives have resulted in the formulation of more comprehensive and integrated land and housing policies.

Table 6: Trends on indicators of achievements for Focus Area 3

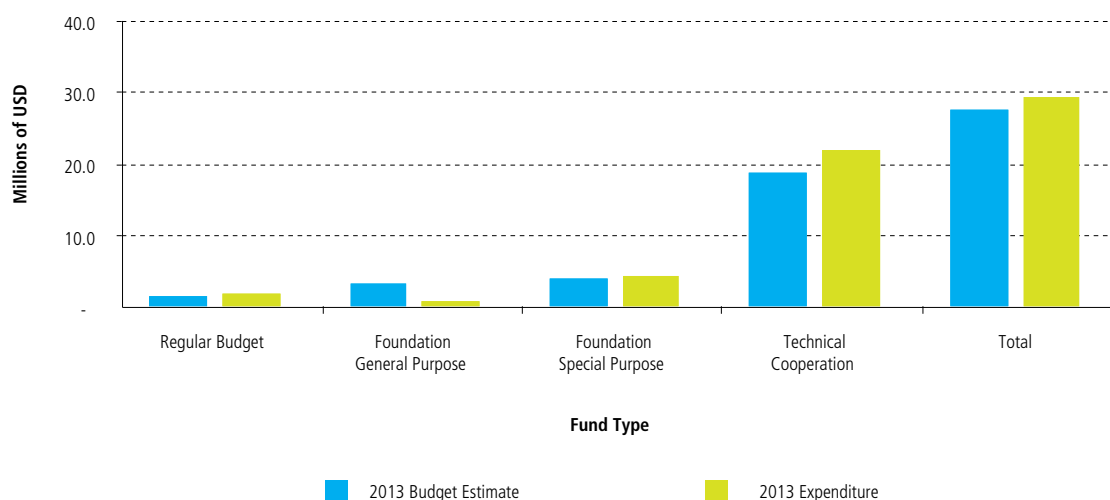
Expected Accomplishments (EA)	Indicator of achievement	Baseline 2009	Actual 2010	Actual 2011	Actual 2012	Target 2013	Actual 2013
<b>EA1:</b> Improved land and housing policies implemented	i) Extent to which targeted countries working with UN-Habitat are implementing land, housing and property policies as evidenced by the number of countries at different stages of implementing mentioned policies	28	33	37	37	32	48
<b>EA2:</b> Security of tenure increased	i) Increased number of countries and partners implementing policies to improve security of tenure and reduce forced evictions in collaboration with UN-Habitat	19	24	29	29	29	36
<b>EA3:</b> Slum improvement and prevention policies promoted	i) Degree to which slum prevention and improvement policies are implemented in targeted countries with support from UN-Habitat, as evidenced by an increased number of countries at different stages of implementing slum prevention and improvement policies	24	33	33	33	28	42

Policies such as the continuum of land rights approach, the most important and innovative achievement of the Global Land Tool Network, has proved to be the most effective way of providing tenure at scale. So much has been achieved towards promotion of security of tenure in post-disaster countries in **Afghanistan, Haiti, Somalia** and **Iraq** as indicated in the examples noted at regional and country levels. In terms of slum improvement and prevention policies promoted, 34 countries participating in the Participatory Slum Upgrading Programme endorsed and adapted slum upgrading and prevention methodology of the PSUP into their national strategies and programmes. They also pledged to refrain from conducting unlawful forced evictions while implementing slum upgrading thus strongly contributing to security of tenure.

All the indicator targets set for 2013 to measure progress at the expected accomplishment level were surpassed (see table 6). This is largely attributed to the rapid growth in the work on land through the Global Land Tool Network, expansion in the slum upgrading programme, and the new Global Housing Strategy. It also appears that the targets were set at relatively low levels.



Figure 6: Planned budget and expenditure for Focus Area 3



### Financial Assessment

A total expenditure of USD29.2 million was achieved against an initial budget of USD 27.7million. This is largely due to higher levels of earmarked income received compared to the budgets for both normative and operational activities as shown Figure 6.

### Expected accomplishment 3.1: Improved land and housing policies implemented

There were improvements in land and housing policies, including access and tenure systems as a result of reforms undertaken with UN-Habitat support. This is evidenced by the increasing number of countries with improved land and housing policies with the support of UN-Habitat and partners. By December 2013, the number of countries in different stages of developing, implementing or completing land and housing reforms was 48 up from 37 countries in 2012 and 28 countries in 2009, exceeding the target of 32 countries set for 2013. This is due to growing regional initiatives of UN-Habitat, and increasing support at country level, especially in 2011 and 2012. UN-Habitat continued to mobilize governments and Habitat Agenda partners to implement improved land and housing policies and its advocacy work has resulted in increased requests from countries for UN-Habitat support.

#### i) Global Achievements

UN-Habitat is contributing to poverty alleviation by increasing security of tenure particularly through the development and dissemination of pro-poor and gender-sensitive land tools and approaches that support the development and implementation of improved land policies. The Global Land Tool Network demonstrated its capacity to mobilise international attention around land and secure tenure by increasing its membership from a broad array of partner organizations with relevant expertise, mandate and traction. The fifth GLTN Partners' Meeting was successfully held in the Netherlands in November 2013 and was attended by over 45 partners and funds were secured to support the implementation of the GLTN Phase 2 programme until 2017. GLTN partners increased to 64 by the end of 2013 up from 54 at the end of 2012, leading to increased visibility and outreach of the UN-Habitat and GLTN work at global, regional and country levels. The number and diversity of partners is an indication of the increased traction and relevance of the UN-Habitat and GLTN approach to land and tenure security issues.

The impressive progress made in mobilizing support for the implementation of the continuum of land rights approach as the most effective way to provide tenure security at scale emerged as the single most important achievement of the Global Land Tool Network over the MTSIP period. The paradigm shift from individual titling to the continuum of land rights continues to receive growing international recognition and support. In April 2013 the continuum of land rights was one of the key themes debated by diverse land stakeholders' groups at the World Bank Annual Conference on Land and Poverty. The urgent need to enable, promote and protect a diversity of tenure forms has also been given prominence through the recent work of the Special Rapporteur on the Right to Adequate Housing which is reflected in her report to the Human Rights Council in December 2013 (A/HR/C/22/46). Steps have been made by the GLTN partners towards a more conscious and systematic operationalization and in-country implementation of the continuum of land rights, building on the lessons learned from contexts and countries in which the continuum is being applied.

UN-Habitat and GLTN continued to support the development, adoption and implementation of a number of pro-poor and gender sensitive land tools and approaches which enable countries and Habitat Agenda Partners to improve tenure security policies and their implementation. The areas of intervention include: access to land and tenure security, land administration and information, land-based financing, land policy and legislation. A number of cross-cutting themes are systematically addressed, such as gender and youth, human rights, customary and Islamic land tenure systems, post-disaster and post-conflict issues, land indicators, environment and climate change, grassroots' engagement and others. The approaches and tools are at different stages of development, implementation, revision and adoption; and have all been developed through extensive consultations and consensus building involving key partner organizations critical for the sustainability of the tools. Awareness and capacity development for partners are integrated at all the stages of tool development, ensuring greater impact of all interventions.

Progress was made in the on-going process of developing global land indicators to harmonize monitoring efforts in the area of land tenure security and land governance. In 2013, UN-Habitat led the work on land and land-related indicators to support the implementation of the Sustainable Development Goals in the post 2015 period. A major milestone was reached in November 2013 at an Expert Group Meeting convened by the Millennium Challenge Corporation, UN-Habitat and the World Bank with technical and financial support from the Global Land Tool Network. The participants included representatives of multilateral and bilateral organizations, governments, research and training institutions and civil society organizations. The high level participants proposed four land indicators and agreed on a roadmap to advance the adoption of such indicators. An agreed methodology to measure the progress towards tenure security would be a key tool for countries to develop and assess the impact of their land policies on the population.

Progress was made in the promotion and implementation of the new Global Housing Strategy. This strategy advocates for the radical shift in the housing theory and practice to achieve the full and progressive realization of the right to adequate housing. In 2013 the UN-Habitat Governing Council through resolution 24/9 further emphasised the work of the "inclusive national and local housing strategies implemented to achieve the Global Housing Strategy paradigm shift". The Global Housing Strategy document was shared online through LinkedIn and the Urban Gateway where it has reached over 600,000 professionals, universities and civil society by the end of 2013. The strategy has also been widely promoted in international and regional advocacy platforms raising awareness on the significance of the paradigm shift in sustainable urban development. The Global Housing Strategy was discussed by over 2,000 Habitat Agenda Partners, national and local authorities of partner countries during key international and regional events held in 2012 and 2013. These included: World Urban Forum, Rabat Conference "Making Slums History: A Worldwide Challenge for 2020", AfriCities, 2nd International Tripartite Conference, and the General Assembly of Ministers and High Authorities of Housing and Urban Development of Latin America.

In 2013, the Global Housing Strategy draft framework was shared and discussed with over 600 urban experts, representatives of national and local authorities of 56 partner countries during the Second International Tripartite Conference, held in Kigali, in September 2013. This resulted in the endorsement of the Kigali Declaration by attendees. Progress in the implementation of GC Res. 24/9 is reflected in the increased understanding of the current shifts in housing policy and practice, increased global commitment towards the Global Housing Strategy,

strengthened partnerships and knowledge sharing, and a greater inclusion and outreach of housing stakeholders. These all resulted in buy-in from 34 countries of the Participatory Slum Upgrading Programme and 15 countries of the housing policy and sustainable housing portfolios, to review their approach to housing as well as policy development with technical support from UN-Habitat.

Partnerships and knowledge sharing among the stakeholders responsible for the retrofitting of mass housing is being strengthened and their capacity for implementation built. This is being achieved through an international architecture and urban planning competition, launched in 2013, entitled “*Urban Retrofitting of Mass Housing*” as part of the implementation of GC Res 24/9.” The competition is a joint undertaking between UN-Habitat, Medellin Urban Futures; I’m a City Changer, Mistra Urban Futures and Slum Dwellers International. Nearly 1500 participants from 225 universities in 91 countries, are participating in the competition. As a result of the competition, comprehensive national and urban analyses of mass/social housing programmes and good practices and challenges from different countries will be available for further research, and will be included in an international database on housing best practices.

Elaboration of an international housing policy database, which determines housing conditions and opportunities for country level implementation of the Global Housing Strategy, is in progress. The database and its related indicators will provide better understanding of contextualized housing policies and strategies. In collaboration with Habitat for Humanity and the World Bank Institute, UN-Habitat started in February 2013 the elaboration of thematic tools to complement the international housing policy database, such as an inclusiveness index and a guide on gender and housing, currently being reviewed. These tools will contribute to providing data to countries and guidelines on gender responsive and inclusive housing policies. In 2013, the report “Scaling up Affordable Housing Supply in Brazil” which advocated for a holistic approach that recognizes multiple functions of housing, contributed to increase knowledge sharing and tools with partner countries that are implementing social housing programmes at scale.

Important advances were made towards the development and piloting of a pro-poor land readjustment tool, the *Participatory and Inclusive Land Readjustment (PILaR)* which uses a methodology based on good governance and land management principles and offers sustainable ways of availing land for extension, densification and upgrading of urban settlements. A pilot project to test and fine-tune the PILaR methodology was launched in Medellin, Colombia, in 2013 with funding from GLTN, UN-Habitat and the City of Medellin. In parallel, a methodology to increase tenure security in slums through pro-poor land readjustment is being developed in collaboration with GLTN and PSUP.

The Global Network for Sustainable Housing, an on-line knowledge sharing platform to mainstream sustainable housing practices globally, helped to build advocacy and networking on green building. The ‘Sustainable Housing for Sustainable Cities’ policy framework and practical guide contributed to the building of a common understanding on sustainable housing and green building issues. It also provided a more holistic approach to sustainable housing, recognizing the multiple functions of housing. The definition of the conceptual framework on sustainable housing for green buildings was discussed and agreed upon by the partners of the Global Network for Sustainable Housing.

In addition, UN-Habitat is supporting the joint publication of the Casebook on Green Housing in the Europe and Central Asia regions, in partnership with UNECE. This ongoing project started in December 2012 and is aiming at identifying sustainable housing practices and energy-efficient buildings in the ECA region. The publication is an initiative of the GNSH and is due to be published by early 2014. In addition, a draft Sustainable Housing Rating Tool to measure and evaluate sustainable and green housing construction projects in developing countries has been produced in 2013, in coordination with GNSH’ partners.

## (ii) Regional Achievements

There have been improvements in land and housing policies with support from UN-Habitat and partners. The implementation of the 2009 Declaration on Land Issues and Challenges in Africa through the work of the Land Policy Initiative Consortium (African Union, African Development Bank and United Nations Economic Commission for Africa) and gained increased momentum in 2013. UN-Habitat contributed to this important process through its advisory functions as a member of the Steering Committee of the Initiative, and by leading the

capacity development efforts that support member states in the implementation of the Declaration, in line with the Framework and Guideline for Land Policy in Africa. Under the auspices of the Pan African Parliament, the Capacity Development Framework for Land Policy in Africa, developed by UN-Habitat and Land Policy Initiative through a widely participatory process, was technically and politically validated in 2013 by a broad range of high level key stakeholders. The implementation of key capacity development initiatives started, in collaboration with key centres of learning from the continent.

There is increased tenure security in Eastern and Southern African countries through the collaboration between UN-Habitat and the International Fund for Agricultural Development (IFAD), using GLTN tools. Following the successful completion of the pilot project, in 2013 a three-year agreement was signed to use the Social Tenure Domain Model and the Gender Evaluation Criteria for Large Scale Land Tools in selected IFAD-supported projects in the region to improve the tenure security of the communities involved in natural resources' projects. The Social Tenure Domain Model allows improved security of tenure through recognition of a broad range of tenure options.

**Caribbean States** are strengthening their land policy and land management frameworks with funding from the Australian Government and technical support from UN-Habitat and the GLTN partner University of West Indies. **Anguilla, Antigua and Barbuda, British Virgin Islands, Commonwealth of Dominica, Grenada, Montserrat, St Lucia, St. Christopher (St. Kitts) & Nevis, St. Vincent and the Grenadines** started the process of revising their land policies and land management systems using experience from the Africa Land Policy Initiative process and the tools and methodology developed by GLTN. **St Kitts & Nevis and St Lucia** are also developing their national land policies in Grenada in line with the guidelines and adapted to local conditions.

Advocacy on and development of housing policies, in Asia-Pacific was driven by country specific needs and strategies for low-income housing or slum prevention. In the Pacific, for example, a positive change in awareness was demonstrated by increase in country requests (from **Kiribati and Vanuatu**) for support to policy dialogue and identification of major urban challenges, and in increased press coverage on inadequate housing.

A regional Land Tenure Initiative for the **Asia-Pacific Region** was launched by UN-Habitat in collaboration with Global Land Tool Network partner organisations Building on lessons learnt from the GLTN engagement in Africa, partners engaged in a process of identifying key land issues, challenges and opportunities for regional and country engagement. The Pacific Participatory Slum Upgrading Programme Phase 1 and the launch of Phase 2 provided **Fiji, Papua New Guinea, Solomon Islands, Tuvalu and Vanuatu** with improved understanding of city-wide upgrading strategies to better inform housing policies (in **Fiji**) and, their preparation (in **Solomon Islands and Vanuatu**) and urban management plans (in **Fiji and Tuvalu**). This highlighted the need for integrated land use planning and management as well as advocated for the inclusion of housing as an important sector in the economy (in **Solomon Islands, Tuvalu, and Vanuatu**).

In 2013, Global Land Tool Network paved the way for an increased outreach and impact in the **Arab States**. New collaborations were established with key partners in the region, the UN-Habitat and Global Land Tool Network literature on tenure security is more accessible to Arab-speaking population, and champions and change agents in the field of tenure security were identified, including a learning event on land and property rights, and priority gaps that will require the development of region-specific land tools were identified.

### (iii) Country Achievements

In 2013, UN-Habitat continued to support the development of country Housing Profiles. In 2013, **Ghana, Nepal, Zambia, Malawi and Senegal** finalized their national housing profiles with the support of UN-Habitat, while profile formulation is in progress in **El Salvador, Liberia, Ecuador and Vietnam**. These national housing profiles have contributed to the formulation and implementation of national housing policies and strategies and to improved housing policies, in line with the Global Land Tool Network principles and towards the realization of the right to adequate housing. Since late 2013, several countries, including **Togo and Djibouti** are receiving support with national housing profiling while **Lesotho, Guyana, Mali, Liberia and Ghana** are developing their national housing strategies.

**Kenya, Ghana, Ecuador, Uganda, the occupied Palestinian territories and the Democratic Republic of Congo** had their capacities strengthened in sustainable housing development, through a national platform for knowledge sharing and networking in the field of slum upgrading, participatory housing design and sustainable construction technologies adapted to different local contexts. The support contributed to the revision of national building codes and standards in the **occupied Palestinian territories, Uganda, Kenya, Rwanda, Tanzania and Burundi**.

Partner countries now have a common understanding of the right to adequate housing and ways to prevent forced evictions, leading to greater inclusion of HRBA into national housing strategies. Following technical support from UN-Habitat, **Malawi, Ghana, Uganda, Vietnam, Nepal, Zambia, Ecuador, El-Salvador, Liberia, Tunisia and Senegal** committed in 2012 and 2013 to assess their urban housing delivery system from the Human Right to Adequate Housing perspective, through the integration of a detailed checklist into their Housing Sector Profiles, and discussing the results at national workshops. **Bolivia, Colombia, Ecuador, Peru and Venezuela** developed and/or refined strategies to promote full and progressive realization of the right to adequate housing for indigenous peoples.

In the **Democratic Republic of Congo**, UN-Habitat and GLTN are contributing to tenure security initiatives by supporting the Land Governance Assessment Framework (LGAF) and land donor coordination efforts. In February 2013, with the support of UN-Habitat, a Land and Property Working Group was established as a forum where the humanitarian community and government discuss issues related to access to land and property, displacement, peace and stability. A National Land Reform Committee was established and in May 2013, and the DRC prime minister signed the Decree establishing the National Land Reform Committee and the Commission was subsequently established. GLTN also contributed to the development of the Land Reform Support Document that highlights the key land issues in DR Congo, the framework and the key components of the reform and establishes a draft road map for implementation. UN-Habitat continued its work on the land mediation initiatives and alternative land dispute resolution methodology that is being institutionalized into local land governance and administration processes, and is contributing to the stabilization of some regions of the country. The **DRC** remains one of the countries where UN-Habitat hopes to undertake extensive land tool testing and implementation in the coming years. UN-Habitat continues to support different national critical reforms in land, leading to tangible changes on the ground through the GLTN. Lessons learnt from the work done in **Kenya** are being translated into global guides and tools for land sector coordination.

#### Box 2: Enhancing Security of Tenure in Cities Through Land Regularization in Afghanistan

Urban areas in Afghanistan are expanding at a rapid rate of 4.6 per cent per year. Approximately 60 to 70 per cent of these urban areas are developed informally and an estimated 70 per cent of the urban population lives here. Informal settlements require regularization without forced evictions and relocation of households living in unsuitable locations. Regularization of informal settlements addresses one of the key problems faced by people living in informal settlements - insecure land tenure.

UN-Habitat developed a cost-effective methodology of land registration using the Geographic Information System to register land ownership. Over 65,000 plots and properties have been registered by the respective municipalities in secondary cities across Afghanistan. The initiative was undertaken in partnership with the Kandahar Municipality and the Independent Directorate of Local Governance. This successful model of incremental regularization of informal settlements has been replicated in other cities. Regularization of informal settlements not only increases security of tenure but also allows the local governments to raise property taxes as municipal revenues to be used for providing effective services to the citizens. Municipal tax revenue in settlements has increased by average of 15 per cent in the last few years.

With the registration of plots and parcels, people in the informal settlements gained security of land tenure which has been an incentive for them to invest in housing improvements. In addition, the collected taxes contributed to strengthening of the municipal administrative capacity in service delivery.

The Government of **Namibia** is receiving support for implementation of the Flexible Land Tenure Act (Act No 4 of 2012), which embodies some of the key principles of good land governance advocated by UN-Habitat, such as the continuum of land rights adopted with the UN-Habitat GC resolution 23/17). A framework collaboration is being put together to accompany the implementation of the innovative Act and learn lessons for replication.

Work is ongoing with the Land Administration and Management Program in Myanmar, the UN joint programme on Catalytic Support to Land Reform in Nepal. In Afghanistan, the Ministry of Urban Development Affairs is improving land policy, urban upgrading and planning management with support from the Independent Directorate of Local Governance. The Land Allocation Scheme undertaken by Kabul and Jalalabad (Afghanistan) Municipalities and Ministry of Refugees and Repatriation, aimed at assisting in reintegration of IDPs and returnees in informal settlements was undertaken with UN-Habitat support. The National Government of Vietnam formulated its National Housing development strategy focusing on improving accessibility to low income housing and community-based housing development, with technical support from UN-Habitat. This increased the quantity of affordable housing during 2012-13 with housing loan packages availed to low income households.

**Mozambique** is identifying affordable financing systems through a pilot project in Manica as part of the implementation of the National Housing Policy approved in 2010. The National Slum Upgrading Strategy is currently being implemented in several cities and towns across the country and construction of disaster-resistant facilities is ongoing in several locations of the country to enhance the coping mechanisms, with support from UN-Habitat. **In Fiji**, the assistance provided after Cyclone Evan, witnessed an increase in demand for knowledge of vulnerable sites and communities for the Post-disaster Needs and Assessment report. UN-Habitat's continued to support to the inclusion of communities without secure tenure and equitable access to humanitarian assistance into Fiji's National Policy. The **Liberia** Land Commission developed and finalized the national Land Rights Policy to adopted into law in 2014. In addition, an alternative system of dispute resolution for land disputes was established. **Ghana** completed a National Housing Policy with support from the UN-Habitat National Housing Profile.

### Expected Accomplishment 3.2: Security of tenure increased

There is increased security of tenure and reduced forced evictions in a number of countries due to the support provided by UN-Habitat and its partners. **Kenya, Rwanda, Namibia and Egypt** are piloting new land readjustment approaches within the slum upgrading initiatives. The number of countries working with UN-Habitat to develop and implement policies to improve security of tenure and reduce forced evictions increased to 35 by the end of 2013, up from 29 in 2012 and exceeded 29, the target set for 2013.

#### (i) Global / Regional Achievements

Progress continued to be made in the recognition and implementation of non-conventional and pro-poor land administration systems through the adoption and use of the Social Tenure Domain Model tool which supports global efforts to provide sustainable tenure security for vulnerable population. The Social Tenure Domain Model's data model was recognized as one of the example profiles of Land Administration Domain Model, approved as an ISO standard (- ISO 19152). The tool has been piloted in **Ethiopia, Uganda, and Kenya**, and is being adapted for use in **Haiti and Colombia** by UN-Habitat and a wide range of GLTN Partners.

Progress was made towards improving equitable access to land for women. Through the GLTN platform, the participation of women, youth and grassroots groups in major land forums has increased, bridging the long-standing gap between the technical land professional and the civil society groups. A Gender Evaluation Criteria for Large Scale Land Tools used to assess the gender responsiveness of land policies and practices in **Brazil, Nepal, Ghana, Uganda, Nigeria and Togo**, was rolled out by GLTN Partners in 30 countries in Africa, Latin America, Asia and the Caribbean in 2013.

There was increased engagement of youth in the land discourse due to the development and empowerment of youth champions to engage in land and tenure security, sponsorship of youth representatives and youth organisations to land events and key land initiatives. To promote security of tenure in post-disaster scenarios, UN-Habitat progressively advocated for. **Afghanistan, Burundi, Democratic Republic of Congo, Haiti, Iraq, Liberia, Somalia, South Sudan and Uganda** utilized different tools and methodologies for the institutionalization of land conflict resolution and security of tenure for disaster and conflict situations UN-Habitat took steps towards institutionalizing the human rights based approach into its work. A strategy paper on the implementation of the human rights-based approach to development was completed, as has a proposal for the constitution of a Human Rights Advisory Group to UN-Habitat. Some progress was made towards addressing forced eviction of people from their homes and settlements, a growing global phenomenon representing a crude violation of one of the principles of the right to adequate housing.

A *Handbook on Assessing the Impact of Eviction* developed by UN-Habitat and partners will guide Habitat partners and Member States on alternative approaches to forced evictions, therefore contributing to promoting respect and fulfillment of human rights in development projects at country level.

Land tenure was recognized in the High Level Panel report for the post 2015 process. In June 2013, the High-Level Panel of Eminent Experts recognised UN-Habitat's work on land tenure was recognized in its report and used it to support the argument for a specific target on land.

### (ii) Regional Achievements

Twenty five representatives of ministries, land professionals, academia, grassroots organizations and youth groups from **Egypt, Morocco, Algeria, Sudan, Syria, occupied Palestinian territories, Iraq, Jordan and Yemen** had their capacity strengthened in the concepts and principles of land and tenure security that prevail in a Muslim context. Champions comprising both individuals and organizations that could take forward tenure security work in the region were identified and a preliminary list of priority tools to be adapted and developed for the context was agreed upon. At the same time, the Global Land Tool Network, under the lead of the University of East London and of the International Islamic University of Malaysia and with the support of UN-Habitat, continues its collaborative research on tenure security in the Muslim world.

To equip governments and Habitat Agenda Partners with concrete guidelines on how to achieve secure tenure for slum dwellers during citywide slum upgrading and land readjustment projects for **Kenya, Rwanda, Namibia and Egypt**, the Participatory Slum Upgrading Programme (PSUP) and the Global Land Tool Network (GLTN) initiated a joint project on land readjustment in slum upgrading. The project will document case studies in slum upgrading, in order to provide technical support to land regularization processes in PSUP Phase 3 countries and improve the delivery of the Phase 3 participatory pilot project. This project will contribute to two year research project on security of tenure 2012-2014 of the UN Special Rapporteur on Adequate Housing, and to the operationalization of the Human Rights-Based Approach of UN-Habitat.

### (iii) Country Achievements

Much has been achieved towards increasing security of tenure at country level by UN-Habitat and its partners. Findings from a 2013 independent evaluation of UN-Habitat's Urban Programme in Iraq concluded that UN-Habitat has contributed towards the integration of pro-poor housing strategy into the National Housing Policy for Iraq and three sub-national pro-poor housing strategies. UN-Habitat supported the Ministry of Construction and Housing to develop the National Housing Policy. At the sub-national level, the evaluation noted that UN-Habitat played a catalytic role from its contribution to pro-poor housing policies such as the Kurdish Regional Government Housing Strategy which has improved security of tenure in Erbil region. Through UN-Habitat's support for rehabilitation of dilapidated housing initiative, 400 families illegally occupying land in Erbil were recently resettled voluntarily.

In **Afghanistan** over 61,000 plots and properties were registered by municipalities as a result of the implementation of a cost-effective land registration method designed by UN-Habitat and approved by the Government for property tax collection. Regularization of informal settlements not only increases security of tenure but also allows the local governments to raise property taxes (with increase of 15 per cent in average) as much needed municipal revenues. In **Bangladesh**, approximately 3 million people have so far benefited from the Urban Partnerships for Poverty Reduction programme where community-driven land readjustment and service infrastructure provision is part of the approach. Secure tenure is one of the many outcomes directly benefiting target communities and households.

In **Sri Lanka** 7500 families in conflict-affected areas obtained land ownership documentation through the housing reconstruction programme with support provided by UN-Habitat and partners. Tenure security was provided to 2000 families in Erbil (**Iraq**) through a slum-upgrading project, and for 3000 IDP families in Darfur through the allocation of land. In **Liberia**, the Land Commission set up an innovative system for land dispute resolution in five hotspot counties. The county offices (Land Coordination Centers), work free of charge with community members to strengthen their mediation skills. As a result strong community utilization of the Land Coordination Centers has taken place and nearly 300 cases have been registered in 2013. Community members told the Land

Coordination Centers staff and evaluators that using the Land Coordination Centers service is cheaper, simpler and fairer than going to court over land disputes; mediated solutions are also seen by the communities as a more equitable solution that is more likely to last than a court-ordered, zero-sum solution.

In **Uganda**, the Ministry of Land, Housing and Urban development, with support from Cities Alliance and FIG, jointly piloted the Social Tenure Domain Model in Mbale Municipality with UN-Habitat and Slum/Shack Dwellers International (SDI). The community-led participatory enumeration mapped the local communities as a first step towards the provision of increased tenure security in a context where diverse tenure arrangements were recorded. As a result of the successful pilot, UN-Habitat and SDI were asked to establish a learning centre on STDM in the National Federation Office for capacity development, a key step towards the up-scaling and sustainability of the tool. In 2013, a second phase of the project started to apply STDM in other municipalities in Uganda and other countries to be identified.

In **Chad**, the “Guichet *Unique*” (a *One Stop* office for the processing of title deeds) has been operational since August 2013 and allows the land registration system to facilitate transparent and efficient delivery of titles deeds. In **Somaliland and Puntland**, all Internally Displaced Persons settlements were well planned and fully integrated into the urban fabric at their respective locations, allowing Internally Displaced Persons access to jobs, livelihoods and services as a result of several housing construction projects. UN-Habitat provided technical support that is contributing towards improved security of land tenure and permanent housing, social infrastructure and skills training for approximately 5,000 long-term and most vulnerable IDPs, including women-headed households and disabled persons.

Security of tenure was improved in **Sri Lanka** among the families resettling in conflict-affected areas by facilitating over 7500 families to obtain land ownership documentation through the housing reconstruction programme.

### Expected accomplishment 3.3: Slum improvement and prevention policies promoted

Progress was made towards promoting policies that support slum improvement and prevention as evidenced by the growing number of countries engaged in the Participatory Slum Upgrading Programme (PSUP), an initiative of the Africa, Caribbean and Pacific Group of States, funded by the European Commission and implemented by UN-Habitat. UN-Habitat’s contribution towards the slum target of the Millennium Development Goal has continued to improve. In 2013, six countries, namely, **Ethiopia, Zambia, Senegal, Tanzania, Liberia and South Africa**, were revising their national urban development policies and defining city wide slum upgrading strategies. By December, 2013, 40 countries and 150 cities were developing, implementing or completing slum upgrading and prevention policies, strategies and programmes with the support of UN-Habitat and partners, up from 24 countries in 2009 and 34 countries by the end of 2012. This exceeds the target set for 2013 of 29 countries, demonstrating the high response by countries to the initiative. The Mid-term MTSIP (2008-2013) Evaluation (2012:xii) concluded that partner countries “...perceive UN-Habitat’s support for slum prevention and upgrading as contributing positively to improving the situation of slum dwellers in the longer-term through pro-poor housing policies, housing financing, and security of tenure, while short-term improvements will require substantial capital injections”.

#### (i) Global/Regional Achievements

UN-Habitat catalysed growing action and investment initiatives supporting slum improvement and prevention in 40 countries and over 150 cities across Africa, Caribbean and Pacific States through the Participatory Slum Upgrading Programme, in partnership with national and local Governments, and other global partners such as Cities Alliance, the World Bank Institute, non-governmental organizations and community based organizations. The Participatory Slum Upgrading Programme capacity development included 5 regional training workshops for all regions and covering both. Over 200 participating country team members from Anglophone and Francophone countries have enhanced capacity to support implementation of the participatory process of slum upgrading in their countries through five regional workshops.

UN-Habitat continued to play a leading role in raising awareness on the need for policy change and implementation to support slum improvement and prevention at global, regional and national levels. In September 2013, the Participatory Slum Upgrading Programme contributed at the Second International Tripartite Conference, in Rwanda, which culminated in the Kigali Declaration on Sustainable Urbanization for Poverty Eradication,



marking a significant commitment of ACP States, the Economic Commission, and UN-Habitat to collaborate in developing appropriate policies and programmes for sustainable urbanization.

These international events, and the progressive implementation of GC Res. 24/7 have greatly contributed to increased knowledge and support of the PSUP, increased visibility of the challenge of slums, increased awareness of the five deprivations, strengthened international cooperation and partnerships with countries. It also contributed to increased funding in support of the PSUP and additional requests from countries to join the programme. Documentation and dissemination of best practices strengthened partnerships with other international organizations and enhanced capacities of Habitat Agenda partners for slum improvement and prevention. A document drafted by UN-Habitat jointly with the World Bank Institute ‘*Scaling up Slum Upgrading and Prevention through National Policy and Programmatic Approaches*’ shares challenges, best practices, lessons learnt and opportunities for slum upgrading and prevention at the city level, and has supported national and local authorities in the formulation of Citywide Slum Upgrading strategies and programmes.

Through its enhanced communication strategy and cooperation with partners, UN-Habitat increased the visibility for slum upgrading. For example by the end of 2012, the Participatory Slum Upgrading Programme was the first hit on the ‘*Google search engine*’ and the programme was on YouTube, Facebook, Urban Gateway, UN-Habitat website and European Commission and African Caribbean Pacific Secretariat web pages. Through the “MyPSUP”, an online platform, participatory slum upgrading implementing partners learnt and shared experiences, methodologies and relevant knowledge products.

The overall monitoring and the baseline data collection for slum upgrading worldwide has improved and a database was developed to monitor the implementation of Participatory Slum Upgrading Programme. New approaches to funding slum upgrading have emerged following advocacy and consultations with national stakeholders. UN-Habitat played a catalytic role, in the scaling up and strengthening sustainability of the slum upgrading programmes at country and city levels. Governments established budget lines for slum upgrading and prevention strategies at the national level in all participating countries. By the end of 2013, the Participatory Slum Upgrading Programme had catalyzed government cash-contributions and investments for slum upgrading in implementing countries of an estimated 140 million Euros, ten times the Participatory Slum Upgrading Programme overall budget.

### (iii) Country Achievements

As a result of increased momentum and expansion of the Participatory Slum Upgrading Programme several countries are at different stages of implementing slum upgrading or prevention strategies. i) eight countries produced or are preparing national and city urban profiles (**Benin, Botswana, Lesotho, Rwanda, St Lucia, Togo, Tuvalu and Vanuatu**) under Phase 1. ii) In Phase 2 of the programme, 18 countries produced or are preparing action plans for localized slum upgrading and prevention interventions (**Antigua and Barbuda, Burundi, Cape Verde, Cote d’Ivoire, Fiji, Haiti, Jamaica, Madagascar, Mali, Mauritius, Namibia, Nigeria, Papua New Guinea, Republic of the Congo, Solomon Islands, The Gambia, Trinidad and Tobago and Uganda**); iii) while 8 countries (**Burkina Faso, Cameroon, Democratic Republic of Congo, Ghana, Kenya, Malawi, Mozambique and Niger**) in Phase 3 produced or are preparing programme documents to implement participatory slum upgrading projects in selected slums of cities identified during Phase 2.

Since 2012, six countries have officially committed to co-finance slum upgrading activities by providing additional funds to UN-Habitat. **Kenya, DRC and Malawi** have committed USD250,000 each, **Niger** USD450,000 and **Cameroon** 800,000 to co-fund the implementation of Phase 3. In Phases 1 and 2 countries, some governments voluntarily offered to co-fund the PSUP at national level. **South Africa** committed USD400,000 for the organization of the “Making Slums History II” conference in 2014. Further, 10 countries (particularly **Cape Verde, Cameroon, Kenya, Niger, Nigeria, Fiji, and Papua New Guinea**) are replicating the approach through their on funding and using the Slum Upgrading Unit’s and Participatory Slum Upgrading Programme methodology.

In the **Democratic Republic of Congo**, urban spatial planning practices in informal settlements improved in cities and towns like Masina. UN-Habitat supported the government to prepare a programme and strategy for improving informal settlements in Kinshasa, particularly in Masina through the Participatory Slum Upgrading



Improved sanitation under the Lake Victoria Water and Sanitation Programme. © UN-Habitat

Programme Funding for Phase III mobilized from the provincial Government of Kinshasa and the European Commission, is supporting on-going implementation of the programme through concrete actions on the ground.

In **Kenya**, a new slum upgrading e-participation tool was piloted in 2013 in Mtwapa by UN-Habitat in collaboration with the Ministry of Local government), the County Council of Kilifi, community representatives of Mtwapa informal settlements and Non-Governmental Organizations. The tool offers slum dwellers the opportunity to participate in upgrading plans, identifying priority interventions, and monitor and evaluate projects. Its application is expected to increase transparency and accountability of upgrading activities and enhance social inclusion. It is anticipated that the e-participation approach will be scaled-up to other PSUP participating countries over the next three years.

In **Afghanistan** and **Mongolia** housing programmes in partnership with the government, are implementing policies designed for upgrading of informal settlements. These programmes also included successful advancements and introduction of land allocation and readjustment measures. UN-Habitat played an interactive role at policy level in its settlements upgrading projects being implemented in Kabul, resulting in encouraging the Municipality to develop a Regularization and Readjustment Plan for formalizing informal settlements. In Ulaanbaatar city, (**Mongolia**) both national and local governments implemented the strategies, policies and guidelines developed through an upgrading programme of unserved areas implemented in 2009-2013. Implementation of the programme is continuing with upgrading investments with locally mobilized resources.

### Challenge

1. UN-Habitat institutional reforms have affected staff capacity to cope with associated challenges of heavy workloads

## Focus Area 4: Environmentally sound basic urban infrastructure and services

The strategic result of focus area 4 is “*Expanded access to environmentally sound basic urban infrastructure services with a special focus on the un-served and underserved population*”. The three expected accomplishments are: i) An enabling policy and institutional framework promotes expanded access to environmentally sound urban infrastructure and services; ii) Increased institutional efficiency and effectiveness in the provision of basic urban infrastructure services; and iii) Enhanced consumer demand for efficient and environmentally sustainable basic urban infrastructure and services (table 7).

Table 7: Progress on indicators of achievements for Focus Area 4

Expected Accomplishment	Indicator	Baseline 2009	Actual 2011	Actual 2012	Target 2013	Actual 2013
<b>EA 4.1:</b> An enabling policy and institutional framework promotes expanded access to environmentally sound urban infrastructure and services	i) No. of countries progressively adopting relevant policies to expand access to environmentally sound urban infrastructure and services	28	36	37	37	38
	ii) No. of institutions in target countries adopting mechanisms that expand access to environmentally sound urban infrastructure and services	81	126	131	120	136
	iii) Number of people in UN-Habitat targeted communities with access to environmentally sound basic urban infrastructure	825,000	1,280,000	1,581,800	2,000,000	2,064,000
<b>EA 4.2:</b> Increased institutional efficiency and effectiveness in the provision of basic urban infrastructure services	% of service providers (water & sanitation utilities) supported by UN-Habitat recovering at least 95% of maintenance costs of services	33%	50%	70%	80%	75%
	% of consumers of UN-Habitat partner service provider organizations reporting satisfaction with services provided	58%	65%	70%	90%	N/A
<b>EA 4.3:</b> Enhanced consumer demand for efficient and environmentally sustainable basic urban infrastructure and services	% of consumers ranking basic urban infrastructure services as the first three of their priority needs	N/A	80%	N/A	85%	N/A

This focus area addresses issues of basic urban services, including water and sanitation, waste management, transport and urban mobility and energy. This focus area also contributes towards achievement of the Millennium Development Goal 7, targets 10 and 11 on improving access to safe water and sanitation in human settlements with particular focus on the urban poor. UN-Habitat’s strategy for contributing to the achievement of the strategic result and the expected accomplishments is through capacity building of service providers and other stakehold-

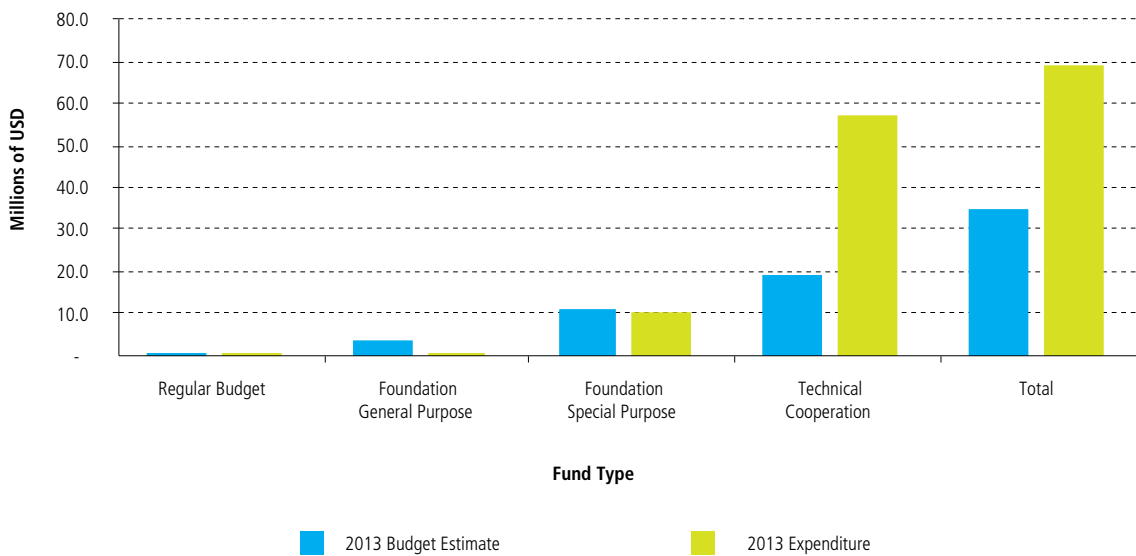
ers, provision of tools and guides, provision of technical assistance and demonstration projects. UN-Habitat and partners have been working at global, regional, national and community levels.

### Overall Assessment

Progress was made towards establishment of enabling policy and institutional frameworks that promote expanded access to environmentally sound urban infrastructure and services. There were improvements in institutional efficiency and effectiveness in the provision of basic urban infrastructure services as demonstrated by the increased number of poor people that have access to improved water and sanitation, for example, in the Mekong and Lake Victoria Regions. The capacities of many institutions were enhanced, which led to improved provision of urban basic services to the urban poor, for example, in the Lake Victoria Region where the capacity of 20 institutions and 50 community based organizations was strengthened. There is also improved awareness among the urban poor, more of whom are demanding better service from the providers. More than 70% of consumers interviewed expressed satisfaction with the services provided by partner provider institutions.

In 2013, the three indicator targets for expected accomplishment 4.1 (see table 6) were met and surpassed. This is explained by the fact that the first indicator target (indicator 4.1.i) had been set at a relatively low level while the second indicator target (indicator 4.1.ii) was surpassed due to increased demand for UN-Habitat support. Although progress was made towards the indicator targets for expected accomplishment 4.2 in table 6, the performance was 5% less than the target of 80% for the first indicator in 2013 and the actual value of the second indicator was not measured. There were also difficulties in measuring the actual values of the indicator for expected accomplishment 4.3, although evidence from the activities implemented indicates that progress was made.

Figure 7: Planned budget and expenditure for Focus Area 4



### Financial Assessment

The activities in this focus area are largely earmarked and this is reflected in the large variance between the budget of USD 34.5 million and expenditure of USD 69.2 million as shown in figure 7. The expenditure on urban basic services and infrastructure in post conflict and disaster areas is also reflected here although the substantive outputs and outcomes are detailed under the Enhanced Normative and Operational Framework.

### Box 3: Improved Policy and Legislative Reforms leads to improved access to urban basic services in Nepal

The Government of Nepal made progress in policy and legislative reforms that support delivery of basic urban services. UN-Habitat supported policy formulation which includes: a) National Solid Waste Management Guideline for municipalities, b) New Solid Waste Management Act, c) Urban Water and Sanitation policy, d) Urban Environmental Guidelines for Nepal, e) Rainwater Harvesting Guidelines and f) The Bagmati Action Plan. These policy documents contributed to leveraging of resources for new programmes implemented in the areas of solid waste management and water supply and sanitation and benefitted all residents of the 50 municipalities in Nepal.

UN-Habitat also supported the Government in developing a sector policy document for achieving the MDGs and universal access to sanitation. "The Sanitation and Hygiene Master Plan 2011" is a sector policy document guiding development and achievement of the 2015 MDG target and universal access to sanitation in the country by 2017. Implementation of the Master Plan is in progress and has contributed to the acceleration of sanitation coverage in the country. The Global Sanitation Fund Programme executed by the Government of Nepal, UN-Habitat and local partners, is implementing the Sanitation and Hygiene Master Plan. The Global Sanitation Fund programme alone supported over 400,000 people with improved access to sanitation over the past two years and over 60 Village Development Committees were declared 'Open Defecation Free'. Overall, over 1000 village development committees in the country declared as 'Open Defecation Free'.

### Expected Accomplishment 4.1: An enabling policy and institutional framework promotes expanded access to environmentally sound urban infrastructure and services

Progress was made towards the achievement of the planned result as demonstrated by the number of countries progressively reviewing or adopting relevant policies and strategies that aim to expand access to environmentally sound urban infrastructure and services. There are increases in the number of national policy reforms and institutional capacities leading to improved access to basic urban services as a result of support provided by UN-Habitat in line with GC Resolution 22/8 that requests UN-Habitat to support Governments, Local Authorities and Service Providers in improving on access to basic services for all. An external evaluation of the implementation of the MTSIP 2008-2013 conducted in 2012 concluded that the policy reforms and ongoing programmes in the water and sanitation sector improved access and increased affordable water and sanitation services coverage to low income groups at the municipal and community level and several countries.

By December 2013, the number of countries had reached 38, up from 37 in 2012 largely due to the technical assistance and institutional support in policy dialogue, sector reviews and demonstration projects undertaken by UN-Habitat in collaboration with key partners in the respective sectors. Table 6 shows the progress made towards achievement of indicator targets. By the end of 2013, 136 institutions had adopted progressive mechanisms aimed at expanding access to environmentally sound urban basic services up from 126 for 2012, thus exceeding the target by 13%. On the other hand, the number of people in UN-Habitat target communities with access to environmentally sound basic urban infrastructure increased from 1,581,800 in 2012 to 2,064,000 people by the end of 2013.

#### (i) Global Achievements

Improvements have been made in establishing an enabling environment for expanding access to urban basic services for the urban poor through utilization of UN-Habitat tools and technical assistance. UN-Habitat continued to advocate for the uptake of policy and institutional frameworks for urban infrastructure and services through global conferences, the development of and dissemination of guidelines and tools based on innovative pilot projects and capacity building of policy makers and technical staff working in urban basic services sector. In line with GC Resolution 24/2 on "Strengthening UN-Habitat's Work on Urban Basic Services", UN-Habitat took steps to revamp the Urban Basic Services Trust Fund and identified possible options for capitalization of the Trust Fund, including a fundraising strategy and partnership arrangements to catalyze pro-poor investments in urban basic services.

Through the Global Water Operators Partnership Alliance (GWOPA), UN-Habitat facilitated representatives of water and sanitation utilities to engage and make substantive contribution towards the Sustainable Development Goals (SDG) process. Members of the GWOPA provided inputs to the proposed target on water and sanitation by UN-Water through a position paper developed for the UN-Water Working Group on Sustainable Development Goals to be considered by the UN General Assembly in September 2014.

A number of water operators prepared and adopted plans using the Water Safety Plans approach promoted by the GWOPA. This achievement builds on water safety plans prepared and adopted by 10 African utilities to safeguard water services to millions of citizens and an additional nine (9) utilities were mentored by utilities and are in the process of preparing such plans. The Water Safety Plans approach was adopted in the curriculum of Ecole Nationale du Genie Rural des Eaux et des Forêts, Montpellier, France – a major international training centre for water utility managers. This follows Water Service Providers training conducted by the GWOPA in partnership with the World Health Organization, the International Water Association, and some champion utilities in Africa.



Construction of water drainage that is supported by UN-Habitat and ONE UN in Bugesera, Rwanda. © UN-Habitat /Julius Mwelu

UN-Habitat developed the “Land Raise” waste disposal method, an innovative technology on low cost waste disposal sites that targets secondary towns, particularly those on high water tables. The system was tested in three secondary towns in **Rwanda** under the Lake Victoria Water and Sanitation programme Phase II. A reconnaissance study supported by UN-Habitat was completed in South Africa and Mozambique and identified potential stakeholders, suitable towns and equipment manufacturing companies for the system trials.

## (ii) Regional Achievements

An enabling environment and institutional frameworks have improved in all the four regions where UN-Habitat is operating. In the **Asia-Pacific region**, improved provision of urban basic services was made possible through expanded application of the *people's process* and revised strategies for entry points and in planning for resilient settlements and services. UN-Habitat aligned its interventions with national priority programmes and policy making procedures, and continued to engage with and provide benefits to communities regardless of individual project periods. In the Mekong Region, more poor and vulnerable households now have improved water supply and sanitation coverage, improved in household hygiene practices and an improved urban environment. Over 300,000 people benefitted from improved water and sanitation (99,775 for improved water supply and 222,810 for improved sanitation) in Laos, Cambodia and Vietnam. The programme exceeded planned targets for total numbers of beneficiaries provided with access to water and improved sanitation and the planned targets for each. In addition, a water quality control and monitoring plan was prepared by each respective water utility for each project to ensure access to clean drinking water, especially for the poor households.

A ‘Policymakers Toolbox’ for the Rapid Assessment of Urban Mobility was developed based on the experiences from Asian Cities to support implementation of sustainable urban mobility solutions. The Rapid Assessment of Urban Mobility tool is designed to facilitate quick gathering of data to orient municipal stakeholders, including city mayors, municipal authorities and decision-makers on key mobility issues facing the poor in cities. This information is used to develop comprehensive, sustainable and cost-effective solutions to existing challenges. The tool was developed by Clean Air Asia and the Institute of Transportation and Development Policy in collaboration with UN-Habitat and launched in 2013.

In the Lake Victoria region, capacities of over 20 institutions and 50 community-based organizations were strengthened to promote expansion of basic urban services under the *Capacity Building Programme* of UN-Habitat. As a result, water and sanitation is now one of the key strategic priorities for the Commission of the East African Community which is now coordinating a number of water and sanitation projects in the region. The capacities of Municipal Councils and water service providers in 10 towns in 3 countries were strengthened in governance and pro-poor service delivery, enabling them to expand access to basic service.

The Lake Victoria Basin *Capacity Building Programme* has been scaled up and is being replicated in 15 additional towns in 5 countries with support from the African Development Bank. Additional institutions such as the Lake Victoria Basin Commission of the East African Community, Municipal Councils and water service providers take part in the programme. Given the concrete results achieved, UN-Habitat is supporting preliminary activities on a similar programme around Lake Tanganyika, with funding by the European Commission. This followed a request by the Community for Eastern and Southern Africa.

Over 18,000 school-going age children in East Africa have access to safe water, improved sanitation as well as improved hygiene awareness as a result of the UN-Habitat co-financed *Rain water for schools project in East Africa* with the Coca-Cola Africa Foundation. The project constructed 40 Sanitation facilities, 40 rain water harvesting tanks and hand washing facilities coupled with hygiene education training, in 20 schools in Kenya Uganda and Tanzania. Policies and plans relating to transport in three capital cities - Addis Ababa (**Ethiopia**), Nairobi (**Kenya**), and Kampala (**Uganda**) were reviewed resulting in practical recommendations for implementation. In Nairobi, the County Government has given greater priority to planning for Bus Rapid Transit systems. This is an outcome of UN-Habitat’s on-going Global Environment Facility initiative on “*Sustainable Transport Solutions for East African Cities*”, In Addis Ababa the preliminary assessment for a Bus Rapid Transit (BRT) corridor had been prepared and submitted for approval as at the end of 2013.

A growing number of countries are recognizing the importance of energy efficiency legislation as a result of UN-Habitat’s advocacy work. Eight African countries signed a declaration calling for a regional energy efficiency building code to be developed by the East African governments. This declaration was reached at a regional conference under the theme “*Promoting Energy Efficiency in Building in East Africa*”, organized by UN-Habitat. Following the conference **Kenya** and **Uganda** have incorporated some of the recommendations into their Building Codes draft documents that are under review. Participants included representatives of governments of West Africa. The catalytic effect of this project is that **Cameroon, Nigeria** and **Senegal** have started the process of reviewing their building policies and legislations to integrate energy efficiency measures

### (iii) Country Achievements

Progress has been made in expanding access to basic urban services for poor people in many countries in Africa and South Asia, including water, sanitation and energy. This was done in collaboration with a number of partners that range from governments, local authorities and the private sector. In **Rwanda**, the Government capacity and financial models to revise water tariffs for all urban centers were strengthened and the Government is able to revise its tariffs for the first time in a decade. This follows a technical support provided by UN-Habitat for review of water tariffs conducted in eight urban centers. A draft report with various tariff options and recommendations was submitted to the Government for review and approval. The new water tariffs if implemented would ensure that the poor living in urban centers have access to affordable water.

In **Tanzania**, the findings of the sanitation scoping study undertaken by UN-Habitat for Zanzibar and endorsed by stakeholders in September 2013 recommended the transfer of sewerage services from Zanzibar Municipal Council to the Zanzibar Water Authority. Based on the Government decision, **UN-Habitat will support the review of policies and legislations of the two institutions** in line with their revised mandates.

In addition, the water policy for Zanzibar is being reviewed to consider rainwater harvesting as a complimentary source of water for urban domestic use. Following a successful demonstration of rain water harvesting in ten schools, health centres, mosques and market places in Zanzibar, UN-Habitat will carry out the process in collaboration with the Zanzibar Water Authority and other sector stakeholders. The policy review is a function of UN-Habitat's successful demonstration of the benefits of rainwater harvesting in 10 schools. In **Tanzania**, the Muleba Water Supply Project inaugurated in August 2013 is benefitting 10,000 residents providing a steady supply of safe drinking to the residents of Muleba who, in the past, were forced to rely on polluted sources of water. This project is part of the Lake Victoria Water and Sanitation Initiative Phase I implemented by UN-Habitat in collaboration with local actors.

In **Pakistan**, UN-Habitat supported policy reforms mainly at the provincial level through three main initiatives; the '*Pakistan Approach to Total Sanitation*' which guided water and sanitation sector policy; the '*Energy Efficient Housing Improvement*' which installed slab roofs with better thermal performance, and the '*Integrated Resource Recovery Center*' provided sustainable models for solid waste management. The Pakistan Water Operators Partnership facilitated implementation of pro-poor tariff policies and production of a broad range of knowledge products and best practice guides Utilities, and is now committed to providing services within the reach of unserved people. A Citizen Liaison Cell' model integrated into the business plan bridged the communication gap between poor communities and the utilities. In **Pakistan**, UN-Habitat supported 10 large urban water and sanitation utilities through Pakistan Water Operators Partnership initiative, and progress was made towards developing and implementing energy efficient housing strategies.

The National Housing Cooperation of Tanzania and the Kigali one stop center for building permits have integrated green building concepts in their design as a measure to reduce energy demand following training provided by UN Habitat to building stakeholders on green building design in East Africa. UN-Habitat's partnership with the private sector has contributed to increased access to water and sanitation especially to schools and poor communities. A similar partnership has also been successful in **India**. Over 44,000 students, including more than 17,000 girls in 63 schools in 8 states in **India** (Andhra Pradesh, Haryana, Gujarat, Himachal Pradesh, Karnataka, Madhya Pradesh and West Bengal) have benefited from improved access to water and sanitation in schools through a nationwide public service initiative, '*Support My School*' initiative. About 17,000 toilets have been constructed through a joint initiative of UN-Habitat and Coca-Cola India Pvt Ltd, in association with NDTV (a leading news channel) and Charities Aid Foundation. In addition, about 8,000 students from 25 Schools in Mangalore (**India**), of whom more than 2,600 are girls, benefitted from UN-Habitat's BSF-supported Water and Sanitation Education Project. A total of 40 sanitation facilities, 40 rain water harvesting tanks and hand washing facilities have been established together with hygiene education training.

In **Tanzania**, the capacity of the Dar es Salaam Water and Sewerage Authority to identify and plan projects according to the priority of the communities and implement the activities within the planned time frame has been strengthened. This has been achieved through the application of a strategy that has been piloted in Kipunguni B community in Dar es Salaam. Up to 10,500 people have access to water and sanitation services under the Community-School Integrated WASH Project implemented by the Dar es Salaam Water and Sewerage Authority with UN-Habitat technical support.

In the same vein, the capacity of the Dar es Salaam Water and Sewerage Authority to collect, organize and analyze relevant data on community boreholes has been enhanced following the technical support provided by UN-Habitat in the area of groundwater monitoring. The initiative facilitated knowledge sharing through workshops that involved sector professionals from various institutions of the country including high learning institutions/universities. A similar programme of groundwater quality monitoring has commenced in Zanzibar. The capacity to implement Water Demand Management Strategy in Pemba/Tumbe in **Tanzania** and for achieving the general objective of reducing the non-revenue water has strengthened. Using the Pemba/Tumbe experience, the same programme was replicated in Nungwi town. The Zanzibar Water Authority implemented rainwater harvesting in 10 schools both in Unguja and Pemba islands. A total of 16,026 students (8,129 girls and 7,897 boys) and 587 teachers (507 female and 80 male) are benefiting from the programme.



In **South Sudan**, technical assistance is being provided to five state Governments to strengthen the institutional mechanisms to expand service delivery. As a result, over 40,000 persons in Yirol and Turallei towns have access to safe drinking water through a UN-Habitat project funded by the United Nations Mission in South Sudan. The project is an early recovery intervention that bridges individual humanitarian WASH projects and comprehensive, long-term infrastructure development. Building on the experience already gained, the programme was expanded to two more towns, Akobo and Pibor.

## Expected accomplishment 4.2: Increased institutional efficiency and effectiveness in the provision of basic urban infrastructure services

There were satisfactory improvements in institutional efficiency and effectiveness in the provision of basic urban infrastructure in 2013. Although no customer satisfaction survey was conducted in 2013, interviews and consultations with key stakeholders confirmed this. The percentage of service providers (water and sanitation utilities) recovering at least 95 per cent of operation and maintenance costs of services has increased from 70 per cent in 2012 to 75 per cent in 2013, an increment of 5 per cent. Although the progress made on the indicator is below the target of 80 per cent for 2013, it is still commendable given that it started at 33 per cent in 2009. The sustained increase in the level of achievement against the targets set for the indicators for this result area between 2009 and 2013 attest to the positive contribution that UN-Habitat has made to the effectiveness and efficiency of institutions responsible for providing basic urban infrastructure services.

### (i) Global Achievements

UN-Habitat continued to work with service providers in respective partner cities and municipalities to improve institutional efficiency and effectiveness of water and sanitation utilities within the respective programmes.

UN-Habitat and the GWOPA continued to share best practices with water operators and other UN-Habitat partners in various high level international events. The capacity of the GWOPA to strengthen the institutional efficiency and effectiveness of its members has increased. The membership of this global network of service providers continued to expand during the reporting period. At the end of 2013 more than 2700 members, up from 2300 members in 2012 from all over the world subscribed to its e-Newsletter.

As part of the development of management toolkits for water operators, the GWOPA developed and tested a manual that supports mapping of the differentials of water services at the neighborhood level in cities and to show how socio-economic differences translate into inequitable access to available water. At least six countries and some development partners have expressed interest in the use of the tool for socio-economic and infrastructure mapping and analysis for integrated urban planning. A five-year research and outreach initiative, “*Boosting Effectiveness in Water Operators Partnerships*”, was launched in 2013 and supports strengthening of knowledge transfer and change processes in Water Operators Partnerships, in order to maximize the potential for operational improvements of water operators. The initiative is jointly implemented by UNESCO and the Global Water Operators Partnerships Alliance with funding from the Dutch Government.

### (ii) Regional achievements

Progress was made at regional level in improving institutional efficiency and effectiveness in 2013. Under the Mekong Water and Sanitation programme, a cost-effective model which includes community participation was developed and is being used in partner countries (**Lao People’s Democratic Republic, Cambodia, and Vietnam**). Two towns, Xieun Ngeun and Sayabouly in Laos have recovered 100% of operational and maintenance costs. Eighteen additional partner towns are expected to achieve similar levels of cost recovery over the next 1-2 years.

UN-Habitat projects in the Mekong Region have demonstrated lower capital costs per capita, as a result of a programme with good cost efficiency compared to similar projects in urban areas. The completed cost for the Astapanthong water supply in Lao PDR was USD 86.76 per capita (Total Investment: Water treatment plant and pipe network USD 437,263 benefiting 5,040 people). The costs include leveraged in-kind and cash contribution from partners and communities enabling the Mekong Water and Sanitation programme to be more cost efficient. The programme uses procurement procedures established as national standards, comparable with programmes conducted by other important players such as Phnom Penh Water Supply Authority (Cambodia) and the Asia Development Bank in Vietnam and Lao PDR.

The capacity for learning and knowledge sharing by urban basic services utilities in the Asia Pacific region has increased through the creation of new networks. A new network for Central Asian utilities was established that will provide platform for capacity building of utilities aimed at making them more efficient and effective. In addition, a pilot Water Operators Partnership on Climate Change between Sri Lanka and Australian utilities in cooperation with the WaterLinks and Cities for Climate Initiative of UN-Habitat was established.

Under the Lake Victoria Water and Sanitation programme, the establishment of multi-stake holder forums in the 10 pilot towns provided a platform for stakeholders to raise awareness on the importance of basic urban services in poverty alleviation and local economic development. The completion of an integrated programme of physical infrastructure improvements and capacity-building for water utilities and municipalities in the 10 towns has resulted in an improvement in the reliability and quality of the water supply, sanitation and solid waste management services. The capacity-building programme incorporated specific training modules in customer care that also helped the service providers to establish and maintain operational systems and activities aimed at enhancing customer satisfaction.

A recent assessment of the impact of the capacity building programme for water utilities showed that five out of the eight utilities supported by UN-Habitat under the Lake Victoria Water and Sanitation programme are achieving over 95% cost recovery. During the reporting period, the Siaya Bondo Water and Sewerage Company joined four previously reported utilities (South Nyanza Water and Sewerage Company, Gusii Water and Sewerage Company, Bukoba Urban Water and Sewerage Authority, and the Muleba Urban Water and Sewerage Authority) that are achieving over 95% cost recovery.

### (iii) Country Achievements

**In Nepal**, the graded tariff system applied in community-managed water supply systems has helped to build affordable services to poor households. In 15 water users and sanitation committees of the *Small Town Water Supply and Sanitation Sector Project*, the installment based payment system for the water supply connection has been applied specifically for the poor households to ease the payment in an affordable manner, ensuring the access of services to all. Similarly, 10 municipalities that are local service provider have institutionalized pro-poor governance by allocating resources for access of water and sanitation to poor, reflecting it in their respective annual budget.

## Expected Accomplishment 4.3: Enhanced consumer demand for efficient and environmentally sustainable basic urban infrastructure and services

Data collection on the percentage of consumers ranking basic urban infrastructure services as the first three of their priority needs proved very challenging. However, UN-Habitat continued to promote consumer demand for efficient and environmentally sustainable basic urban infrastructure and services through its programmes with some positive changes.

### (i) Global Achievements

Consumer awareness and knowledge of their rights to basic urban infrastructure services in partner cities is increasing, and is partly attributable to the different interventions by UN-Habitat and its partners. The global online monitoring system, *Monitoring Services to Inform and Empower Platform*, contributed to reduced costs for monitoring and improved the quality and quantity of data collected. New datasets are available through the UN-Habitat website which has been improved and is more user friendly, thus enabling higher levels of interactions with partners and users.

In the Mekong region (**Laos, Cambodia and Vietnam**), human Values-based Water, Sanitation and Hygiene Education has been established as an important tool to generate positive behavioral change. Water classrooms have been constructed in all the Mekong countries, thus facilitating serious participation of schoolchildren and local communities.

In Africa, requests were received from partner countries (**Rwanda, Uganda and Kenya**) for capacity building for architects and engineers on energy efficiency in buildings following two UN-Habitat training on green building design for building practitioners. This is indicative of the countries' awareness of the need for efficient and sustainable urban basic services.

## (ii) Regional/Country Achievements

There have been improvements at regional and country levels. There was a reduction in water consumption in public buildings while revenue increased for the water companies through the implementation of the Water Demand Management strategies developed under the Water for African Cities Programme of UN-Habitat. In **Senegal**, the Water Demand Management interventions implemented in Dakar have contributed to reductions in water bills in public buildings and enabled the Government to pay its outstanding debt to the water company. In **Burkina Faso**, the intervention has led to a saving of 35 per cent on water consumption in five pilot areas of Ouagadougou since February 2012.

In **Ecuador**, the water and sanitation programme supported by UN-Habitat empowered women and men to be more conscientious with their demands and protect the environment and water resources. The local communities also developed and reached a consensus on the user fees to be charged. In **Mexico**, Congress endorsed the concept of the right to water proposed through 'The right to water' regional document produced by UN-Habitat in partnership with the Inter-American Development Bank. The document was officially distributed to relevant stakeholders in Mexico and continues to awareness on the subject of the right to water as a basic service.

In **Bangladesh**, the average walking time to a water point has decreased from 11 minutes to 3 minutes and to a latrine from 10 minutes to 2 minutes. 96% of the respondents have reported that the increased privacy by construction of latrines has reduced the incidents of verbal and physical harassment from 45% to 8%. With the improvement of drainage, incidence of waterlogging has decreased from 87% to 11%. While less than 8% of the households were accessible by rickshaw before the construction of footpaths, now 62% of households are accessible. These achievements have been possible thanks to technical advisory and capacity building support in community mobilization, design and management of the community service infrastructure and service management training provided through the Urban Partnerships for Poverty Reduction programme.

## Challenges

1. The Delivering as One UN approach is commendable but UN-Habitat is challenged by the high demands from country programming through the United Nations Development Assistance Frameworks process due to inadequate resources.

## Lessons learned

1. There was inadequate reflection on the cost implications of data collection to measure two of the indicators when these were selected in 2009. In future, it is essential to consider how practical an indicator is, especially with regards the cost of collecting the data required for effective measurement.

## Focus Area 5: Strengthened Human Settlements Finance Systems

The strategic result for focus area 5 is 'Increased sustainable financing for affordable and social housing and infrastructure' and the two expected accomplishments are: (i) financing raised for and increases recorded in affordable and social housing stock and related infrastructure; and (ii) increase in activities in municipal finance and affordable housing finance.

To contribute to the achievement of the strategic result and the expected accomplishments, UN-Habitat established two key programmes that were intended to increase affordable and sustainable financing for housing and urban infrastructure for the urban poor who could not access finance from the traditional sources. The two programs are the Experimental Reimbursable Seeding Operations (ERSO), a four year revolving loan fund programme designed in 2010 in response to the UN-Habitat GC resolution 21/10, and ii) the Slum Upgrading Facility (SUF), a grant giving programme that started in 2004.

UN-Habitat initiated and has been supporting five ERSO projects in **Nicaragua, Uganda, Nepal, occupied Palestinian territories and Tanzania**. The operational activities of ERSO were discontinued in 2011, in line with Governing Council Resolution 23/10 but repayment term for three ERSO projects in Nicaragua, Uganda and the **occupied Palestinian territories** will continue until 2020, 2025 and 2030, respectively. The Slum Upgrading Facility projects provided funds to poor households for improving their houses and sanitation and developing neighborhood infrastructure in **Ghana, Indonesia, Sri Lanka and Tanzania**.

### Overall Assessment

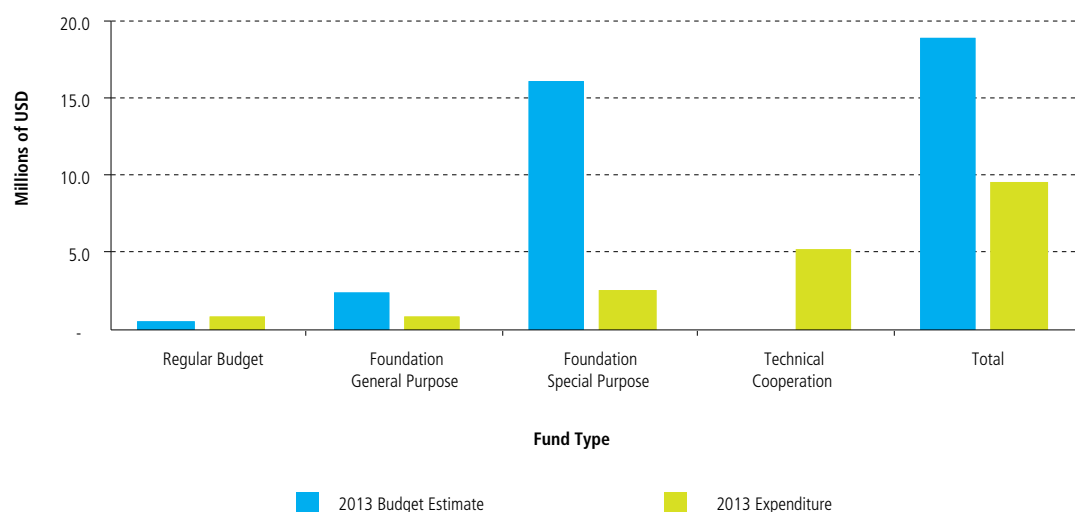
No meaningful progress was made towards achievement of the two expected accomplishments in 2013 as indicated in table 8. The ERSO initiatives which were expected to be the vehicles for financial leveraging for municipalities and in housing finance did not expand or scale-up after the end of the pilot phase in 2011 as they were discontinued in 2011, in line with Governing Council resolution 23/10. In line with the recommendations and management response to the evaluation on MTSIP in 2012-13, municipal and urban finance and local economic development are fully embedded in the 2014-19 Strategic Plan.

Table 8: Progress on indicators of achievement for Focus Area 5

Strategic Result:							
Expected Accomplishment	Indicator	Baseline 2009	Target 2011	Actual 2011	Actual 2012	Target 2013	Actual 2013
EA 5.1: Increased investment in affordable and social housing stock and related infrastructure	a) Value of commercial loans, government subsidies, and donor grants made available for projects affordable housing, upgrading, and basic infrastructure in targeted countries and communities	1.84m	114.4m	N/A	N/A	202.6m	N/A
	b) Percentage housing loans by domestic banks and micro-finance institutions going to lower –income deciles and/or people with informal incomes	N/A	5%	N/A	N/A	10%	N/A
EA 5.2: Increase in activities in municipal finance and affordable housing finance	a) Funding raised and leveraged for municipal finance for affordable housing and basic infrastructure	0	6.8m	3.7m			N/A

No progress was made towards achievement of the expected accomplishment. However there has been progress and some achievements at the level of the on going ERSO and SUF projects, and these are highlighted below. Two local finance facilities in Ghana contributed to economic development through the completion of residential units and commercial units benefitting local residents who now have access to sanitation facilities. The Government of Ghana has found the SUF model suitable for replication. At least in two cases, SUF projects have motivated local governments to provide land to borrowers at subsidized rates with security of tenure. Technical backstopping and follow-up to Slum Upgrading Facility projects will end in June 2014, in accordance with the agreements of cooperation between UN-Habitat and the grant recipients.

Figure 8: Planned budget and expenditure for Focus Area 5



## Financial Assessment

The expenditure of USD9.6 million against an initial budget of USD19.0 million is a reflection of the discontinuation of activities under the Experimental Reimbursable Seeding Operations (ERSO) following a decision of the Governing Council in 2011 as shown in figure 8. Nevertheless, the organization is making special efforts to strengthen the area of Urban Economy and in particular municipal finance, which are expected to yield results in the coming biennia.

### Expected Accomplishment 5.1: Increased investment in affordable and social housing stock and related infrastructure

#### (i) Global/ regional achievement

##### Experimental Reimbursable Seeding Operations Programme

The Experimental Reimbursable Seeding Operations Programme was designed and implemented in response to the UN-Habitat GC resolution 21/10, to increase sustainable financing for affordable and social housing and infrastructure during a four-year experimental pilot period, 2007-2011. The overall objectives of the ERSO programme were (a) to field-test experimental and reimbursable seeding operations and other innovative operations for financing the urban poor housing, infrastructure development and upgrading through community groups, including where there is an expectation of repayments mobilizing capital at the local level, and (b) to strengthen the capacity of local financial and development actors to carry out those operations and to support the capacity of UN-Habitat to enhance those operations. The programme was complementary to the Slum Upgrading Facility Programme and other innovative financial mechanisms like the Water and Sanitation Trust Fund.

Under the Experimental Reimbursable Seeding Operation (ERSO), UN-Habitat lent a total of USD2.75 million to five institutions: Fundacion Para la Promocion de Desarrollo Local (PRODEL) in **Nicaragua**, Affordable Mortgage And Loan Company in the **occupied Palestinian territories**, Azania Bank Limited in **Tanzania**, Habitat for Humanity International **Nepal** and Development Finance Company of Uganda Bank Limited in **Uganda**. The loan repayment is on schedule.

A total of USD500000 lent to Programa de **Desarrollo** Local project in **Nicaragua** was used for financing infrastructure development, secondary lending to local microfinance institutions and housing loans to 16 small and medium-sized regional cities in Nicaragua. Housing loans were provided to families that earn USD150-200 per month. The project also helped local authorities mobilize USD3 million for two programmes, an incremental housing improvement loans programme and a municipal infrastructure improvements programme. The incremental housing loans programme lent money to over 3,000 families for improving their houses. Eleven infrastructure improvement projects were financed and successfully completed under the municipal infrastructure improvements programme. Services provided under this programme include street paving, building new pavements and new sewerage systems, and street lighting. Over 5,200 families benefitted from the project. PRODEL is now negotiating a loan of USD8 million from the Inter-American Development Bank to expand the Municipal Finance programme in Nicaragua.

UN-Habitat lent USD25000 to Habitat for Humanity International **Nepal**. The target population was families that earn USD2-3 per day. The funds were used to provide housing microfinance loans to over 962 poor families in 15 urban and peri-urban locations in Nepal. About 673 new houses were built and 289 existing houses were improved. About 5,000 individuals in 962 families benefited from the project. A striking feature of the project is that 97 per cent of new and improved houses are owned by women.

#### Results achieved under Slum Upgrading Facility (SUF)

Two Local Finance Facilities were set up in **Ghana** with financial support from SUF. One is Tema/Ashairman Metropolitan Slum Upgrading Fund (TAMSUF) and the other is Sekondi Takoradi Metropolitan Assembly Citywide Slum Upgrading Fund (STMA-CSUF). In the Tema/Ashairman Metropolitan Slum Upgrading Fund project, a new apartment building with 31 residential units, 15 commercial units for shops and a public toilet and bath facility were built in the Amui Djor slum area in Ashairman. Residential and commercial units are fully occupied and about 600-700 local residents use the toilet and bath facilities every day. Commercial unit rental and toilet facility royalties provide income to the Tema/Ashairman Metropolitan Slum Upgrading Fund. TAMSUF is planning to build a new mixed use building with 72 residential units and 20 commercial units next to Amui Djor Building.

In the Sekondi Takoradi Metropolitan Assembly Citywide Slum Upgrading Fund project, 60 new market stalls were built and leased to members of Kojokrom Market Women Association. The project provided a five-year guarantee to Bank of Africa for obtaining a loan for this project. The loans are being repaid with no defaults. Under the project, a 16-seater toilet facility was also built in Effiakuma with aim to improving sanitation conditions in this densely populated slum area. Sekondi Takoradi Metropolitan Assembly guaranteed loan for the construction of this facility as well.

Two local finance facilities were set up in **Indonesia** with financial assistance from the Slum Upgrading Facility – Solo BLUD and Yogyakarta KotaKITA. The Solo BLUD local finance facility was established in Solo to provide credit enhancement and technical support to develop bankable, low-income housing or slum upgrading projects that are able to secure commercial loans. Both local finance facilities financed housing upgrading and water provision projects. They also provided technical assistance to slum communities. Under the project, 56 new housing units were built while 239 housing units were upgraded. A total of 560 families benefitted from the project.

In **Sri Lanka** the Slum Upgrading Facility helped set up a local finance facility called The Lanka Financial Services for Underserved Settlements (LFSUS). The Lanka Financial Services for Underserved Settlements received technical support from UN-Habitat and is currently undergoing organizational reform to support implementation of a sustainable business model for the local finance facility. One project was completed while nine other projects are in progress. The Lanka Financial Services for Underserved Settlements has so far provided guarantees to facilitate loans from banks for the construction of four new houses and the upgrading of 130 houses. Thirty new houses are being built and 594 houses are being upgraded.

In **Tanzania**, a local finance facility called Tanzania Financial Services for Underserved Settlements (TAFSUS) was set up in 2004 under the Slum Upgrading Facility. TAFSUS received technical support from UN-Habitat for developing a viable business plan for the project. The TAFSUS currently has 4 small-scale projects, which focus on housing improvements and improving access to water and sanitation.

### Expected Accomplishment 5.2: Increase in activities in municipal finance and affordable housing finance

No meaningful progress was made at the expected accomplishment level. The ERSO and SUF initiatives which were expected to be the vehicles for financial leveraging for municipalities and in housing finance did not expand or scale-up after the end of the pilot phase in 2011. Nonetheless the projects which received loans under the ERSO programme and financial support under the SUF programme are continuing to implement their activities, and in some cases good progress has been made as highlighted in the previous section. Limited backstopping and gate keeping of the repayment of loans has continued through the Urban Economy Branch.

In line with the recommendations and management response to evaluation on MTSIP, in 2012-13 municipal and urban finance and local economic development are fully embedded in the 2014-19 Strategic Plan. During the last biennium of the MTSIP period, the Urban Economy Branch which was given the responsibilities to develop this focus area, has provided limited but essential backstopping and gate keeping of the existing ERSO and SUF projects to ensure their implementation and repayment of the ERSO loans (which is on schedule) while at the same time has begun formulating and implementing new municipal finance and urban economy initiatives.

At the normative level, the UN-Habitat used the dialogue for 24th session of the Governing Council meeting in April 2013 as an opportunity to sound out and articulate priority sub themes and strategies for the focus area. The theme paper which was prepared by the Urban Economy Branch, with inputs from a number of other branches, identified economics of urban form, local economic development, youth and women economic empowerment and land based financing as the priority themes. The resolutions of the GC on the special theme affirmed these as priorities and urged UN-Habitat to develop knowledge products, and to provide technical support, including through training and capacity building, to cities, local and national governments. These elements are fully reflected in 2014-15 work programme of the sub programme. The branch, jointly with the Gender Unit and Huairou Commission, has during the biennium, organized an Expert Group Meeting for a deeper discussion on economic barriers facing women, and good practice and strategies that can address these barriers. The results have fed into the sixth session of the WUF dialogue on urban economy which was coordinated by the branch.

In 2013 two major tools development initiatives have been started: one, a set of tools on land based financing, case studies and a training package which is expected to be completed and piloted in 2014; and two, a set of spatial economic analysis tools that allow to assess the economic impact of different planning scenarios. Furthermore, in 2013, a framework to apply municipal credit rating tools in five municipalities in Jordan has been agreed with the government of Jordan, and work has started in 2014. The purpose is to help municipalities develop well calibrated business plan and road map to improve their financial health and address their weakness areas. If the pilot succeeds, the tools will be applied in other countries and regions with the necessary adaptation and contextualization.

At operational level, economic and financial impact assessment and financing plan has now become a requisite element of all city extension planning activities and urban redevelopment projects. Through the Urban Economy Branch, UN-Habitat has provided technical advice to eight cities in Colombia, Mozambique, Philippines and Rwanda. Technical advice focused on identifying and assessing local economic development drivers, analyzing clusters, formulating effective and inclusive local economic development plans, and providing methodology to support economic and financial impact analysis of city extension plan projects. The branch has also undertaken local revenue situation assessment and proposed revenue enhancement strategies for Kisumu, Kenya in the context of waterfront development, and for Nacala and Nampula, Mozambique in the context of city strategic plans. During the biennium new local economic development and municipal finance projects were acquired in Ethiopia, Kenya and Nigeria.

Finally, during the biennium, the branch has fostered various partnerships with: i), the Women in Informal Employment: Globalizing and Organizing, action research policy network that covers universities, informal economy networks, researchers, practitioners and activists for collaboration on research and tools development on informal economy. Two joint research and tools development proposals have been submitted); ii) International Labour Organization, to promote job creation using urban infrastructure and construction sectors as entry points and; iii) METROPOLIS, a leading international organization that gathers cities and metropolitan regions with more than a million inhabitants, on endogenous approaches to finance urban development.

## Challenges

1. UN-Habitat is reflecting on how to continue supporting ERSO projects that received loans and are paying back efficiently, when there are limited resources to monitor and support them as necessary. Meanwhile, implementing partners of ERSO projects continue to send reports every six months, but there is inadequate resources to undertake periodic field supervision missions.

## Lessons learned

1. In a number of cases the Local Financing Facilities are newly established institutions and do require long term technical and financial support. In the absence of guaranteed long term support, there should be a robust risk mitigation strategy in place when establishing such institutions.
2. A thorough regulatory and institutional review and strategy to address issues that might arise later in operation is important to ensure smooth functioning of local financing facilities and implementation of innovative programmes such as ERSO.
3. UN-Habitat embarked on ERSO programme without sufficient level of banking expertise on board that could effectively support the projects dealing with financing of urban development and housing. To lessen the administrative burden when operating loan programme activities, the UN-Habitat Secretariat should have conducted a feasibility study on how to fit in a lending programme into a grant-giving institution.

## Focus Area 6: Excellence in Management

The strategic result for Focus Area 6 is “UN-Habitat delivers MTSIP planned results effectively and efficiently” and its four expected accomplishments are: (i) staff are empowered to achieve planned results; (ii) the institution is aligned to deliver MTSIP results, (iii) Results Based Management principles applied, and (iv) financial resources to deliver MTSIP results available. UN-Habitat

## Overall Assessment

During the period under review, UN-Habitat made satisfactory progress towards the achievement of most of the planned results for Focus Area 6. Satisfactory progress was made towards alignment of staff skills with their jobs and empowering staff through intensive capacity building and provision of necessary tools and systems as shown in table 9. Progress was also made in strengthening application and institutionalization of results-based management principles in the organization.

Satisfactory progress was made on the restructuring of the organization with the organization now fully aligned for effective delivery of planned results. What is left is the endorsement of the Secretary General’s Bulletin , and subsequent review of some staff positions affected by the restructuring. Improvements were made towards information and knowledge sharing through upgrading of relevant tools and processes, but it is not possible to determine staff opinion on this as a staff survey was not undertaken in 2013. Anecdotal evidence indicates that there were improvements, but it is not likely that the target was achieved, given the score of 2012. This will be verified by an end of MTSIP evaluation. The time spent completing business processes was considerably reduced through improved and new systems and tools, such as the PAAS which have reduced data entry down to one instead of multiple times in different systems.

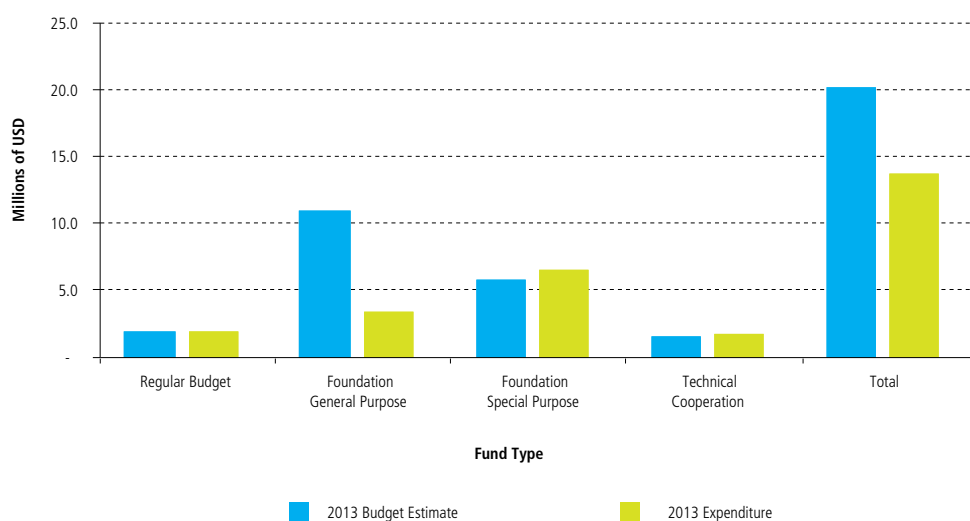


The level of non-earmarked resources declined and UN-Habitat was not able to meet its resource mobilization target. Thus although UN-Habitat made commendable progress towards establishing an enabling environment for the achievement of MTSIP planned results, the declining levels of non-earmarked resources negatively affected the agency's capacity to effectively deliver all the results. The traffic light chart shows that most targets were met as highlighted in table 8 except the one on non-earmarked funding. It is evident from UN-Habitat's non-earmarked funds declined sharply in 2013.

Table 9: Progress towards indicator achievement for Focus Area 6

Strategic Result		UN-Habitat delivers MTSIP planned results effectively and efficiently					
Expected Accomplishment	Indicator of achievement	Baseline 2009	Target 2011	Actual 2011	Actual 2012	Target 2013	Actual 2013
EA 1: Staff are empowered to achieve planned results	(i) % of staff whose skills set are aligned with their MTSIP compliant job description	60%	100%	99%	99	100%	99
	(ii) % of staff reporting improved information and knowledge sharing (scale on 1-5, where 5 is the highest)	2.5	2.6	N/A	2.55	4	No survey conducted in 2013
	(iii) Reduction in time spent compiling selected business processes complying with rules and quality standards (days)						
	Average time Project Review Committee/ Project Advisory Group review (days)	9	8	8	8	8	8
	Average time for information communications technology procurement (days)	67	40	21	17	35	19.6
	Average time for approval of cooperation agreements	11.6	10	8	8	8	6
	Average selection time on UN-Habitat recruitments	274	150	170	150	130	109
EA 2: Institution aligned to deliver MTSIP results	(i) % of staff reporting increased horizontal collaboration (inter-divisional, inter-focus area)	2.5	2.7	N/A	2.56	4	No survey conducted in 2013
	(ii) Number of key restructuring decisions implemented as recommended by the organizational review	N/A	100%	50%	86%	100%	95%
EA 3: RBM principles applied	(i) % of programmes and projects that are contributing to focus area results	95%	98%	98%	100%	100%	100%
	(ii) Willingness to be held accountable for MTSIP results (1-5 scale, where 5 is the highest1)	2.8	2.9	N/A	2.9	3.0	No survey conducted in 2013
EA 4: Financial resources to deliver MTSIP results available	(i) Degree to which resource targets for non-earmarked funding are met						
	Non earmarked	19.1m	27.8m	16.9m	9.2m	20m	6m
	Earmarked	99.5m	126.0m	182.3m	136.3	143.1m	166.8m
	(ii) % of Non-earmarked and earmarked resources allocated to MTSIP focus areas						
	Non earmarked	80	100	100	100	100	100
Earmarked	61	74	100	100	100	100	

Figure 9: Planned budget and expenditure for Focus Area 6



## Financial Assessment

The expenditure on Focus Area 6 activities amounted to USD13.7 million compared to a budget of USD20.3 million as shown in figure 9. This shortfall is due to a reduction in contributions to the Foundation General Purpose fund which is the main source of income for this area. Nevertheless, earmarked contributions, mainly from Norway and Sweden, enabled the organization to complete the organizational review and reforms aimed at improving efficiency, productivity, accountability and transparency. Expected Accomplishment 6.1: Staff is empowered to achieve planned results.

### i) The proportion of staff whose skills are aligned to their jobs

The proportion of staff whose skills are aligned to their jobs remained at 99 per cent as of December 2013 against a target of 100%. This is accounted for with staff movement in and out of the organization. All new recruitments are based on job descriptions with required skills and competencies for the new thematic areas and roles and responsibilities of the organizational structure.

The skills inventory tool developed in 2010 was reviewed in 2013 to further improve its utility value and facilitate comprehensive alignment of staff skill with the new organizational structure and thematic areas. Changes made to the tool include a feature for staff to upload and update their personal history profiles, as well as a field for staff to type a summary of their expertise. An additional comprehensive review and update exercise will be undertaken in 2014 to ensure the database is current and user friendly.

During the period under review, staff continued to be empowered through training for skill development in a wide range of areas. The priority training needs and relevant modules for on-the job short term courses for 2013 were implemented as per the training and capacity development plan for 2012-2013. A priority area for skills development for 2013 was in practical application of systems and tools for financial and human resources management as well as results based management. Skills and competencies in these areas are critical for improving accountability, effectiveness and efficiency of the organization in line with the reforms. A total of 150 staff were trained in 2013 in the following wide range of skills: i) financial tools (IMIS); ii) budgeting and financial management; iii) UN Rules and Regulations (financial and human resources); iv) Procurement; v) International Public Sector Accounting Standards (IPSAS); vi) Enterprise Resource Planning (ERP) System (Umoja); vii) Results based management and; viii) Project/Programme Management.



UN-Habitat Senior Management Programming workshop, Nairobi, Kenya. © *UN-Habitat*

In 2013, about 280 staff at Headquarters and out-posted offices had their capacities strengthened in the use of the Project Accrual and Accounting System (PAAS) through face to face training, video training and on-the-job coaching on the use of the PAAS. As a result, the PAAS is now being continuously updated with information on project definition, approval, task allocation, resource management, implementation, monitoring and reporting. Human Resource features of the PAAS support the matching of staff to projects, based on their skills and availability and the capture of project staff recruited through third parties.

In addition, the PAAS ensures that feedback from users, through the online feedback feature, *PAAS.Support@unhabitat.org* is responded to in a timely manner and that action is taken to resolve problems or provide interim solutions. Feedback from a survey carried out by the Project Office has also led to enhancements to business processes and related PAAS features, and feedback from training workshops is prioritized and fed into future development.

The Urban Dialogue series continued as part of a concerted effort to improve UN-Habitat's standing as a knowledge based organization and to inform staff of the latest developments in the area of sustainable urbanization. The urban dialogues generated substantive discussions involving staff, visiting scholars, and practitioners. In addition, a number of brown bag meetings were convened throughout the year and exposed staff to a wide range of topical issues such as equity in urban development and UN-Habitat's contribution to the Post 2015 agenda. These sessions were intended to facilitate open discussion among all UN-Habitat staff, including those in out posted offices who participated through the WebEx platform.

UN-Habitat continued to empower senior staff in leadership and management skills. A total of 4 D1 and D2 level staff benefited from the UN-System wide Leadership Development Programme. Another 12 P4 and P5 level staff participated in the Management Development programme.

UN-Habitat staff attended mandatory training courses, as well as personal development ones, including: i) Competency based selection and interviewing; ii) Collaborative negotiations; iii) Working together; iv) Professional ethics and ethics in the workplace; v) Women in Leadership; vi) Career development; vii) Volunteering at the Call Centre for emergency response; viii) Retirement Seminar by the UN Joint Staff Pension Fund.

## ii) Percentage of staff reporting improved information and knowledge sharing

A staff survey was not undertaken in 2013 to assess perceptions of information sharing. However, there is anecdotal evidence that there has been an improvement, although it is unlikely that the target was achieved. In 2013 UN-Habitat staff members continued to enjoy unlimited access to a number of information and knowledge sharing platforms within the organization. The available sources include the intranet (Habnet), and the UN-Habitat website ([www.unhabitat.org](http://www.unhabitat.org)), which is being enhanced to better profile information that is critical for staff in carrying out their daily tasks. The PAAS integrates and provides specific and global information on the agency's: strategic plan, the biennial work programme, the project portfolio; financial, administrative and human resources; archives of concluded project reports and agreements by country and theme; past and ongoing evaluations; and funding opportunities to support new project acquisition. A communication strategy for the organization is still to be developed.

The Urban Gateway continues to provide equitable and easy access to knowledge and information for broader application of evidence-based research in sustainable urbanization. It also facilitates knowledge and information exchange, collaboration and networking among Habitat Agenda partners and UN-Habitat. Enhancements to the Gateway to enable better collaboration between thematic networks, and increase outreach to institutional partners and individual urban practitioners, are being finalized. As a result, the number of registered members more than doubled from 2,800 to over 5,600, including 280 organizations working on urban issues.

Furthermore, the Urban Gateway platform leverages the knowledge of UN-Habitat's assets and serves as a key platform for policy advocacy and showcasing evidence based knowledge products on sustainable urban development, thereby positioning UN-Habitat as the premier reference center on cities. For example the Platform has been successful in getting over 2,500 experts and partners from different countries to contribute to the development of a new housing strategy, taking into account current and emerging needs.

Staff meetings are regularly held at different levels, from unit/branch/office level, to Senior Management Board meetings and agency-wide town hall meetings to provide staff with avenues for information sharing. In total, three town hall meetings were held in 2013. In addition, regular Staff Management Consultative Committee meetings provided a forum for staff to contribute to organizational and strategic issues and for management to solicit input, discuss and gain agreement on developments that may have an impact on staff.

## iii) Reduction in time spent completing selected business processes complying with rules and quality standards

Progress has been achieved in making business processes more effective, efficient and responsive to the needs of the organization and its partners, due to the institutional reform process. In line with the objectives of the organizational reform introduced in 2012, the implementation of various revised policies and procedures continued in 2013. The additional delegations of authority have helped to reduce the long bureaucratic processes that used to be encountered while the Project Accrual and Accounting System makes all required information available from one system.

As a result of above changes, the average time spent on UN-Habitat recruitment continued to decline to 109 days by December 2013 down from 274 days in 2009 and 120 days by the end of 2012. It surpassed the target of 130 days set for 2013. Approval of cooperation agreements has progressively become more efficient, with the average time for the review and final clearance of cooperation agreements declining to six days by the end of 2013, well below the set target of 8 days for 2013. With regard to procurement, the average time for information communications and technology procurement was 19.6 days against a target of 35 days set for 2013.

## Expected Accomplishment 6.2: Institution aligned to deliver MTSIP results

In 2013, UN-Habitat made remarkable progress in implementing institutional reforms aimed at aligning the institution appropriately for the delivery of planned results. There is a new organizational structure which is fully aligned with the new strategic plan, 2014-2019. In line with the objectives of the organizational reform, to enhance efficiency, transparency, productivity and accountability in the delivery of UN-Habitat's mandate, various policies and procedures have been developed and rolled out since early 2012.

### i) Percentage of staff reporting increased horizontal collaboration

The biennial staff survey of 2012 showed that horizontal staff collaboration across the agency had declined slightly compared to 2011. This was attributed to the programmatic and organizational restructuring, which were in the early stages of the transition phase. On the other hand, the same survey showed that collaboration between headquarters and the field was much better, with 61 per cent of the staff indicating that the collaboration was better, while only 15 per cent felt that it was getting worse.

One of the key intentions of the new organizational architecture was to achieve a horizontal and flatter matrix organization, facilitating cooperation between various organizational units. Although no staff survey was undertaken in 2013 to establish the precise extent to which this has taken place, a number of events and meetings went a long way to contributing to a positive change in this area. Most important was the first ever, agency-wide joint programming meeting which brought together senior management, staff from thematic branches and regional and country offices. The aim was to jointly agree on the annual work plans for 2014-2015, taking into account regional priorities and available expertise. The retreat facilitated exchange of information and joint identification of areas for future collaboration. It was also a successful team building exercise for the agency which contributed to bridging the gap between headquarter based units and field ones, as well as that between normative and operational work.

### ii) Number of key restructuring decisions implemented as recommended by the organizational review

Regarding the implementation of restructuring decisions, commendable progress was made. By December 2013, 95 per cent of the restructuring decisions recommended by the MTSIP Peer Review of 2010 fully implemented, against a target of 100 per cent. There is now a new organizational structure in place consisting of (i) an Office of the Executive Director; (ii) a Programme Division with seven thematic Branches and four Regional Offices; (iii) an Operations Division; and (iv) an External Relations Division.

The purpose of the organizational review was to establish a structure that ensured more effective and efficient delivery of UN-Habitat's mandate at the country, regional and global levels and ultimately, achievement of planned results. The organizational review is virtually complete, with the only outstanding aspects being the approval of a new Secretary-General's bulletin (SGB) on the organization structure of UN-Habitat and the reclassification of some posts linked to the restructuring. The new Programme Division, Branches, Regional Offices, Operations Division, External Relations Division and Liaison Offices, are now all fully functional. Towards the end of the MTSIP, they were increasingly responsible for the implementation of the change process, while the Executive Director's Office continued with the overall coordination of the reform process. All staff members were provisionally redistributed to the new organizational units.

The restructuring facilitated full alignment of the programmatic and the organizational structures. The seven thematic/focus areas of the Strategic Plan for 2014-2019, approved by the UN-Habitat Governing Council in April 2013, are fully aligned to the seven subprogrammes. During the reform, UN-Habitat's work continued to be guided by the MTSIP until the end of 2013, after which the new Strategic Plan for 2014-2019 took effect. The complete alignment will streamline accounting and reporting, and enhance accountability and transparency.

New policies required for implementing the organizational reform were prepared, approved and are under implementation. One of the key policies introduced is the Project Based Management Policy which took effect from 1 January 2013. The main purpose of the policy is to ensure consistent quality approach in the management of UN-Habitat's project portfolio, and to give direction to the project based management. The policy also introduced the PAAS as a principal instrument for the management of the agency's project portfolio. Prior to the development of PAAS, there was no central repository for the organization's full project portfolio, its income and implementing partner agreements.

### Expected Accomplishment 6.3: RBM principles applied

Progress was made in the application, strengthening and institutionalization of results-based management principles and practice in the organization. This is evidenced by the increased number of staff with enhanced capacities in RBM, new tools developed to support embedment of RBM, strengthened planning, monitoring, and reporting at strategic, programme and project levels. Improved application of RBM principles is further demonstrated by improved planning, monitoring, reporting processes and the related documents.

In total, 80 staff members had their capacities sharpened in RBM. The appointment and training of 25 results-based management champions from the various branches and units was a big milestone, as all organizational units now have staff with requisite capacity to support the results-based planning, monitoring, reporting and evaluation management skills at strategic, programme and project levels. Special attention was paid to strengthen the capacity of staff regional offices and country teams in results-based management. A total of 38 staff from the Asian-Pacific region, including Habitat Country Managers and CTAs working in 14 countries, had their capacities improved and are now more skilled at applying results-based management principles in their work. In the same vein, RBM training was extended to Francophone countries through a training organized in Goma, DRC, for 16 staff members working in land conflict resolution projects. They were trained in the use of RBM tools for planning, monitoring, reporting and evaluating their development interventions.

To support institutionalization of results-based management, and facilitate continuous learning, a number of tools were developed including a Results-Based Management Handbook and an RBM Policy. Following approval of the Strategic Plan for 2014-2019, by the Governing Council in April 2013, the basis of programme and project planning, implementation, monitoring and reporting for the next six years was considerably enhanced with the establishment of a performance measurement plan for the 2014-2019 strategic plan. For the first time, the results framework of the strategic plan has baselines and targets for the six year period. The operationalization of the strategic plan was informed by important lessons learnt from the implementation of the MTSIP for 2008-2013.

The biennial work programme and budget and strategic framework for 2014-2015 that are fully aligned to the six year strategic plan for 2014-2015 were approved by the Governing Council and adopted the General Assembly in April and December 2013, respectively. The draft strategic plan for 2016-2017 developed in 2013 is fully also aligned to the strategic plan. UN-Habitat's monitoring and reporting processes and tools were updated to make them more results focused. The MTSIP Annual Progress reports have continued to improve and focus more on results.

Results-based monitoring and reporting at project level was strengthened. In accordance with the Project Based Management Policy, a project implementation monitoring framework was developed. The framework requires that Project Leaders prepare progress updates in PAAS every three months on outputs and progress towards expected accomplishments (outcomes) every six months. Analysis of progress during project implementation through monitoring serves to validate the initial assessment of effectiveness, efficiency and achievement of expected accomplishments and outcomes. A tool was also developed to support assessment at project closure.

#### (i) % of programmes and projects that are contributing to focus area results

Satisfactory progress achieved in ensuring that all (100 per cent) of the projects and programmes approved by Programme Advisory Group in 2013 met the criteria of alignment to the strategic results under the Medium-term Strategic Plan, as well as the 2012-2013 Work programme and budget. In addition, all (100 per cent) earmarked and non-earmarked resources are allocated and accounted for by focus area results.

In line with results-based management, evaluations in UN-Habitat aim at: (a) facilitating organizational learning based on the information gained from implementation and assessment of programmes, projects and processes; (b) improving project management by using findings from evaluations in order to guide the design, planning and implementation of project; (c) Strengthen accountability through provision of feed-back on performance of UN-Habitat work in terms of process and results, as well as providing Member States, donors and other UN-Habitat partners with information of relevance, effectiveness, effectiveness, sustainability of UN-Habitat's work.

Following the establishment of an Independent Evaluation Unit, in January 2012, a UN-Habitat Evaluation Policy was developed and approved by the UN-Habitat Management Board in January 2013. The Evaluation

Policy sets out the institutional framework to plan, conduct, manage, report, disseminate and follow-up to evaluations, and mainstreaming evaluations into the planning and management of projects and programmes.

A total of eight external evaluations were conducted in 2013. Five evaluations were completed, three are on-going. The evaluations represent a broad scope of UN-Habitat's work from institutional aspects such as the functioning of liaison offices, project evaluations of community housing in Kenya and the Sixth Session of the World Urban Forum to evaluations of country programmes in Iraq and Pakistan. The evaluations identified a need for further sharpening of the strategic focus of UN-Habitat's interventions and alignment between normative and operational frameworks; to improve communication towards intended beneficiaries and external stakeholders; to develop resource mobilization strategies; and to enhance mainstreaming of cross-cutting issues within UN-Habitat's interventions. To increase coverage and scope of evaluation, mandatory self-evaluation of concluded projects have been piloted. A standard template for self-evaluations was developed to assist project managers in assessing their performance. The template was tested on four closed projects and proved to be a viable tool.

A Recommendation Implementation Monitoring System was developed in 2013 that has improved the follow-up on evaluation recommendations. By December 2013, 113 recommendations (63 per cent) made in evaluations conducted in the 2012-2013 period were implemented, 64 (36 per cent) were in progress and 1 (1 per cent) had not started. To facilitate increased transparency and accountability, the UN-Habitat website ([www.unhabitat.org/evaluations](http://www.unhabitat.org/evaluations)) now contains all UN-Habitat evaluation reports, evaluation briefs, tools, guidelines and external links.

All these efforts are positioning UN-Habitat for improved accountability, enhanced efficiency, effectiveness and sustainability of projects and programmes. The utility value of evaluations has improved through learning from evaluations and feeding the lessons into processes of planning and implementation of UN-Habitat's work. However, fundamental challenges still remain that limit the pace and reach for implementing the evaluation policy, notably limited core staff resources to implement evaluation plans requirements at global, regional and country level which are needed to further improve the culture of evaluation at UN-Habitat and achieve greater buy-in and support from staff and management.

## ii) Willingness to be held accountable for MTSIP results

Results from the 2012 staff survey showed no change in staff willingness to be held accountable for MTSIP results, at 2.9 (on a scale of 1-5) in both 2011 and 2012. Although no staff survey was conducted in 2013, a number of initiatives have been implemented and systems put in place to support and encourage staff commitment to accountability for delivering results.

Senior managers held a programme performance review meeting in December, 2013. The process was aimed at ensuring that senior managers take responsibility and accountability for the annual programme performance of the organization by reviewing and assessing the status of programme implementation, the results achieved, learning what was done well and what needed improvement and challenges and lessons learnt from implementation of the MTSIP and the work programme for 2012 and 2013. Through this process, senior managers demonstrated their willingness and commitment to account for the delivery of programme outputs that are critical for the achievement of the planned results.

The introduction of the concept of project leaders who are responsible for coordinating the implementation and management with each project having a designated leader has also contributed towards perceived willingness of individuals and teams to be held accountable for the agreed results. On transparency, following UN-Habitat membership to the International Aid Transparency Initiative (IATI) in 2012, the agency committed to publish its work on [open.unhabitat.org](http://open.unhabitat.org), including financial and substantive information about the agency's project portfolio. In this regard, UN-Habitat continued to make progress in this area in 2013. A total of 231 projects were reported, using the International Aid Transparency Initiative standard compared to 100 projects in 2012. Project leaders are charged with ensuring accuracy and timeliness of information about their projects in the PAAS which feeds the IATI database. The IATI standard enables UN-Habitat to provide public information about project objectives, income, expenditure and implementation. As one of the first UN organizations to publish information in this way, UN-Habitat has begun supporting other UN agencies in their ongoing transparency efforts. Together with UNDP and UNOPS, UN-Habitat organized two interagency transparency workshops in Geneva in March and September 2013, attended by 28 staff members from 13 UN agencies. The aim of these events is to work

towards the establishment of a UN Working Group on Transparency, where UN agencies can meet to discuss transparency issues on a regular basis. In addition, UN-Habitat held longer transparency workshops with UNEP and UNESCO during the year. Enhancements under way include increasing the range of information published about each project, enhancements to PAAS to highlight the items published under IATI, and training staff to enhance the quality of information published.

### **Expected Accomplishment 6.4: Financial resources to deliver MTSIP results through work programme available**

The financial targets for the biennium 2012-2013 are USD 60.4 million for non-earmarked funds and USD 283 million for earmarked funds. The approved estimated budget was USD 393.2 million. As of December 2013, USD 367 million out of an allotment of USD 556 had been utilized (66 per cent). With respect to earmarked funding, contributions totaling USD303.1 million were received, exceeding the target of USD283 million (107 per cent of the target). In terms of non-earmarked income, only USD15.3 million (25 per cent) of the 2012-2013 biennium target had been received. UN-Habitat was, therefore, not able to meet its target for raising non-earmarked funding. Non-earmarked and earmarked resources were all (100 per cent) allocated to MTSIP Focus Areas.

In view of the ongoing shortfall in non-earmarked funding, a resource mobilization strategy was completed in 2013 and presented to the Committee of Permanent Representatives. The action plan included the establishment of a Donor and Resource Mobilization Service came into effect in September 2013. The cost recovery policy is being finalized to ensure that it is in line with the General Assembly resolution 67/226.

The following steps were undertaken to improve efficiency and accountability in the management of the agency's financial resources: introduction of the Project Accrual and Accountability System (PAAS); enhancement and integration of the Grant Management Information System (GMIS) into PAAS; and development of cost allocation and recovery policy. The Project Accrual and Accounting System, was updated in September 2013. New features and functions were added that support cost recovery and enhance project and resource management.

UN-Habitat, like other agencies in the UN Secretariat, was requested to implement - the International Public Sector Accounting Standards (IPSAS) by January 2014. Preparing IPSAS compliant financial statements requires capture and maintenance of a wider range of data such as that relating to assets and liabilities of the agency, in-kind contributions, as well as new business processes. It also includes data relating to the timing of income and expenditure linked to agreements and procurement, among other things. One of the gaps UN-Habitat has had to address relates to the fact that IMIS, current system used for all UN financial transactions does not support IPSAS, and the new system that will support IPSAS will not be deployed until after mid-July 2014.

In designing the PAAS, agreement was sought and given by UN HQ because UN-Habitat's analysis showed that many of the features provided by PAAS were not available in IMIS and there were no immediate plans for the features to be provided in Umoja. UN-Habitat's Project Accrual and Accountability System (PAAS) was, therefore, deployed starting 2012 in order to:

- a) prepare for implementation of IPSAS by providing tools to support efficient collection of new information required by IPSAS, and to support workflows and business processes relating to IPSAS requirements
- b) prepare for implementation of Umoja Enterprise Resource Planning System by again ensuring that the data required for Umoja was already in a corporate database that could easily be migrated to Umoja. In this context, the Umoja Steering Committee and Umoja implementation team in New York commended UN-Habitat for this preparatory work as the agency is ready with its corporate database containing its project portfolio, database of income agreements and implementing partner agreements, in a format that is easily transferable to Umoja.



- c) In addition to Umoja, the PAAS system provides the agency with: i) an online database to all staff in all offices of the agency's project portfolio and up to date information on financial and human resources relating to this portfolio; ii) tools to support the organization's project based management policy that enables project teams to view and manage financial and substantive aspects relating to their projects and related agreements; iii) support for cost recovery - by capturing and costing time spent by staff on projects; iv) tools to support proactive management including risk alerts, and regular reports to managers on key performance indicators; v) knowledge management tools including a database of important archives and evaluations; vi) A donor information system to support fund raising; vii) tools to support sound financial management - including reports for senior management; ix) database of project staff procured through 3rd parties to ensure that the agency has a holistic view of its human resources; x) a staff skills database to support effective and efficient allocation of staff across projects and support internal mobility; xi) The system provides the information for UN-Habitat's open.unhabitat.org website which uses International Aid Transparency Initiative (IATI) standards to report the work of UN-Habitat to external stakeholders and ; xii) The system allows better reporting to the CPR and other stakeholders on the organization's performance by theme, region and country.

### Challenges

- a) Implementation of a wide range of major organizational improvements in an environment of declining core resources has proved quite challenging. UN-Habitat has made efforts to do more with less, through a range of efficiency measures and ongoing efforts to streamline business processes.
- b) The agency was required to implement a number of unfunded mandates, including the International Public Sector Accounting Standards and Umoja Enterprise Resource Planning System, and at the same time make major contribution to the post-2015 development agenda. UN-Habitat is trying to do this within its very limited human and financial resources, which is putting a strain on the available staff.
- d) The freeze on external recruitment on core funded posts has resulted in the non-replacement of staff separating from the organization through retirement or moving to other organizations. This has put pressure on some organizational units and their ability to meet delivery targets with very limited financial and human resources. It has also affected some staff members particularly with regard to concerns regarding employment contracts, and capacity to carry out higher workloads. To manage this situation, regular dialogue with staff, especially through the Staff Management Consultative Committee is helping to address staff concerns in a constructive manner. In addition, the organization has taken proactive action to implement an enhanced internal mobility framework to facilitate assignment of core staff to earmarked projects.
- e) To address the challenges of limited financial resources, the organization has improved its overall budgeting process to ensure that spending limits are linked to regularly updated income projections. Incentives have also been introduced to promote efficient delivery, project acquisition and collaboration across the agency. Further, an enhanced resource mobilization plan aimed at covering unfunded priorities and increasing core non-earmarked funding is in place.

### Lessons Learned

- a) Organizational reform requires the support, or buy-in of all staff, and this is most commonly achieved through effective consultative processes. In this respect, the UN-Habitat Staff-Management Consultative Committee played an important role in the reform process.
- b) The level of non-earmarked resources declined and the need for a clear resource mobilization strategy incorporating innovative ways for mobilizing core and earmarked resources is critical.

## 3.0: The Enhanced Normative and Operational Framework (ENOF)

The Enhanced Normative and Operational Framework was developed to improve the effectiveness of UN-Habitat's support to member states in the implementation of the MTSIP 2008-2013. The Framework focused on internal harmonization and better coordination between normative and operational work, policy integration and programmatic coherence at the country level. The framework is on two tracks, with the first track having four components: (i) integrated normative and operational work at country level through the Habitat Country Programme Documents; (ii) advocacy platforms such as the World Urban Campaign and National Urban Forums; (iii) policy and strategy papers that link global, regional and country support; and (iv) strategic partnerships. The second track focuses on UN-Habitat internal collaboration, and consists of an integrated programme of activities at the global, regional, and national levels.

Progress was achieved towards integrating normative and operational work within UN-Habitat at global, regional and national level. By the end of 2013, there was a marked increase in the number of countries addressing and putting in place policies and other mechanisms to address sustainable urban development issues. This is evidenced through UN-Habitat's normative work such as in urban planning, management and Governance, urban basic services, land and in disaster management and post disaster situations.

As a result of the targeted support on priority issues identified in the Habitat Country Programme Documents, urban development issues are increasingly being prioritized in national development plans in partner countries. In this connection, the Habitat Country Programme Documents clearly articulate key challenges in urban development in partner countries, and provide an overview of national urban policies and governance challenges, needs and priorities in the housing sector and urban basic services delivery. A total of 52 country documents developed over the six year period of the MTSIP (2008-2013) have played a key role in ensuring greater integration of the normative and operational work and programmatic coherence at country level with support from global and regional levels.

The UN-Habitat institutional reforms implemented since 2012 have strengthened coordination of the normative and operational work through the Project Office. One of the key characteristics for the new organizational architecture is a horizontal and flatter matrix organization that facilitates cooperation between various organizational units. The reform was identified as the most profound effort and strategy to facilitate the integration of normative and operational aspects of the Agency's work. The project office has been supporting efforts to strengthen and institutionalize the integration of normative and operations activities as an integral mechanism and approach to deliver UN-Habitat's mandates and to design and implement a robust project portfolio.

During the MTSIP period the Enhanced Normative and Operational Framework has increased synergy between global and country level normative and operational activities in the implementation of UN-Habitat's key global programmes such as the Cities and Climate Change Initiative, Safer Cities, the Global Land Tool Network, Water and Sanitation, and slum upgrading. In implementing the ENOF, UN-Habitat works closely with national governments and local authorities, non-governmental organizations and the private sector as well as Habitat Programme Managers and Country Technical Assistance teams.

### World Urban Campaign

The World Urban Campaign is a global partnership designed to promote a positive vision for collective action in support of sustainable urbanization and position the urban agenda in sustainable development policies. Since its launch in March 2010 at the 5<sup>th</sup> session of the World Urban Forum, it has evolved from a knowledge sharing network into a think-tank and has considerably strengthened both in terms of legitimacy and number of partners engaged. By the end of 2013, UN-Habitat had mobilized a wide range of partnerships including from major constituencies and umbrella organizations with large global outreach. The current membership includes 50 lead partners, six sponsors, 15 associate partners and more than 20 members. The partners are instrumental for UN-Habitat to promote urbanization issues and solutions and can act as multipliers in terms of dissemination of key messages.

The World Urban Campaign has progressed from a network of organizations united by the same purpose to become a more structured platform dedicated to well defined advocacy and knowledge sharing goals. Principles of engagement have been put in place through seven different statutes (Lead Partner, Associate Partner, City Partner, National Urban Campaign Partner, Sponsor, Media Partner, Member) that commit partners to activities and provide them with entitlements in terms of communication and visibility, as well as participation in the decision-making of the global campaign.

The World Urban Campaign continues to play an important role as a global advocacy and mobilization platform for the Habitat III process. The Campaign partners have recognized the strategic importance of the Habitat III Conference in elevating the urban agenda globally. The World Urban Campaign working group on Habitat III, convened two meetings in 2013 to reflect on past conferences, to initiate a strategy and to draft a position paper on 'The City We Need' as a World Urban Campaign partners contribution to the Habitat III Conference. 'The City We Need' position will be presented at the 7<sup>th</sup> Session of the World Urban Forum and disseminated through all partners during 2014, particularly in support of the Post 2015 Development Agenda.

In 2012-13, the WUC Secretariat focused its efforts on communication and outreach through strengthening several initiatives, particularly the outreach campaign 'I'm a City Changer' as a communication platform and a mobilization tool for the Habitat III Conference. The new WUC website provides space for all partners to feature events, 'urban solutions', resources and tools. Toolkits and guides were prepared in several UN languages by the Secretariat for City Campaigns and National Urban Campaign in support of the Habitat III preparatory process. Thematic campaign toolkits on gender and urban safety have also been issued and disseminated through the Global Network on Safer Cities and partners of the Advisory Group on Gender Issues.

UN-Habitat continues to mobilize cities to join the World Urban Campaign as 'City Partners' committed to mobilizing local partners and contributing to 'urban solutions' by organizing local 'I'm a City Changer' Campaigns. At the country level, National Urban Campaigns will constitute country advocacy platforms towards the Habitat III Conference. Senegal has taken the lead and initiated a National Urban Campaign entitled 'Defar Sama Deuk' (that means 'I change my city' in the local *Wolof* language).

## National Urban Forums

The National Urban Forums were intended to serve as advocacy platforms and vehicles to raise the profile of urban and housing issues in partner countries. The number of countries with national urban forums increased to 43 by the end of 2013 up from 35 at the end of 2012 and 14 in 2009. UN-Habitat continued to strengthen the national urban forums through technical and financial support. National urban forums are increasingly becoming important national advocacy and learning platforms on sustainable urbanization. The forums play a key role in World Habitat Day celebrations when local and global urbanization issues are highlighted. UN-Habitat's operational work in the countries and relevant normative tools and publications are disseminated through the national urban forums especially during World Habitat Day celebrations.

In **Uganda**, Municipal Urban Forums were created, in a number of cities, platforms for promoting sustainable urbanization and adequate shelter for all. These include five municipalities of Arua, Mbale, Mbarara, Jinja and Kabale.

National Urban Forums have expanded rapidly in the Latin America and Caribbean region demonstrating country commitment to mobilization towards Habitat III Conference. In 2013, three countries - **Colombia, Ecuador and El Salvador (Santa Ana and Santa Tecla)** organized National Urban Forums .

In the Asia- Pacific region middle income countries, such as **Vietnam** and **Mongolia** have recognized the important role national urban forums play as an arena for national dialogue on specific complex urban themes or to 'shift urban paradigms', initiated by different partners. In 2013, Da Nang City organized a Community of Practice conference on 'Integrative Urban Development: towards Green and Resilient Cities in Vietnam'. This conference created space for urban sector stakeholders to exchange experiences and tools on improving city resilience to flood and integrating climate change resilience into urban planning.

**In Burkina Faso** the National Urban Forum held in 2013 resulted in proposals for new urban planning practices in the context of the 2007 National Urban Policy. These are intended to specifically tackle slum upgrading and human rights based approach to programming to ensure the elimination of forced evictions.

**In Malawi**, the development of the State of Malawi's Cities report and the revision of the National Urban Policy are currently underway as a result of the discussions held in National Urban Forums conducted annually.

**In Iraq in 2013**, the National Habitat Committee initiated the creation of a regional office to assist Arab countries to establish national Habitat Committees.

## Habitat Country Programme Documents

Habitat programme country documents (HCPDs) are a critical and strategic planning tool for implementing ENOF at country level. They are essential for strengthening and aligning implementation results of the strategic plan from the corporate level right down to the country level, as well as contributing to programmatic coherence at country level. The documents are developed in collaboration with key stakeholders, serve as a work plan for the Habitat Programme Managers, and also inform the UNDAF process. The documents take into account the national priorities and UNDAFs cycles, thereby promoting harmonized collaboration in line with the UN "Delivering as One" approach. By December 2013, 56 countries from all the regions UN-Habitat has operational work had prepared and completed Habitat Country Programme Documents.

The Latin America and Caribbean Region has successfully achieved a second phase of Habitat Country Programme Documents. While the first phase included **Ecuador, Colombia, Costa Rica and Mexico** the second phase includes **Colombia, Costa Rica, Cuba and Ecuador, Mexico and Ecuador**. The documents have been negotiated with national partners, key ministries, UNCTs and main civil society partners. In **Colombia, Costa Rica and Cuba**, the Habitat Country Programme Documents were endorsed and signed by the respective partner ministries, while in Ecuador final signature is under negotiation.

The Enhanced Normative and Operational Framework contributed to increasing the visibility of sustainable urban development issues at the country level within the context of United Nations Development Assistance Framework and Delivering as One. In order to achieve this, an integrated programmatic approach called "ONE UN-Habitat", brought together all the dispersed efforts and fragmented activities under the umbrella of ENOF working with substantive projects and programmes managers on one hand and field and support staff on the other hand. In **Ghana**, UN-Habitat actively participated in the development of the UNDAF 2012-2016 ensuring the articulation of outcome 4 on Human Settlements and Infrastructure. UN-Habitat currently convenes and chairs the theme group.

## Challenges and lessons learned

Integration of the ENOF framework into the UNDAF processes and dynamics at the regional and country levels is constrained by inadequate resources to support the planning and coordination activities. The development of Habitat Country Programme Documents is dependent on extra budgetary resources which adversely constrained the development and revisions of these documents especially in strategic partner countries. Innovative ways of funding these documents will need to be identified and applied to support the implementation of the new medium term strategic plan 2014-2019.

## 4.0: Cross Cutting Issues-Disaster Management, Youth, Gender

### 4.1: Disaster Management

#### i) Global Achievements

Progress was made in contributing towards disaster mitigation and rehabilitation in disaster affected countries and those under threat of possible disasters. UN-Habitat demonstrated its capacity for delivering its mandate in disaster management more efficiently and effectively and its role is much better recognized in the UN humanitarian system. A sustainable relief and reconstruction framework to emergency protocol that now guides UN-Habitat response to emergencies. The adoption of the strategy for *Meeting Humanitarian Challenges in Urban Areas* by the UN Agencies of the Inter-Agency Standing Committee mandating UN-Habitat to play a key strategic role was a major step forward in the humanitarian sector.

In Iraq, UN-Habitat has played a catalytic role through its engagement in reconstruction and rehabilitation work. Findings from a recent evaluation of the Urban Programme in Iraq (2013) show that UN-Habitat has supported the Government in strengthening its policy and institutional frameworks for improving access to environmentally sound urban infrastructure and services, including assisting the “..Ministry of Construction and Housing and Ministry of Municipalities and Public Works in drafting the chapters of the National Development Plan - on housing and construction; water and sanitation; and essential services. UN-Habitat has contributed to Iraq’s recovery by rehabilitating run-down and damaged community infrastructure; such as schools, water supply systems, youth centres, sewerage networks, public green parks and health facilities”(page. 23). By the end of 2012, a total of 370 community facilities benefiting over 50,000 persons had been upgraded and over 20,000 people have benefited through slum upgrading and housing while improved water and sanitation reached 25,000 people.

#### Box 4: Strategies for community adaptation to disaster tested: The case of flooding in Malawi

Communities in Traditional Authority Makhwira in Chikwawa District in the Shire River valley in Malawi experience floods almost every year and communities are displaced with every flood, and occupy schools until the floods subside, thereby disrupting children’s education. As schools are not designed to serve as evacuation centres, this poses challenges with health, hygiene and safety. The poorly constructed houses are further weakened and many are damaged or collapse and many have their roofs blown away by strong winds. Relocation of these communities is not an option because this is their ancestral area and is the base of their livelihoods, farming and fishing.

To overcome these challenges, UN-Habitat in partnership with the Government of Malawi, Habitat for Humanity and communities, implemented the *Living with Floods pilot project* through which demonstration houses were built across eight villages. An evacuation centre was constructed at a strategic location by community based artisans trained in construction techniques to fight floods, strong winds and earth tremors. In February 2013, a major flood disaster occurred in the area and the evacuation centre proved its worth by accommodating over 1,000 displaced people. Public facilities such as schools continued to function and the displaced people stayed in a safer and more hygienic environment during the duration of the floods. The village headman, Mr Savala recently commended thus on the performance of the evacuation centre, *‘This evacuation centre has not only ensured the continuation of children’s education in my area but it has also become a centre for relief assistance. We look forward to using it for community activities after the rains.’*

On the demonstration houses, the village headwoman, Ms. Jana observed that, *‘Our floors and walls are always wet during the rainy season because of rising and running water. We now know how we can overcome these problems. I will encourage my subjects to build their houses following the building techniques we are learning’*. The Government of Malawi is planning to replicate the living with floods approach in other areas experiencing low/moderate flooding in the country as result of this experience

UN-Habitat has successfully demonstrated the value added in using an integrated urban agenda approach in both post-crisis recovery and reconstruction programming, as well as for pre-crisis risk reduction interventions. This is attributed to the mainstreaming of the *Strategic Policy on Human Settlements and Crisis* and its operational framework, the *Sustainable Relief and Reconstruction Framework in the work of the Agency*. UN-Habitat's contribution to urban disaster related interventions has been guided by the two instruments, which have established internal normative and operational roles for the Agency as well as defined the basis for engagement with partners under an urban humanitarian and risk reduction agenda.

The implementation of the "Strategic Policy on Human Settlements and Crisis" and its "Sustainable Relief and Reconstruction Framework" have been instrumental in raising UN-Habitat's visibility as an integral actor in post and pre-crisis urban work with humanitarian and development partners alike. This is evidenced by the growing recognition and integration of UN-Habitat's innovative approaches of working in post-crisis response and risk reduction into the Agencies programmes at global, regional, country and local level. It is also the result of effective engagement with Regional Office staff, Chief Technical Advisors and Programme staff at country level, as well as with Habitat Programme Managers, with the objective of orienting, training, and mainstreaming the policy in UN-Habitat's work.

UN-Habitat continues to play an active role as a member of the Inter-Agency Standing Committee, the global coordinating platform for all UN and international non-governmental organizations humanitarian work. Through this platform, UN-Habitat has provided capacity and added value to humanitarian actors based on the Agency's comparative advantage in addressing shelter and human settlements aspects of the global humanitarian agenda.

UN-Habitat's contributes effectively in the international arena is respected by the Inter-Agency Standing Committee, and some of the main donors and other humanitarian agencies that are gradually accepting that there is a need for a seamless transition from relief to development, an approach adopted by UN-Habitat at early stages of interventions in post-crisis situations. The Inter-Agency Standing Committee Transformative Agenda has incorporated a number of measures to ensure this transition, which UN-Habitat in cooperation with UNDP and UNICEF has promoted.

UN-Habitat continues to play a leading role in supporting the Inter-Agency Standing Committee reference group for implementing the *Meeting Humanitarian Challenges in Urban Areas crisis* strategy which was established in 2010. This reference group was established in recognition that UN-Habitat alone could not deliver all urban crisis response needs. The group has been instrumental in supporting the Inter-Agency Standing Committee Agencies to develop and implement their own urban policies and to date, most of them have. Many of these UN Agencies are now working in partnership with UN-Habitat on joint initiatives using the UN-Habitat urban data.

As part of the organizational reform process, UN-Habitat established a critical resource for ensuring its capacity to respond immediately to urban crises. The Emergency Response Fund enables up to USD100,000 to be released within a 24-48 hour period to finance surge capacity from the Agency. Smaller amounts (under USD20,000 total) have been used to respond quickly and produced follow-up projects in **Cuba** (USD500,000 shelter recovery projects); **Samoa** (USD350,000 Cyclone Resistant Housing project) and in late 2013, **Philippines** (UD1 million shelter and settlements recovery project). Larger amounts (up to USD100,000) invested in disaster response in, for example **Libya and Syria** have resulted in post-crisis projects of USD1.5 - USD7 million. This Emergency Response Fund together with the adoption of the Emergency Response Protocol have enabled UN-Habitat to predictably and effectively respond to crises.

Following deeply critical reviews of the humanitarian response in Haiti after the 2010 earthquake, UN-Habitat recognized that much of the failure to understand and respond appropriately to what was clearly an urban crisis was due to a limited capacity within the highest levels of coordination of the humanitarian response community. Subsequently, UN-Habitat created a surge function of Urban Emergency Advisor, a role played by a senior UN-Habitat expert, as an advisor to the UN Humanitarian Coordinator, assisting in strategic support to ensure capacity is in place to function efficiently within cities impacted by crises. The first deployment of an Urban Emergency Advisor was in 2013 in response to a rapidly deteriorating situation in Syrian cities.

UN-Habitat continues to build its expertise and capacity to support national and local governments in building more resilient cities. Through the City Resilience Profiling Programme, launched in 2012, UN-Habitat is working with strategic research and implementing partners in developing a range of tools, guidelines and training facilities. This will assist local governments and other urban stakeholders to develop reliable baselines from which strategic resilience-based urban planning, development and management programmes can be designed. Implementation will have an impact that benefits all seven sub-programmes of UN-Habitat's Strategic Plan 2014-2019. An initial version of the resilience measuring tool was launched in December 2013 and the 10 partner cities will pilot this tool.

## ii) Regional and Country Achievements

A regional Disaster Mitigation and Sustainable Recovery Centre was launched in Maputo in 2013. The centre supports efforts in reducing risks, increasing resilience and adapting to climate change in Southern Africa, initially serving four countries, Comoros, **Madagascar**, **Malawi** and **Mozambique**. The Centre aims to contribute towards reducing vulnerability and building community resilience in the four countries. The establishment of the centre was informed by a two-year feasibility assessment study supported by the Disaster Preparedness of European Community Humanitarian Office and UN-Habitat.

Post-disaster and post-conflict field projects are the single largest component of the UN-Habitat operational projects, thus contributing to UN-Habitat's experience and income. Through these country projects, UN-Habitat influences disaster response, reconstruction policies and housing and urban strategies. At the same time, it directly contributes to the rebuilding efforts by assisting people to rebuild their homes and community infrastructure and services. UN-Habitat continues to support projects in crisis-settings through in-house expertise built over the years and normative tools and tested approaches in collaboration with strategic partners. UN-Habitat has sustained presence in a number of critical countries like **Afghanistan**, **Pakistan**, **Somalia** and **Iraq**, turning the sustainable relief to reconstruction policy into practice, and developing an evidence-base for its longer term impact.

In **Sri Lanka**, four cities (Ratnapura, Batticaloa, Kalmunai and the Urban Council of Balangoda) launched their Disaster Risk Reduction and Preparedness Plans in October 2013. The plans were developed through *Disaster Resilient City Development Strategies for Sri Lankan Cities* project in partnership with Government of Australia and Sri Lanka. In **Afghanistan**, five cities joined the *Making Cities Resilient Campaign*, in 2013. The Campaign is hosted by the Kabul Municipality and Afghanistan National Disaster Management Authority in coordination with UN-Habitat and the United Nations Office for Disaster Risk Reduction. Through the Director of the Afghanistan National Disaster Management Authority, the country is committed to take action step by step towards improving infrastructure and mechanisms for disaster risk reduction and disaster response during the campaign and beyond 2015”

Findings from the 2012 “Evaluation of UN-Habitat's Liaison Offices” show that these offices play an important role in forging strategic partnerships that are instrumental for UN-Habitat work in disaster management. These partnerships include the Inter-Agency Standing Committee, the United Nations Office for the Coordination of Humanitarian Affairs, and the Office of the United Nations High Commissioner for Refugees. The Geneva liaison office has actively participated in the consolidated appeals process that have resulted in increased humanitarian financing for UN-Habitat field projects through the Appeal Process, the Flash Appeal and Relief Fund.

The 2013 independent evaluation of the UN-Habitat's role in the post-disaster recovery, reconstruction and development in Pakistan (2005-2012) concluded that UN-Habitat has facilitated recovery and reconstruction in Pakistan after natural and man-made disasters, delivering concrete results to governments, citizens and donors and left much physical evidence of its presence. The impact of UN-Habitat's contribution is particularly evident in housing, community infrastructure, water and sanitation, and data management systems. UN-Habitat supported communities in owner-driven reconstruction through training as well as oversight and inspection, increasing the capacity of local people.

### Box 5: Sri Lanka: Delivering excellence in leadership The case of the Northern Reconstruction Project

Sri Lanka has experienced numerous disasters in recent years, with the Asian tsunami of December 2004, resulting in 35,000 deaths and over 100,000 homes damaged or destroyed. UN-Habitat has a long and positive history of engagement in Sri Lanka dating back four decades, but with short-term impacts.



Mrs. K. Sivagowri's damaged house before the repairs.  
© P Jeyanthiran/UN-Habitat



Mrs. K. Sivagowri's now, standing in front of a newly repaired house. © P Jeyanthiran/UN-Habitat

#### Advocating for durable solutions approach

Six months after the end of the conflict which was compounded by the 2004 tsunami approximately 100,000 internally displaced families who returned home found their homes damaged, destroyed and looted. UN-Habitat advocated for a programme designed to respond to this post crisis situation that focused on durable solutions at a time when majority of the International Agency Standing Committee shelter cluster members were supporting emergency and transitional shelter support options. As co-chair with UNHCR of the shelter 'cluster' from 2010, UN-Habitat had begun to *influence* this discourse, moving it in the direction of more durable, resilient and sustainable solutions. At the same time, donors were focusing on humanitarian 'lifesaving' activities and not investing in sustainable solutions.

Building on its reputation and lessons learnt through responses to the Asian tsunami, UN-Habitat was able to convince the government that a major housing programme for northern Sri Lanka should be developed. It was also agreed that the methodology would ensure that the affected population was fully consulted and was instrumental in the decision making process of the project to be driven by large contractor interests. A fundamental principle within this approach was that women were invited to participate in key decision making roles in community project, which also supports protection (of women), *economic livelihood* and *human rights* and *capacity building* agendas.

UN-Habitat then convinced a key strategic partner, the Australian government's aid agency AusAID, that the security of tenure and ownership issues that were being presented as a barrier to sustainable action by other agencies would in fact be appropriately addressed. AusAID became the first donor to understand the crucial nature and historic importance and opportunity of that moment. To mitigate any possible environmental impacts as a result of the construction, UN-Habitat's project included planting three trees for every one tree cut down, closely working with the Government to ensure monitoring and enforcement of approved steps.

Essential to the recovery was economic activity. The housing programme was designed to engage family members in the construction of their own homes. This was to avoid adding to the 'dependency syndrome' that is too often the hallmark of the humanitarian response which only further weakens traumatized communities. The programme also provided six months paid training in construction skills to project applicants.



### Box 5: Sri Lanka: Delivering excellence in leadership The case of the Northern Reconstruction Project (Continued)

#### More partners mobilized for greater impact and sustainability

The Government invited UN-Habitat to lead a Disaster Resilient Cities Project in four cities, funded by the Australian Government, partnering with academia, municipal and urban authorities. However, the lack of housing was only part of the story. Much of the basic infrastructure had also been destroyed. As part of UN-Habitat's Northern Reconstruction Housing programme additional partners including Switzerland, European Union, India and Japan have strengthened the partnership to ensure water, sanitation, draining, road repair and community facilities are all now comprehensively assessed and integrated in housing programme. This multiplies UN-Habitat's impact, influence and leadership beyond the 25,000 families (100,000 people) in the Northern Reconstruction Programme. IFRC and other implementing agencies have followed UN-Habitat's approach and methodologies on resilience strategies for four cities, effectively protecting and impacting on the lives of many hundreds of thousands of people.

In summary, UN-Habitat's *influence*, strong *partnerships* with Government, donors, cluster members and communities has led to a highly successful programme that evidentially demonstrates the *Habitat Agenda* as well as all the key components of the Inter Agency Standing Committee's (IASC) *Transformative Agenda*. Delivering excellence in *Leadership* - Shelter cluster co-lead and paradigm shift in approach to supporting conflict affected families through durable solutions - *Coordination* - post-conflict reconstruction of housing coordination and analysis - and *Accountability* – to communities, donors, government and sub-national governance structures. Sixty thousand families will enjoy new homes, homes that for many also include cottage industries, livelihood opportunities, places to study, all of which would not have been possible had families been trapped in insecure transitional shelters for years to come.

In **Mozambique**, technical support and the corresponding Project Document were approved. UN-Habitat provided technical support to the Maputo Municipal Council that resulted in the production of handbooks and manuals for disaster preparedness and architectural designs for risk environments. Capacity of Government and Civil Society for disaster risk reduction was strengthened at central, provincial and local levels. Action plans and strategies were produced and tools and methodologies adopted. Situation analyses and assessments were completed.

#### Challenges and lessons learned

1. Given UN-Habitat's increasing involvement in disaster management, dependence on the UN Secretariat's operational manual limits its response. Though the Manual is a key priority of the UN's Transformative Agenda which focuses on leadership, coordination and accountability it is still work in progress.
2. Much of the work on disasters occurs in physically challenging and dangerous environments. To address these issues, UN-Habitat staff, must depend on the solidarity of the beneficiary communities to ensure their on safety. In Afghanistan, for example UN-Habitat staff use people process to ensure their safety.

## 4.2 Youth and Urbanization

Youth related issues are integrated into the work of UN-Habitat through a two-pronged approach that focuses on mainstreaming youth within UN-Habitat and across the UN system, as well as the development and implementation of dedicated youth programmes. UN-Habitat continues to play a leading role in raising awareness and advocating for issues affecting youth in urban areas at global, national and local levels through its normative and operational work. Programmes include the Urban Youth Fund, the One Stop Youth Resource Centres, the Urban Youth Research Network and youth mainstreaming and advocacy work within UN-Habitat and globally.

The issue on youth and land tenure identified at the World Urban Youth Assembly in 2012 and through the Urban Youth Fund has now been mainstreamed into UN-Habitat's programmes as a joint programme with the Global Land Tool Network. Five youth-led agencies were selected to undertake an action research programme on youth and land. The research findings are being used to inform future programming of initiatives to address issues that face urban youth in relation to land and security of tenure, and to impact land governance policies in member states to be more youth-responsive.

UN-Habitat continues to work closely with the other UN agencies to mainstream youth into the work of the UN system through the Inter-Agency Network on Youth Development, which UN-Habitat co-chaired with UNDESA 2011-2012. UN-Habitat led the development of the System Wide Action Plan for Youth as requested by the Secretary General. This framework is in the process of being decentralized at national level through the UN Delivering as One Framework. UN-Habitat used the Action Plan as a platform and a tool to disseminate the evidence based knowledge products on urban youth and to promote innovations and practices from its flagship programmes such as the One Stop Youth Centre model and the Urban Youth Fund throughout the UN system. UN-Habitat has also given the role of coordinating the thematic areas of the Action Plan on employment and entrepreneurship together with ILO and UNIDO, and civic engagement and youth rights together with UNHCHR.

UN-Habitat actively worked with member states and its sister UN agencies to advocate for the greater recognition and representation of youth in the UN System. The Governing Council resolution of 2011 tasked UN-Habitat to explore how to enhance the engagement of youth in the UN system. Following this, UN-Habitat in collaboration with the United Nations Development Programme hosted the **Youth 21 Global Youth Forum on Youth and Governance** meeting. From this meeting the **Nairobi Declaration** was passed requesting the Secretary General to create a position for a special representative on Youth. Following this a high-level panel meeting was held in cooperation with the Brazilian government during the Rio +20 summit, where the Ibero-American Ministers of Youth in Brazilia further endorsed the need for a UN Youth Envoy. This process culminated in the appointment by the Secretary General in January, 2013 of Mr. Ahmad Alhindawi, a 28-year-old Jordanian, as the Secretary-General's Envoy on Youth. The appointment of the Envoy demonstrated the growing importance of integrating youth within the United Nations and regional institutions such as the African Union. In a Joint statement signed in 2013 with the African Union, on behalf of the United Nations Secretary General, Mr. Alhindawi called for active participation of African youth delegations to UN-Habitat's 2014 World Urban Forum 7 and the Habitat III process. This is aimed at promoting broad-based regional and national level response to the need for youth empowerment and mainstreaming towards advancing socio-economic growth and development in Africa.

### Research and knowledge generation on urban youth

UN-Habitat continues to affirm its role as a leading agency in the UN system in regard to evidence based research and knowledge products that help to bring the urban youth agenda to the global stage. The contribution of urban youth in sustainable urban development is demonstrated through pilot programmes, policy advocacy and evidence based research findings documented in the flagship reports and other publications on the conditions and trends of issues affecting youth in urban areas and their perspectives on sustainable urban development.

Through the Urban Youth Research Network, UN-Habitat developed 16 research reports on urban youth and development. The network has contributed towards the publication of key evidence based research reports. Findings from the research has led to a better understanding of the issues affecting urban youth and their responses and perspectives. The research also provided valuable information on the status and capacities of youth-led agencies, the drivers that make them successful and possible interventions that can be supported through different partners such as multilateral agencies, national and local governments and the private sector.



Severine Macedo, National Secretary for Youth Affairs, Brazil addresses Youth 21 forum in Nairobi, Kenya. © UN-Habitat

The State of the Urban Youth flagship report is published bi-annually and has contributed towards the increasing body of knowledge about urban youth. The first *State of the Urban Youth Report 2010/2011: Leveling the Playing Field* found that *equality of opportunity* requires interventions to ensure that circumstances that are beyond the control of an individual do not adversely influence their life chances. The findings from this report have contributed to a better understanding of young people's perspectives in the equality vs. equity discussion in the human rights based approach discourse. Due to the success of the global report, a series of local and national State of the Urban Youths were developed such as the one for and the planned ones for China, Ondo State (Nigeria), Saudi Arabia and a regional one for the Arab States.

The Urban Youth Fund projects continue to provide access to unique quality data on youth development on the ground from all development regions, driving the publication by UN-Habitat of the Global Youth-led Development series. The success and uniqueness of the Urban Youth Fund is not only from the individual projects throughout the 172 cities in the world where it operates, but more so the comprehensive and holistic picture this provides UN-Habitat, and the grounded experience and knowledge for normative work and policies. The Fund is a gate opener for youth groups with no or low access to finance, but as well works as a laboratory for testing and identifying innovative and scalable mechanisms and solutions for youth empowerment.

### Governance and mainstreaming of youth

UN-Habitat continues to pursue the strategy of leading by example in challenging partners and the UN system to strengthen youth engagement in governance at all levels. Through the engagement with Youth Advisory Board, UN-Habitat continued to strengthen the role of youth in its governance processes and engagement in its programmes. The UN-Habitat Youth Advisory Board is elected through a global election process every two years, and consists of seven young men and seven young women representing two youth from each of the six global regions, and two youth representing informal settlements. The Youth Advisory Board highlights UN-Habitat's commitment to ensuring youth participation in the development of effective strategies for sustainable urbanization. During the reporting period, the Youth Advisory Board members engaged with staff from different thematic branches within UN-Habitat and contributed to the development of projects and programs. This engagement was most evident in the ongoing projects on youth and land, youth and governance and ICT, ensuring that normative and operational work of UN-Habitat is viewed through the youth lens. In addition, representatives from Youth Advisory Board sit in the Advisory Committee of the Urban Youth Fund, and in the global advisory committee for World Urban Campaign.

## Youth Empowerment Programmes

UN-Habitat played a catalytic role in the development of innovative strategies, mobilizing resources and partners for empowerment of urban youth through the Urban Youth Fund and the One Stop Youth Centre model.

### (i) The Urban Youth Fund

The UN-Habitat Urban Youth Fund launched in 2008 supports innovative youth-led initiatives in developing countries around the world through the provision of technical and financial support. Over the period 2009 to 2013, 238 groups based in 63 countries and 172 cities, were provided with resources to develop innovative and globally recognized youth initiatives addressing issues such as employment and livelihoods, safety, governance, and land tenure.

The key lessons learned from the Youth Fund at the policy level revolve around youth and governance, ICT and land. In regards to *youth and governance*, lessons and knowledge have been derived from the Youth Fund to develop normative and operational programmes. The Youth 21 process, initiated by UN-Habitat in 2012 as a multi-level governance programme, laid the foundation with clear focus on the need to increase youth participation in governance. One success of the Youth 21 was the appointment of the Secretary-General's Envoy on Youth in January 2013

Another important outcome is in the area of youth and ICTs. Attention and mobilization of community and governments have been achieved around the issues that have emerged related to the capacity and leadership among local governments, especially their ability to respond to youth-initiated contributions. Furthermore, the importance of inter-governmental relations, and connecting different levels of government with each other through ICT tools created by youth has emerged as a crucial issue at the global scene.

The third policy area that surfaced through the work of the Urban Youth Fund projects is land and youth. One of the important lessons-learned from the youth and land focus is that land is not solely an adult issue but youth are also affected through exclusion. Furthermore, land has more than a material or utilitarian aspect for youth. For many, their relationship with land is intertwined with their pursuit for identity, community and cultural expression. The socio-cultural meaning of land varies across the diverse categories of youth, including across the gender dimension.

Another lesson from this policy area is the need for youth responsive land policies. This relates both to questions of tenure insecurity and inheritance. These issues are particularly important when one looks at the situation of young women. Improved land governance is critical to the achievement of a wide range of development outcomes. Through the Urban Youth Fund, UN-Habitat is working with youth groups actively working on improving the land governance system in their countries. In addition, the on-going project on land and youth in partnership with the Global Land Tool Network will contribute towards a better understanding and strategies for addressing the land issues affecting young people.

### Partnerships for Innovative Initiatives

The key innovative activities undertaken within the Urban Youth Fund sphere are the e-learning programme, the mentorship programme, the mobile-based Monitoring and Evaluation (M&E) programme, the Mauritius Corporate Social Responsibility window, and the India Youth Fund window.

The e-learning programme is a pilot developed in partnership between UN-Habitat, the private sector with BASF Stiftung in Germany and Eliademy, and the academic sector with the University of Fraser Valley in Canada as the leading partners; aiming to increase the capacity development potential of the Urban Youth Fund. All project coordinators from the selected youth groups are trained in project management skills and M&E skills. The e-learning will drastically enhance the outreach and decrease the cost of training youth. By utilizing new technology, UN-Habitat reaches more youth with different types of training modules. Through the partnerships with universities and other partners, the e-learning programme will deliver a wide range of courses that will get official recognition from Fraser Valley University.

UN-Habitat entered into a partnership with *TakingITGlobal*, a global online community organization, to develop a mobile- and web-based monitoring and reporting platform. The system will give UN-Habitat more real-time data from the field through a systematic approach to monitoring visits, while at the same time produce normative results faster and with more legitimacy and credibility. The mentorship programme for the Urban Youth Fund grantees is a partnership initiative between UN-Habitat and the *Refine + Focus*, a private company based in Boston, USA. The individual project coordinators get a dedicated mentor with expertise and motivation on supporting youth globally. The mentors are drawn from a wide range of backgrounds, including: the private sector, politics, public sector and the UN.

The **Mauritius** Corporate Social Responsibility window involves private sector partnership with the Urban Youth Fund to channel corporate social responsibility funds from Mauritius-based companies to youth groups. By partnering with the Mauritius Employers' Federation UN-Habitat has access to all parts of private sector in the country and is not limited to one sector or one company. The framework for the cooperation is the Urban Youth Fund with its rules and regulations adjusted to take into account the local context. Through the cooperation, UN-Habitat changes the attitude towards youth in the society and increases the capacity of youth groups in the country.

In **India**, the national window of the Urban Youth Fund is fully funded locally through the Narotam Sehksaria Foundation. The Foundation supports the substantial work of the project, which has had two important outcomes. First, the India Youth Fund project serves as a platform for other activities, including the Second State of Urban Youth India report and the upcoming October 2014 Youth Conference in India where the Secretary-General's Envoy on Youth will participate. Secondly, the project supports youth groups in capacity building and resource mobilization of and has contributed to the improved visibility of youth as a positive force in the community.

## (ii) The One-Stop Youth Resource Centres

The One Stop Centre was first piloted in Nairobi in 2003 and has become a widely recognized youth development model in Africa and globally. The model seeks to strengthen the capacities of cities and youth groups to adopt and implement urban policies and programmes that support increased employment opportunities and enhance livelihoods for urban youth. The model has been implemented in four cities in East Africa, with the possibility of expansion to other cities in Africa, Asia and Latin America. There has been an increased uptake of the model during the MTSIP period within countries and at the regional level.

In **Rwanda**, the Ministry of Youth and ICT has adopted the model for replication at national level. The Ministry is using the model to implement its *Youth Empowerment for Global Opportunities* strategy. In 2013, the government of Rwanda, with technical support from UN-Habitat, developed 30 district plans for the implementation of the One Stop Centres in all the districts to be rolled out in 2014 onwards. The plans are being used by the Ministry of Youth and ICT to allocate resources for establishing youth centres in all the districts. The model has been mainstreamed in the national framework and the ministry expects all partners implementing youth centers to follow this model.

Another important achievement through the One Stop Youth Centre model in **Rwanda** is the successful lobbying for the introduction of the fourth pillar (Productivity and Youth Employment) under the national Economic Development and Poverty Reduction Strategy. This ensured that the youth in Rwanda will no longer be viewed as a social problem but rather an economic resource that the government can rely on. In **Kenya**, the Government has expressed interest in replicating the One Stop Model in all counties of the newly devolved government.

Innovation and Partnerships have been the cornerstone of the One Stop Youth Centre model. UN-Habitat continues to build partnerships with local authorities, United Nations agencies and other stakeholders to support the original Centres in East Africa and beyond. For example in **Uganda**, through partnership with KiBO Foundation, about 400 youth gained skills in leadership, information communication technology, community and resource mobilization and have demonstrated changes in attitude and mind set as well as willingness to serve the community and practical interest in micro enterprise.

The One Stop Youth Centre model is also being scaled up through a regional approach leading to the development of One Stop Model regional strategies. Partnering with regional institutions to address issues of youth empowerment, the goal is to have the model replicated across Africa. For example the East Africa Community and the Southern African Development Committee are currently working out modalities with UN-Habitat on how to utilize the model to implement the regional youth policies and strategies. A regional meeting was held in Livingstone, Zambia in December 2013 where the regional institutions identified ways the One Stop Youth Centre model can be incorporated into their own programmes to strengthen youth engagement in their respective member states.

In **Uganda** under the ONE UN funding, UN-Habitat and Arua municipality partnered to construct a permanent facility for the One Stop Youth Centre. The training of youth in construction was successfully undertaken and the youth themselves have built the center enabling them gain the necessary skills. The trained youth have since been gainfully employed in the private sector. The Kampala City Authority has meanwhile allocated USD35,000 for the completion of the Kampala One Stop Youth Center located on land that was allocated by the City authority. The empowerment of the youth in the city and formation of a youth network group ensured that the youth land is not grabbed. The Kampala One Stop Youth Centre provided an opportunity to the City Authority to mainstream youth issues in their programming and have since developed the Five Year Kampala Youth Strategic plan 2013/14-2017-18. The aim of the plan is to establish a road-map for nurturing a healthy youth generation, creating employment, raising average per capita income levels and ensuring both formal and non-formal education opportunities for the youth in Kampala City.

### Challenges

Demand for UN-Habitat's youth programmes is far much higher than the available funding. For example, though Un-Habitat funds over 50 youth-led groups per year, over 8000 apply for the urban Youth Fund but UN-Habitat supports less than 1 per cent of the demand. UN-Habitat continues to search for new partnerships to support this demand.

## 4.3 Gender Mainstreaming

UN-Habitat considers gender equality and women's empowerment essential components of sustainable urban development. In fulfilling its mandate to ensure that cities develop sustainably, with effective and inclusive services that benefit all residents, UN-Habitat strives to improve women's rights, promote equal participation in decision-making, and develop services that benefit women and men equally in all our Programmes.

The Advisory Group on Gender Issues created in 2012 with the specific role of advising the Executive Director on gender issues continued to serve as an advocacy platform on gender issues in various international, regional and national fora representing UN-Habitat. As a result of a recent training of 25 gender focal points, the concept of gender mainstreaming is now better understood within the organization as is the value of adopting mainstreaming principles to improve the quality of results. This has been reflected in the way new projects are being designed, in the production of publications and in the interactions at international, regional and national events. Based on the training evaluation and feedback reports from participants, it was evident that the training was very useful and many participants requested that this be done on a yearly basis to further deepen their knowledge on gender mainstreaming aspects in their specific areas of work.

### (i) Global Achievements

UN-Habitat has continued to advocate for the collection, analysis and dissemination of sex disaggregated data and analysis of the urban situation using gender lens. Throughout the MTSIP period, the two UN-Habitat flagship reports "The State of the World cities reports and the Global Report on Human Settlements human settlements reports have ensured the availability of sex disaggregated data at city level and the analysis of sustainable urban development issues from a gender perspective as well as in the State of Women in Cities report 2012/2013.

UN-Habitat Gender publications have been widely distributed at national, regional and International fora to create awareness of the work UN-Habitat is doing in relation to gender. A toolkit has been developed that supports the World Urban Campaign with gender slogans and messages that are geared towards sensitizing the public on

good practices that enhance gender equality. The aim of the gender issue guide is to help UN-Habitat staff and partners to understand the linkages between gender equality and the thematic sectors that the Agency deals with. This will help to identify the gender implications of working on human settlements which involves understanding why the promotion of gender equality is important for securing human settlements/sustainable urbanization for both men and women for the achievement of development goals

The UN-Habitat *Policy and Plan for Gender Equality and Empowerment of Women in Urban Development and Human Settlements* was formally adopted in December 2013. Gender mainstreaming is being implemented in the various areas of UN-Habitat's work. The Safer Cities programme and the Global Land Tool Network are examples of areas where gender mainstreaming is a practice. Following the launch of the Safe and Friendly cities for All- a joint programme between UN Women, UNICEF and UN-Habitat, a number of countries are reporting positive results such as more women involved in trading thus enhancing livelihood development, women's improved access to financial facilities using their land titles to borrow and women being involved in participatory planning.

## (ii) Regional/ Country Achievements

UN-Habitat in collaboration with the Joint Programme of the Government and the UN Women hosted a capacity building workshop in Kisumu, Kenya for 55 local authority personnel from Kenya, Uganda, Tanzania, Rwanda and Burundi. The purpose of this training was to highlight the gender issues to in the provision of urban basic services and how to ensure gender responsive project design and formulation in the cities around the Lake Victoria basin with emphasis in results based management principles.

UN-Habitat conducted various sensitization training sessions on governance and gender mainstreaming at national and international levels. For example, in 2013 under a current MoU with UN-Habitat, MASHAV which is Israel's Development Agency conducted training on gender mainstreaming for participants from local authorities drawn from Eastern Europe, Africa and Latin America. Another workshop was conducted for the nine women deputy governors in Kenya, to assist them create a Gender Action Plan for Kenya counties in partnership with the Government of Kenya, just to mention a few.

In **Bangladesh** the implementation of activities in the urban basic services sector, through community organizations, led to an increase in women's empowerment and also established that 96 per cent of the management and decision making positions in the Community Development Committees are held by women. An audit conducted by the Office of Internal Oversight Services in July 2013 established that community representatives believed that

### Box 6: Occupied Palestinian Territories: Empowering Urban Poor Women in Hebron

Through a partnership between UN-Habitat, Hebron Municipality and the Saudi Committee for Palestinian People Relief, marginalized poor women in Hebron Municipality are being empowered to build sustainable livelihoods through the *"Charity Housing and Income Generating Programme"*. The story of Jameeleh Al-Ewey, 38 years, is one personal example of a larger success story among of poor women headed households. Jameeleh's husband died leaving her with 4 children and no house or income to support the family. She and her children lived in crippling poverty in a small and unhealthy rented room.

In February, 2013, Jameeleh and 100 other poor women in Hebron city were selected as beneficiaries of the "King Abdullah Bin Abdul Aziz City for Charity Housing and Income Generating Project for Urban Poor Women in Hebron". The women beneficiaries were empowered through provision of a housing unit, skills development and support for income generating activities. The impact of the empowerment programme on the women is best expressed in Jameeleh's testimony. *"I never imagined that I could live in a decent healthy shelter, run a small business, that I could do accounts, that I could be successful,"* she says. Jameeleh's and other 100 women-headed poor families received assistance through UN-Habitat's development intervention. These marginalized women have started improving their social and livelihood conditions and are inspiring their children to be part of the future Hebron.

Through a partnership between UN-Habitat, Hebron Municipality and the Saudi Committee for Palestinian People Relief, marginalized poor women in Hebron Municipality are being empowered to build sustainable livelihoods through the *"Charity Housing and Income Generating Programme"*.

among the key benefits of UN-Habitat support an increase in women's empowerment and safety.

**In Egypt**, awareness sessions undertaken as part of the *Safe Cities Free of Violence against Women* project in four communities in Greater Cairo, resulted in increased community interest in community management participation and fund raising initiatives. The private sector showed interest in supporting interventions to improve the public spaces to become safer for women. Further, a Women Safety Audit was conducted in four communities in Greater Cairo Region. The aim of the audit was to provide a profile of the existing situation regarding safety issues and to analyze the existence of safety factors in public spaces and how to provide them. This ensures more gender sensitive and inclusive planning process.

### Challenges and lessons learned.

1. Implementing gender mainstreaming remains a challenge due to limited capacity both in financial and human resources. In some cases, political will for mainstreaming gender is still a challenge. However, continued advocacy and lobbying to increase awareness and demonstration of results from other initiatives/countries may lead to increased recognition of the importance of gender.
2. It is clear that UN Habitat's successes with regard to gender mainstreaming internally are a result of the commitment and willingness of the senior management to take the lead in gender mainstreaming as well as the clear benefits in project success where gender is taken into account.

## 4.4 Human Rights Mainstreaming

The responsibility of UN-Habitat to respect, protect and fulfill the principles and standards of human rights stems from the organizational mandate of the United Nations. UN-Habitat is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all. Human Rights Mainstreaming within this mandate translates to direct development discourse and projects towards more inclusive and equitable human settlements.

UN-Habitat designated human rights focal points in each Branch, and is conducting a rights-based review and appraisal of its ongoing projects, as well as proposed projects in line with the human rights indicators included in the Results Framework for the medium term strategic plan 2014-2019.

UN-Habitat's collaboration with the Office of the High Commissioner for Human Rights (OHCHR), expanded within the joint United Nations Housing Programme, to include not only the issue of housing rights but human rights mainstreaming at large. The collaboration helped to reinforce UN-Habitat's knowledge and capacity on mainstreaming human rights within its current and future project portfolio. UN-Habitat also increased its engagement with the UN Development Group's Human Rights Mainstreaming Mechanism, the Universal Periodic Review as well as other components of the human rights machinery.

To implement its mandate on human rights mainstreaming and to strengthen staff capacity, UN-Habitat organized a Senior Management retreat in May 2013, followed by a training workshop on the human rights based approach to development in October 2013 with the aim of strengthening the leadership and institutional culture of human rights. This was also supported by several internal consultations. In addition, some tools were developed to guide staff in mainstreaming human rights in their work, including a Guidance Note which has been developed on the protection and promotion of human rights and a Resource Handbook on Human Rights in cities, volume one dedicated to the right to adequate housing.

Policies are continuously being developed to strengthen the overall UN-Habitat project cycle, for example, thematic rights-based policy development, (Housing; Urban Basic Services, Forced Evictions, Engagement with the Human Rights Mechanisms); participation in UNDG inter-agency human rights mainstreaming (UNDG-HRM), including policy debates on the future of human rights mainstreaming in the UN System; technical support to country programmes; instituting of UN-Habitat's first human rights focal point for a UN Country Team (Kenya) and human rights in UN-Habitat project development; rights-based review and appraisal of UN-Habitat projects (through Project Appraisal Committee, analysis and trend-setting).



## 5.0: HABITAT III and the Post 2015 Process

### 5.1 United Nations Conference on Housing and Sustainable Urban Development (HABITAT III)

#### Introduction

The purpose of the present note is to provide an update on what has happened so far in the preparatory process for the United Nations Conference on Housing and Sustainable Urban Development (Habitat III), as well as a general roadmap on what is to follow, especially during the 2014-2015 biennium.

#### United Nations General Assembly Resolutions on Habitat III

The General Assembly, through its resolution 66/207 of December 2011, decided to convene the Third United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in 2016. The purpose of the conference would be to reinvigorate commitment to sustainable urbanization through a “New Urban Agenda”. The Assembly decided that the Habitat III preparatory process would make use of planned regional and international meetings in order to reduce costs.

In mid-2012, the Executive Director of UN-Habitat, Dr. Joan Clos, was designated Secretary-General of Habitat III. In December 2012, the General Assembly, through resolution 67/216, established the Habitat III Preparatory Committee (Prepcom). It also decided that the first meeting of the Prepcom would be held in New York for two days during the 69<sup>th</sup> session of the Assembly. The second meeting of the Prepcom would be held in Nairobi in 2015 for three days, taking advantage of the 25<sup>th</sup> session of the UN-Habitat Governing Council. The Assembly further decided that the final dates, format and organizational aspects of Habitat III would be considered not later than its 69<sup>th</sup> session. It established the Habitat III Trust Fund, and requested the Habitat III Secretary-General to prepare a proposal for consideration by the UN-Habitat Governing Council at its 24<sup>th</sup> session on how best to provide inputs and support to the Habitat III preparatory process.

#### UN-Habitat Governing Council Resolution on Habitat III

The Governing Council of UN-Habitat, through its resolution 24/14 of April 2013, accepted the main elements of the Habitat III Secretary-General’s proposal, but requested him to refine it by: (i) considering the inputs of UN system organizations and Habitat Agenda partners to the Habitat III preparatory process; (ii) presenting strategic options for UN-Habitat’s contribution to the Habitat III preparatory process; (iii) providing a think piece that would serve as a conceptual basis for the Habitat III preparatory process; and (iv) suggesting guidelines and format for the preparation of Habitat III country reports. The Council also requested Member States to establish or strengthen their National Habitat Committees and to prepare Habitat III national reports, using those committees, before the first meeting of the Prepcom. The Council further requested the Habitat III Secretary-General to prepare, with the support of the UN system, regional and global reports based on country reports, and to provide support to Member States in the preparation of their Habitat III national reports.

#### Follow-up on Governing Council Resolution on Habitat III

UN-Habitat has now prepared a draft Habitat III ‘think piece’, which has been presented to the Committee of Permanent Representatives and distributed to other UN system organizations for comments and further inputs. UN-Habitat has also developed two strategic options for its input to the Habitat III preparatory process. Each option envisages a different level of funding. Maximum effort will be made to mobilize sufficient voluntary contributions for the best case scenario, i.e. US\$8.9 million.

UN-Habitat has further developed draft guidelines for the preparation of Habitat III national reports. These have benefitted from the inputs of Member States and Habitat Agenda partners, including through an e-consultation, and have been distributed to all Governments. These guidelines, together with an earlier guide on the establishment or strengthening of National Habitat Committees distributed to all Governments in January 2013, have enabled the preparation of Habitat III national reports to begin.

In addition, UN-Habitat has prepared proposals on the contributions of the UN system and Habitat Agenda partners to the Habitat III preparatory process. These were endorsed at a UN interagency meeting held on 3 July 2013 in Geneva, at which a UN Interagency Coordination Committee for Habitat III was established. Another meeting of the Coordination Committee was held on 27 November 2013 in New York.

More formally, UN-Habitat has recently proposed the introduction of a new agenda item titled “A New United Nations Urban Agenda” in the work of the High Level Committee on Programmes (HLCP) of the United Nations Chief Executives Board for Coordination (CEB). On the basis of discussions on this agenda item, it is expected that the HLCP will make policy recommendations on “A New United Nations Urban Agenda” for the CEB’s approval. It is also envisaged that those recommendations will constitute the formal input of the UN system organizations to the Habitat III preparatory process.

## Funding for Habitat III

The UN Controller has fully operationalized the Habitat III Trust Fund, which is expected to mobilize US\$8.9 million, and an account for deposit of voluntary contributions has been opened. In December 2013, the UN General Assembly allocated, under Human Settlements (Section 15 of the UN Regular Budget), an amount of US\$2,073,700 for the Habitat III preparatory process during the 2014-2015 biennium. A further amount of US\$1,063,000 was allocated under General Assembly and Economic and Social Council Affairs and Conference Management (Section 2 of the UN Regular Budget) for the organization of the first two Habitat III Prepcom meetings, in September 2014 and April 2015, respectively.

## Main Habitat III Processes and Events: 2014-2015 [To be continually updated]

1. January-August 2014: Preparation, by Governments, of national Habitat III reports.
2. September 2014-March 2015: Preparation, by UN-Habitat, of Habitat III regional reports for consideration by regional inter-governmental bodies.
3. World Urban Forum 7, 5-11 April 2014, Medellin, Colombia: Launching of Habitat III preparatory process and consideration, by all Habitat Agenda partners, of key issues that could be included in the outcome document of Habitat III.
4. First Meeting of the Habitat III Prepcom, 17-18 September 2014, New York, USA.
5. Second Meeting of the Habitat III Prepcom, April 2015, Nairobi, Kenya.

## 5.2 The Post-2015 United Nations Development Agenda and Sustainable Development Goals

### Introduction

The Post-2015 United Nations Development Agenda processes are running alongside the Sustainable Development Goals processes, which are a follow-up to the Rio+20 Conference. However, these two sets of processes are very likely to end up as one set of goals. The objective of UN-Habitat’s participation in these processes is to provide adequate information to Governments, the United Nations Secretariat and other stakeholders on the role of urbanization in sustainable development, with a view to ensuring that sustainable urbanization is reflected in both the Post-2015 UN Development Agenda and the Sustainable Development Goals, as well as in the processes leading to these outcomes.

### UN-Habitat’s Contribution to the Post-2015 Development Agenda and Sustainable Development Goals Processes

Since the beginning of 2012, UN-Habitat has been participating in the work of the United Nations System Task Team on the Post-2015 United Nations Development Agenda and its Working Group on Indicators. UN-Hab-

it also co-led a thematic consultation on population dynamics, part of 11 thematic consultations organized by the Millennium Development Goals Task Force. In addition, it contributed to five other thematic consultations relevant to its mandate, i.e. those on environmental sustainability, governance, energy, water and inequalities.

UN-Habitat also provided input on sustainable urbanization to the High-level Panel of Eminent Persons on the Post-2015 Development Agenda. It participated in the technical support team of the Open Working Group on Sustainable Development Goals. In particular, UN-Habitat contributed to the Seventh Session of the Open Working Group held from 6 to 10 January 2014. It also participated in the activities of the Sustainable Cities Group of the United Nations Sustainable Development Solutions Network and of the United Cities and Local Governments' Global Task Force of Local and Regional Governments.

In addition, UN-Habitat worked, and will continue to work, with Governments at the country level to explain the importance of sustainable urbanization in national development in the context of discussions on the Post-2015 Development Agenda and Sustainable Development Goals, as well as of national preparations for the Third United Nations Conference on Housing and Urban Development (Habitat III).

In December 2012, and as part of the above-mentioned efforts, UN-Habitat suggested a stand-alone goal on sustainable cities and human settlements as well as related targets. These have evolved over the last 13 months or so, and the latest formulation is shown in the annex to the present document.

### Outcome of UN-Habitat's Efforts to Date

Partly as a result of UN-Habitat's efforts, combined with the efforts of other organizations and Habitat Agenda partners, there is increasing recognition of the contribution of urbanization to sustainable development. The report of the High Level Panel on the Post-2015 Development Agenda, **"A New Global Partnership: Eradicate Poverty and Transform Economies through Sustainable Development"**, published in May 2013, emphasized that "Cities are where the battle for sustainable development will be won or lost..." and also recognized the key role of local authorities. The report considered cities as cross-cutting and its set of illustrative goals and targets included a number of urban-related targets scattered across a number of illustrative goals.

The UN Secretary-General's report titled "A life of dignity for all: accelerating progress towards the Millennium Development Goals and advancing the United Nations development agenda beyond 2015", released in July 2013, recognized "Meet[ing] the challenges of urbanization" as one of 14 key "...transformative and mutually reinforcing actions that apply to all countries..." that will be required to bring to life the vision of the development agenda beyond 2015 (paras 82 and 94). The report also recognized that "... With rapid urbanization and population growth ... the number of slum dwellers is on the rise" (para. 29).

The Global Task Force on Local and Regional Governments for Post-2015 and Habitat III suggested, in March 2013, recognition of the role of local and regional governments as well as eight objectives, including one on urban planning and design, territorial cohesion and climate change resilience.

The Sustainable Development Solutions Network (SDSN) recommended, in June 2013, a stand-alone goal on "empowering inclusive, productive and resilient cities", plus three targets. SDSN's Thematic Group on Sustainable Cities, supported by UN-Habitat, UCLG, Cities Alliance, ICLEI, and Metropolis prepared a paper titled "Why the World Needs an Urban Sustainable Development Goal" in September 2013.

The Mayors Adaptation Forum Bonn Declaration of June 2013 urged "...nations to adopt a universal sustainable development goal for cities".

The Communitas Coalition for Sustainable Cities and Regions is promoting the development of an urban goal with targets related to the economic, social, environmental, spatial and cultural dimensions of sustainable development.

At the Seventh Session of the Open Working Group held during the period 6-10 January 2014, which focused on sustainable cities and human settlements and sustainable transport, among other topics, there was support by Member States for the inclusion of urbanization in the post-2015 Sustainable Development Goals. The Co-Chairs, in their summary at the end of the Session, observed that "The inclusion of an urbanization-related goal in the SDGs was supported by many."

# Annex 1:

## Proposed Goal and Targets on Cities and Human Settlements

### Goal

Currently there are three alternative formulations for an urban SDG:

*Achieve sustainable cities and human settlements*

*Achieve safe, inclusive, productive and resilient cities and human settlements*

*Achieve well-planned cities and human settlements*

### Targets

Twelve (12) targets, spread across four clusters, have been proposed.

#### Cluster One: Improved Spatial Configuration of Cities and Human Settlements

##### **Resource Efficient Use of Urban Land**

*By 2030, halve the acceleration of sprawl (urban land cover) relative to population increase*

##### **Proportion of Public Space**

*By 2030, increase by one third the amount of urban public space over total urban land area, with particular consideration of urban safety*

##### **Access to Safe and Affordable Public Transport**

*By 2030, reduce by half, the average travel time taken per person to access jobs, goods and services by cleaner, affordable and safer public transport and/or walking and cycling*

#### Cluster Two: Improved Living Conditions

##### **Urban Slums and Adequate Housing**

*By 2030, to halve the proportion of people living in slums in each country towards inclusive and adequate housing*

##### **Land Tenure Security**

*By 2030, increase by x% the share of women and men, communities and businesses with secure rights to land, property, and other assets*

*By 2030, ensure equal right of women to own and inherit property, sign a contract, register a business and open a bank account*

##### **Access to Safe Drinking Water and Adequate Sanitation**

*By 2030, all utilities and municipal governments provide sustainable and safe water and sanitation services to all in their jurisdiction*

#### Cluster Three: Enabling Urban Policies

##### **Inclusive National Urban Policies**

*By 2030, increase to 50% the number of countries adopting and implementing inclusive national urban policies to coordinate ministerial and sectoral efforts at different levels of government for sustainable urban development, territorial cohesion and urban-rural linkages*

##### **Multi-sectoral Urban Resilience Policies**

*By 2030, increase to 20% the number of cities adopting and implementing policies and plans that integrate comprehensive measures to strengthen resilience*

##### **Public Expenditure by Local Government**

*By 2030, reach a 15% of total public expenditure by local governments*

## Cluster Four: Targets Relevant to Other Likely SDGs

### **Inclusive Policies to Facilitate Urban Job Creation**

*By 2030, to achieve full and productive employment and decent work for urban young men and women*

### **Renewable Energy and Access to Improved Energy**

*By 2030, double the share of renewable energy in urban areas to 30% of the global energy; double energy efficiency in all buildings and transport; and achieve universal access to improved energy in urban areas*



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