

MANAGEMENT RESPONSE AND KEY ACTIONS FOR WUFs REVIEW 2002-2008

Recom. No	Review Recommendation	Management Response	Key Actions	Time Frame	Responsible Unit(s)	Status of implementation	Comments
Issue (a)	<i>Timing between Governing Councils and Sessions of the World Urban Forum</i>						
Recom.1	The ideal period between GC and WUF sessions should be 12 months, allowing a fluctuation by only 2 months. In other words the minimum and maximum period between these sessions should not be less than 10 or more than 14 months. Priorities of the host country should not influence this periodicity	<u>ACCEPTED</u> Implementation of the recommendation will allow sufficient preparation period for WUF and GC sessions and help strengthen the linkages and synergy between the GC and WUF	UN-Habitat to ensure spacing of 12 months, allowing a fluctuation of only 2 months, that is periods between GC and WUF sessions should not be less than 10 or more than 14 months.	The implementation of this recommendation started with the planning and organizing of WUF5	OED/CPR	Period between the 22nd Session of the GC, held from 30 March 2009 to WUF 5, held from 22 March 2010 to ... is about 12 months. This allowed adequate time for planning for WUF5. Future planning of WUFs will take these timelines into account.	The recommendation started being implemented with the planning of WUF5 and the 23rd Session of the GC.
Issue (b)	<i>Mobilization of adequate and predictable resources</i>						
Recom.2	UN-Habitat should prepare WUF budget plans. The plan should spell out the core activities which are already funded and others which are not. The margin of last minute adjustments within plans should not exceed 20 percent. Based on this plan, the Secretariat should be more proactive in mobilization of resources through innovative mechanisms of funding, such as sponsorship from the private sector.	<u>ACCEPTED</u> Experience from WUF4 where it was realized that the host country contribution was far lower than was expected makes this recommendation very relevant.	For future WUFs, consolidated budget plans for core activities will be developed, indicating secured resources and funding gaps. The plans will have clear objectives and activities linked to the MTSIP and Work Programme. A database of potential donors, including the private sector, for specific activities will be developed and requests for sponsorship will be coordinated following the Resource Mobilization Strategy. A consolidated Workplan will be prepared for WUF6.	Implementation of this recommendation will start with preparation of the WUF6 budget plan.	GC Secretariat, WUF Unit, PSD and Resource Mobilization Unit	The recommendation was made when the budget plan for WUF5 had already been developed, consisting of the contribution from the Host Country and an allocation from the UN Habitat and Human Settlements Foundation. Preparation of WUF6 budget plan will take into account this recommendation.	Implementation of this recommendation to start with preparations for WUF6.

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Recom.3	Based on the consolidated plan, linking the WUF and the WPB and MTSIP , the CPR could advocate for special contributions to core WUF activities where there are funding gaps	ACCEPTED Consolidated WUF work plans and budget would be useful for demonstrating how WUF objectives and its activities are connected to the MTSIP and the Work Programme and will be useful for resource mobilization.	CPR to advocate for special contributions using the budget plans developed.	Implementation of this recommendation will start with preparations for WUF6 budget plan.	CPR		WUF activities such as training, seminars and networking events have proved conducive environment for tapping into funding sources of donor countries through the CPR.
Issue (c)	<i>Consideration of specific provision within the United Nations Habitat and Human Settlements Foundation budget for activities related to the WUF</i>						
Recom.4	(i) The Secretariat should prepare a consolidated plan and budget for WUF, identifying core activities linked to expected results that could be considered for Foundation funding. Since the WUF has become an important platform for UN-Habitat's work, it is reasonable to fund it from the general purpose contributions. Donors could also contribute special funds for WUF. PSD should devise a simple budgeting and reporting format which details the costs and budget sources of different components of expenditure to the CPR in a transparent manner to facilitate communication on budgetary issues. UN-Habitat should make an estimation of minimum-maximum range of	PARTIALLY ACCEPTED Accepted, but needs discussion. The Secretariat will prepare a consolidated budget for WUF. However, experience from the previous WUF sessions reveals that host country contributions are variable and not predictable. For instance, core activities of the Nairobi session were fully sponsored by the Foundation Budget. For the Barcelona session, the majority of financial inputs also	A consolidated plan and budget for WUF sessions to be prepared, including core activities that could be considered for Foundation funding. PSD to facilitate communication on budgetary issues, and devise simple budgeting and reporting format detailing different component costs. UN-Habitat will make provisional estimates of minimum-maximum range of host country contributions from the onset.	The recommendation to apply in the preparation and implementation of WUF 6.	OED; GC Secretariat (WUF Unit) in consultation with PSD to coordinate the preparation of the WUF budget estimates.	WUF 6 will have consolidated plans and budgets.	

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	<p>host country contribution from the onset.</p> <p>(ii) Depending on which recommendations are implemented, the specific amount of the provision could either be USD 1 million, or USD 1.5 million.</p>	<p>came from the Foundation. The share of the Foundation sources reduced for the session in Vancouver due to the higher amount of resources contributed by the host country. For Nanjing, the Foundation's contribution increased due to reduced host country contribution. A specific amount of the provision from the Foundation could therefore be determined after knowing the contribution of the host country.</p>					
Issue (d)	<i>Scale of inclusiveness and effectiveness of participation</i>						
Recom.5	<p>The tradition of using E-Forums prior to WUF sessions should be promoted. The Secretariat or the multi-partner Steering Committee should also consider a smaller scale E-Forum in order to enable access to current human settlements issues on the ground, to be used for the selection of themes and speakers.</p>	<p><u>ACCEPTED</u> WUFs are becoming key urban development platforms for debate and discussions on most pressing urbanization issues. The Pre-session E-forum "the Habitat Jam" for WUF3 and the e-debates on the dialogue topics of WUF5 broadened</p>	<p>The recommendation has been implemented, starting with WUF5. Small scale E-Forum debates on current human settlements issues have been undertaken; Dialogue Coordinators are in the process of preparing summary reports that will be used during dialogue discussions; and some elements of E-debates are to be integrated into the background documents of WUF. Live broadcast of future World Urban Forum sessions will be considered.</p>	<p>Prior to the WUF5 session, small structured E-Forums were initiated as a cost-and-time-effective tool for enabling participation in WUF.</p>	<p>WUF coordinating Unit and designated Dialogue coordinators of E-debates.</p>	<p>The recommendation has been implemented, starting with WUF 5</p>	<p>Use of E-Forums will in future take into consideration technological developments for effective inclusiveness.</p>

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		and strengthened the scale of inclusiveness and effective participation in the forum without people necessarily traveling to the WUF venue.					
Recom.6	WUF organizers should improve the quality of sessions by: i) maintaining a balance between the new and familiar themes: 50 percent of themes should be new and 50 percent familiar; ii) using substantive considerations as a prime criteria for the selection of key note speakers, allowing for a reasonable margin of political considerations; iii) holding moderators responsible to conduct lively sessions, adhering strictly to time limitations; and iv) the increased use of visual and artistic media	<u>ACCEPTED</u> Overall impression of quality of speakers and dialogue facilitators was that they were mostly dominated by politicians and dignitaries. There was also a feeling of fatigue resulting from hearing the same things. In WUF 5 new approaches have been initiated taking into account the findings of the review.	(i) For WUF5 the themes were rated balanced, in terms of new versus familiar themes. (ii) Criteria for selection of speakers (panelists) have been developed. (iii) Clear terms of reference for the moderators of dialogues for WUF 5 were developed to hold moderators accountable. (iv) Quality assurance guidelines were developed for the different sessions.	The recommendation has been implemented, starting with WUF 5	Dialogue coordinators.	The recommendation has been implemented, starting with WUF 5, and will continue to be implemented for future sessions.	
Recom.7	The Governments of Spanish and Arabic speaking countries as well as the Francophone countries could consider following the example of Russia and China by sponsoring the interpretation	<u>ACCEPTED</u> Language poses a major constraint and excludes many from effective participation. This is a common problem of other international meetings. Sponsorship of interpretation by Member States would solve this problem.	Respective countries and language blocs, especially the French and Spanish speaking were contacted for interpretation at WUF5.	The recommendation to be implemented, starting with planning of WUF5.	GC Secretariat CPR and RTCD	For WUF5, the Government of Brazil offered interpretation in English, French, Spanish and Portuguese for the opening and closing ceremonies, the dialogues and the thematic open debates. Interpretation in other events and meetings was provided on a commercial basis upon demand, for example the 24	The WUF is conducted in English. Efforts to explore sponsorship for interpretation should continue.

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						networking events which had interpretation in English and Portuguese.	
Issue (e)	<i>Strengthening Participant preparations</i>						
Recom.8	National Urban Forums should be promoted by the UN-Habitat. The establishment of the Regional Urban Forums should be facilitated and supported by the Regional and Technical Cooperation Division in order to support the national initiatives to set up and operate the Forums.	ACCEPTED At least 12 National Urban Forums were reported as active in 2009 in three regions, partly as a result of efforts at previous WUF sessions. As part of the normative work of UN-Habitat, national urban forums are considered as important platforms for promoting sustainable urbanization and for the World Urban Campaign.	UN-Habitat will facilitate and provide support towards the establishment of national urban forums in countries in which they have not been set-up, partly in order to include more stakeholders in preparations for WUF sessions . RTCD will work through HPMS to achieve this. Funding support of USD 500,000 has been provided in the budget for 2010-11 biennium to support about 15 countries in Africa, LAC and Asia. Ministerial organs such as AMCHUD, APAMCHUD and MINURVI will serve as regional fora.	The recommendation to be implemented starting with planning for WUF6.	PSD & RTCD,	Implementation is on going	
Issue (f)	<i>Results-based-management-compatible evaluation process to ensure that specific objectives of the WUF relate to the UN-Habitat's Medium Term Strategic and Institutional Plan (MTSIP) and the biennial Work Programme and Budget (WPB)</i>						
Recom.9	Plan future WUF sessions using an RBM model: (a) The role of the Secretariat in WUF should be defined and its borders of influence clearly drawn. (b) The expected results and success criteria should be clearly articulated using a RBM evaluation model, taking	ACCEPTED Future WUF sessions will be planned, monitored and evaluated using the RBM model. The role of the Secretariat, expected accomplishments, indicators of achievement and areas of	A new M&E guide developed on RBM principles, and to apply to all programmes, is being finalized. TOR for evaluating WUF5 were developed. The participants' satisfaction survey tool to include information on selected performance indicators on UN-Habitat's role.	Implementation of the recommendation started with WUF5,. The main challenge is availability of resources.	OED, GC Secretariat, PSD, M&E Unit	Evaluability assessment was carried out on the planning documents of WUF5, Evaluation of WUF5 was carried out using the RBM model.	There are domains where UN-Habitat does not have control, such as some roundtables it holds jointly with other partners and networking events, as well as host country preparations. This means planning

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	<p>into account the MTSIP results-framework and the work programme and budget.</p> <p>(c) Evaluability assessments of WUF plans should be carried out to ensure that WUF sessions can be monitored and evaluated effectively. The existing set of monitoring instruments need to be coupled with additional tools as necessary in order to evaluate the results over which UN-Habitat has influence</p> <p>(d) The concept of “results-based-management” should be put into practice, by developing an integrated monitoring and evaluation plan for the Secretariat’s programmes, ensuring that 3 percent of the WUF budget is allocated for monitoring and evaluation</p> <p>(e) As the subsidiary body of the Governing Council the CPR should ensure that; Linkages between the WUF and MTSIP are well articulated in plans and that the results of WUF interventions are evaluated.</p>	<p>accountability will be clearly defined.</p> <p>Evaluability assessments of WUF plans will be carried out to ensure monitoring & evaluation of WUF sessions is possible..</p>	<p>Tools for assessing quality and impact of UN-Habitat’s contribution at WUF sessions to be developed. This will include tools for follow-up with selected partners</p> <p>Monitoring and evaluation will be a core activity in the WUF plans. For the WUF 6 consolidated budget, an estimate of resources required for core activities, including M&E, will be made.</p>		Executive Management to make a decision		and evaluating WUF sessions using the RBM model will only partially solve the problem of evaluating the results of WUF. Evaluation is a core activity of WUF and should have a budget line in planning for WUF.
<i>Issue (g)</i>	<i>Location assessment including cost-benefit analysis</i>						

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Recom.10	<p>The host country selection criteria should include the cost effectiveness of location with regard to accommodation, daily subsistence allowance and travel and flexibility of conference facilities. Cost benefit analysis should also take into account the share of staff travel costs. The number of staff traveling for sessions should be directly linked to their accountability to specific WUF results.</p> <p>Political criteria also need to be considered in the selection of location. The governance mode of the host country/city should allow for the participation of all categories of Habitat Agenda partners. The administrative structure of the host country should be conducive to fast decision making both during the negotiation process and during the sessions</p>	<p><u>PARTIALLY ACCEPTED</u> The proposed approach and criteria will be followed in the selection of the host countries, starting with WUF 6. Location affects overall costs of WUF due to varying airline fares, daily subsistence allowance, etc. However, it should be recognized that this is a delicate political process.</p>	<p>For WUF 6, location assessment including a cost-benefit analysis will be carried out.</p>	<p>The proposed criteria and process will be applied from WUF 6 onwards.</p>	<p>OED/ODE D; GC Secretariat</p>	<p>Implementation will start with WUF 6</p>	
Issue (h)	<i>World Urban Forum Budget Planning process and financial transparency.</i>						
Recom.11	<p>The Secretariat has used an iterative planning strategy to better cope with the unpredictable funding. In general, the WUF organizers and staff are never sure if a fixed and consistent amount of funding would be provided for their core activities. Hence, the</p>						

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	margin of flexibility has been too wide to be tolerated by the standards of any modern method of planning. Due to the lack of transparent planning instruments, activities appeared <i>ad hoc</i> , and lacked visible links to the overall work programme. (Repeationsee Issues under (b) and (c))						
Issue (i)	<i>Timely negotiation of host country agreements</i>						
Recom.12	The WUFs should be subjected to a hybrid form of an open-bidding-system, where the criteria of applying, and the conditions expected of the country/city are well articulated The bidding is called “hybrid”, because being a UN conference, there will always be a need to consider the geographical and political dimensions, such as regional rotation. In order to synthesize geographical and functional considerations, the bidding for a certain WUF could be confined to a certain continent, rather than be open to all countries.	<u>ACCEPTED</u> WUF sessions have evolved to become big events, complicated to organize, and very much in demand, and with many countries expressing interest to host. Capitalizing on demand, UN-HABITAT will seriously consider changing its approach in selection of host country and negotiation processes.	Negotiations with Brazil as the host country for WUF5 started well in time and progressed well. Communication was smooth compared to some previous sessions where there were multiple layers of consultations required for decision making. Negotiations relating to conference facilities, registration, cultural activities, banking systems, logistics, communication, security etc, are all on track.	The recommended selection process will be applied to WUF 7.	OED/ODE D, GC Secretariat, ISS, UNON	The recommendation is partially implemented.	
Recom.13	The host-country negotiations should follow an institutional blue print with set criteria and the mapping of roles and responsibilities.	<u>ACCEPTED</u> Negotiating parties to use guidelines.	A checklist for assisting the host country negotiations process and guide negotiating parties have been prepared. WUF Unit to produce a Manual for WUF to improve efficiency in its planning and related negotiations, as	The recommendati on is being implemented - started with WUF 5	GC Secretariat/ WUF Unit, OED/ODE D	The recommendation is partially implemented. Detailed Guidelines for negotiations will be developed and applied to WUF6. The preparation	Lessons learned from WUF 5 will inform the process.

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			well as in event management.			of the WUF manual is on-going.	
Recom.14	The checklist attempts to define the role of the CPR as well as other parties. It is recommended that the CPR contributes from the substantive point of view, by advising on the proposed agenda of the WUF sessions. The CPR should play an advisory role on the budget planning for the WUF.						
Issue (j)	<i>Timely submission and distribution of pre-session documents</i>						
Recom.15	The evaluation suggests that in accordance with the practices of the UN Conferences, the pre-session documents should be submitted 6 weeks before the event.	ACCEPTED This recommendation is in line with the on-going initiatives in Excellence in Management on organizational effectiveness.	The pre-session documents are aimed at two target groups: the CPR and the public in general.	The recommendation has been implemented, starting with WUF5.	GC Secretariat and Substantive sections.		There is room for improvement in the submission of the pre-session documents.
Issue (k)	<i>Need to strengthen UN-Habitat internal management process</i>						
Recom.16	The WUF team within the Secretariat needs to be strengthened. The GC and the WUF could be managed by different leaders, under the same Branch. An additional full time professional staff needs to be deployed, preferably proficient in both handling complex operations, as well as, authoritative in the field of human settlements programme. Through such a team, the missing link between	<u>PARTIALLY ACCEPTED</u> The WUF Coordination Unit was established to strengthen the GC Secretariat. There is no need to create two reporting lines. The WUF team needs to be strengthened. The level of professional staff will	ED to define clear roles and responsibilities and reporting lines The roles should be clear on who takes responsibility for planning, coordination, negotiations, protocol matters and event management.. The relative priority of the additional staff recommended for the WUF team will be reviewed and decided as part of the preparation of the 2012-2013 Work Programme and Budget.	Implementation of the recommendation is waiting for a decision by ED.	OED	The recommendation will be implemented once the ED makes a decision.	ED to make a decision on this recommendation.

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	the operational and substantive sections preparing for the WUF, perceptions of exclusion could be overcome.	be established taking into account HHS Foundation funding resources. With WUF 5, coordination between the operational and substantive divisions improved.					
Recom.17	Consider establishing a multi-partner Steering Committee, representing the host country/city (four representatives), the Secretariat (one representative), NGO (one representative), professional/academic, (one representative), and UCLG (one representative). Roles and responsibilities of each party would need to be defined. The role of this committee would need to go beyond the organization of the event to raise the performance bar, from the substance point of view.	<u>ACCEPTED (REC)</u> The Steering Committee representing different stakeholders will be established. The Committee's role should go beyond the planning and organizing WUF to raising its performance.	The Secretariat to establish A multi-partners Steering Committee in which all Habitat Agenda Partner groups will be represented. It is suggested that the Steering Committee also include representatives of the CPR.	It is intended to establish the Steering Committee before WUF6 .	OED/ODE D	The recommendation is not yet implemented.	
Recom.18	In view of the growing complexity of the Sessions and increasing number of staff engaged in preparations, a virtual follow up system should be developed. The main components of this system should include a <i>WUF Newsletter</i> that highlights	<u>ACCEPTED</u> There were regular communications on the progress of the WUF 5 plans. The UN-Habitat website maintained regular	Division Directors are now more involved in the preparation processes. The Programme Review Committee will approve the WUF plans, which have to be aligned to the MTSIP and work programme. The MTSIP Steering Committee, as the	Implementation of the recommendation is on-going.	GC Secretariat	The recommendation is being implementation. WUF Coordination Unit has played its role of coordination and staff are involved.	

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	major decisions taken during missions, and meetings, as well as the substantive arguments regarding the themes, and speakers. Division directors need to be more visible in the preparatory process and the MTSIP Steering Committee should also ensure that the WUF plans are linked to the MTSIP and the work programme.	communication and progress on preparation for WUF 5. Staff's specific roles to be defined in early stages of planning for WUF 6.	overall entity responsible for ensuring programme alignment, will review the WUF plans. WUF Newsletter established. It highlights major decisions taken during missions, and meetings				
Issue (I)	<i>Cooperation with Habitat Agenda Partners</i>						
Recom.19	More energy should be devoted to engage the UN in the WUF. This could be possible through special efforts geared towards involving them more in the organization of events. As part of its routine programme, the Secretariat should have a close look in the UN's programmes that cater to the urban poor, and build long-term partnerships. As a platform for advocating urban development-related issues, the UN's effective participation in WUF sessions could be used for enhancing UN-Habitat's long-term partnership with the rest of the UN.	ACCEPTED WUF is a UN event. Initiatives for strengthening engagement and participation of other UN agencies in future WUF sessions are ongoing.. Targeting and marketing efforts to ensure key players are involved are part of these initiatives	Starting with WUF 5, divisions started identifying and implementing relevant WUF activities/events in collaboration with other UN-agencies. These activities/events will be incorporated into plans for future WUF sessions. UN-Habitat Focal Points for UN agencies have put in special effort to engage UN organizations, especially those that cater for the urban poor. A special event on South-South cooperation will be organized at WUF 6, in collaboration with the UNDP Bureau of South-South Cooperation. Other partners, such as the ILO and WB, who have participated in previous sessions will be engaged. A side event of on Delivering as One UN will take place at WUF 6.	Implementation of the recommendation started with planning for WUF 5.	GC Secretariat, UN-Habitat Focal Points for UN agencies.	Implementation is in progress.	
Issue	<i>Preliminary outcomes from the WUF</i>						

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Recom.20	The Secretariat should build a system of WUF-To WUF follow-up on policy debate. It should summarize and track key arguments, the recommendation as to what comeout, and take action, presenting what accomplishments were made and identify gaps.	<u>ACCEPTED</u> UN-Habitat will take steps in improving its results-based-evaluation and follow-up process. The substantive debate aspects as well as results achieved will be documented.	Results-based planning, monitoring and evaluation to be fully implemented with respect to WUF6. In addition, more systematic policy debates will be undertaken.	Evaluation of WUF planning, WUF sessions, and post WUF activities, including looking at outcome levels, will start with WUF 6.	Reporting Team of WUF, GC Secretariat, MTSIP Steering Committee , M&E Unit, Programme Planning Unit (PSD)	Implementation of the recommendation started with WUF 5	