



Twenty-sixth session

Nairobi, 8–12 May 2017

Item 8 of the provisional agenda*

**Work programme of the United Nations Human
Settlements Programme and budget of the United Nations
Habitat and Human Settlements Foundation for the
biennium 2018–2019**

**Proposed work programme and budget for the biennium
2018–2019**

Addendum

**Draft revised strategic plan of the United Nations Human
Settlements Programme for the period 2014–2019**

Report of the Executive Director

Summary

In its resolution 23/11, the Governing Council of the United Nations Human Settlements Programme (UN-Habitat) at its twenty-third session, in April 2011, requested the Executive Director to develop, in consultation with the Committee of Permanent Representatives, a strategic plan for the period 2014–2019, including a road map for the preparatory process, taking into account the recommendations of the peer review and other reviews of the medium-term strategic and institutional plan for the period 2008–2013, for presentation to and approval by the Governing Council at its twenty-fourth session in early 2013. In April 2013, in its resolution 24/15, the Council approved the strategic plan for the period 2014–2019. Paragraph 95 of the strategic plan states that the plan is to be adjusted on the basis of the midterm evaluation of its implementation in 2016, the outcome of the United Nations Conference on Housing and Sustainable Urban Development (Habitat III), entitled “New Urban Agenda”, and any changes in the governance structure of UN-Habitat. Accordingly, the present report sets out the draft revised strategic plan for the period 2014–2019, which was endorsed by the Committee of Permanent Representatives at its sixty-fourth regular meeting, on 20 March 2017. The suggested amendments respond to the New Urban Agenda and lessons learned to date in the implementation of the strategic plan. They also take into account, within the mandate of UN-Habitat, the 2030 Agenda for Sustainable Development and the Sustainable Development Goals, the Addis Ababa Action Agenda of the Third International Conference on Financing for Development, the Sendai Framework for Disaster Risk Reduction 2015–2030, the Paris Agreement on climate change and the New York Declaration for Refugees and Migrants. As the midterm evaluation is yet to be completed, the present draft revised strategic plan may be further updated to reflect the recommendations of that evaluation. Part I, entitled “Strategic analysis”, presents the rationale for the plan, highlighting the external and internal factors that shaped its content and responding to the question “Why?” Part II, entitled “Strategic choice”, presents the plan’s core elements and addresses the question “What?” Part III, entitled “Strategy implementation”, describes how the plan will be implemented and addresses the question “How?”.

* HSP/GC/26/1.

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I. Strategic analysis

A. Introduction

1. The Governing Council of the United Nations Human Settlements Programme (UN-Habitat), in its resolution 23/11, adopted at its twenty-third session, requested the Executive Director, in consultation with the Committee of Permanent Representatives, to develop a strategic plan for 2014–2019, taking into account the recommendations of the peer review and other reviews of the medium-term strategic and institutional plan for 2008–2013, for presentation to and approval by the Governing Council at its twenty-fourth session (HSP/GC/23/7). In April 2013, in its resolution 24/15, the Council approved the strategic plan for 2014–2019. Paragraph 95 of the strategic plan states that the plan is to be adjusted on the basis of the midterm evaluation of its implementation in 2016, the outcome of the United Nations Conference on Housing and Sustainable Urban Development (Habitat III), entitled “New Urban Agenda”, and any changes in the governance structure of UN-Habitat. Accordingly, the present draft revised strategic plan for the period 2014–2019 responds to the New Urban Agenda and lessons learned to date in the implementation of the strategic plan. It also takes into account, within the mandate of UN-Habitat, the 2030 Agenda for Sustainable Development and the Sustainable Development Goals, the Addis Ababa Action Agenda of the Third International Conference on Financing for Development, the Sendai Framework for Disaster Risk Reduction 2015–2030, the Paris Agreement on climate change and the New York Declaration for Refugees and Migrants. As the midterm evaluation is yet to be completed, the present draft revised strategic plan may be further updated to reflect the recommendations of that evaluation.

B. Mandate of UN-Habitat

2. The mandate of the programme is derived from General Assembly resolution 3327 (XXIX), by which the General Assembly established the United Nations Habitat and Human Settlements Foundation; resolution 32/162, by which the General Assembly established the United Nations Centre for Human Settlements (Habitat); and resolution 56/206, by which the General Assembly elevated the United Nations Centre for Human Settlements to the United Nations Human Settlements Programme.

3. The Habitat Agenda, adopted at the United Nations Conference on Human Settlements (Habitat II) in Istanbul, Turkey, in 1996, specified key responsibilities of UN-Habitat in paragraphs 228 and 229. More recently, in the New Urban Agenda, adopted at Habitat III in Quito, Ecuador, in 2016, Heads of State and Government, Ministers and High Representatives reaffirmed the role and expertise of UN-Habitat, within its mandate, as a focal point for sustainable urbanization and human settlements, in collaboration with other United Nations system entities, recognizing the linkages between sustainable urbanization and, inter alia, sustainable development, disaster risk reduction and climate change (para. 165). They also invited the General Assembly to request the Secretary-General to report on the progress of the implementation of the New Urban Agenda every four years (para. 166) and further stated that the preparation of that report would be coordinated by UN-Habitat in close collaboration with other relevant entities of the United Nations system, ensuring an inclusive United Nations system-wide coordination process (para. 168). In paragraph 171, they underlined the importance of UN-Habitat, given its role within the United Nations system as a focal point on sustainable urbanization and human settlements, including in the implementation, follow-up to and review of the New Urban Agenda, in collaboration with other United Nations system entities.

4. In addition, UN-Habitat, within its mandate, will work to support other internationally agreed development goals, including those contained in the 2030 Agenda and its Sustainable Development Goals, adopted by the General Assembly in its resolution 70/1, entitled “Transforming our world: the 2030 Agenda for Sustainable Development”, in particular Goal 11 (make cities and human settlements inclusive, safe, resilient and sustainable), and other Sustainable Development Goals relevant to cities and human settlements, as well as relevant parts of the Addis Ababa Action Agenda, the Sendai Framework for Disaster Risk Reduction 2015–2030, the Paris Agreement and the New York Declaration for Refugees and Migrants.

C. Urban trends, challenges and opportunities

5. While some elements of this strategic plan represent continuity from the medium-term strategic and institutional plan for 2008–2013, others respond to emerging urban demographic, environmental, economic, spatial and social trends, as well as challenges and opportunities related to these trends.

6. Annex I summarizes the main urban trends, challenges and opportunities that are shaping twenty-first-century cities and that UN-Habitat must respond to through its strategic plan for 2014–2019. The main challenge and strategic factor is rapid urbanization, especially in Africa and in Asia and the Pacific. Many countries find themselves unable to anticipate or plan for the needs arising from the rapid urbanization process, resulting in unplanned urban sprawl and the informal provision of housing and urban basic services. Unplanned sprawl has, in turn, increased urban risk and vulnerability, especially for people living in poverty, and contributed to climate change and reduced urban resilience.

D. Problems identified in the implementation of the medium-term strategic and institutional plan for 2008–2013

7. Several reviews and evaluations, including the peer review of the implementation of the medium-term strategic and institutional plan for 2008–2013 and six-monthly progress reports, have highlighted a number of problems regarding the formulation and implementation of the medium-term strategic and institutional plan for 2008–2013. Some of these have a strong bearing on the strategic plan for 2014–2019:

(a) Gender, youth and partnerships were not properly reflected in all the focus areas as cross-cutting issues when the medium-term strategic and institutional plan was formulated. Gender was addressed only later, in 2009, during the elaboration of the results framework. The issue of partnerships was accommodated in one of the focus areas rather than being reflected across all focus areas;

(b) The medium-term strategic and institutional plan 2008–2013 was developed separately from the biennial work programme and budget. Its focus areas were different from the subprogrammes of the work programme and budget. Although the two documents were progressively aligned, an impression that UN-Habitat was implementing two separate documents was initially created, with the medium-term strategic and institutional plan being sometimes seen as a burdensome add-on;

(c) Because of the initial lack of alignment between the medium-term strategic and institutional plan and the work programme and budget, reporting was initially complex. The medium-term strategic and institutional plan started with a set of focus area objectives and indicators of achievement that were different from the expected accomplishments and indicators of achievement in the work programme and budget. The medium-term strategic and institutional plan results framework, developed later in 2009 rather than at the beginning of the plan's implementation, came up with a different set of focus area strategic results, expected accomplishments, sub-expected accomplishments and indicators of achievement. By that time, both the 2008–2009 and 2010–2011 work programme and budget documents had already been approved;

(d) Some of the expected accomplishments and indicators of achievement of the medium-term strategic and institutional plan formulated in 2009 were not sufficiently specific, measurable, achievable, realistic and time-bound (SMART). In particular, those on “Effective advocacy, monitoring and partnerships” (focus area 1), and a few in the areas of “Environmentally sound basic urban infrastructure and services” (focus area 4) and “Strengthened human settlements finance systems” (focus area 5), were not realistic enough. A number of expected accomplishments and indicators of achievement in focus areas 2 and 3, “Promotion of participatory planning, management and governance” and “Promote pro-poor land and housing”, were not specific enough;

(e) A main challenge for UN-Habitat is and will continue to be the need to document social and economic changes. This is also where the learning potential lies. UN-Habitat needs to strengthen its monitoring and evaluation work in a systematic manner that takes into account the guidance of the Committee of Permanent Representatives and Governing Council resolutions.

E. Lessons learned from the implementation of the strategic plan during the period 2014–2016

8. A number of lessons have been learned from the implementation of the present strategic plan over the last three years (2014–2016):

(a) Involving communities in developing and managing slum upgrading and prevention interventions through what has come to be known in UN-Habitat as the “people’s process” increases the ability of UN-Habitat-supported interventions to access government funds that are available for special groups, including young people and women. In addition, the early participation of all relevant stakeholders in such interventions provides valuable insights into a variety of urban and human settlements issues, removes barriers between stakeholders, and strengthens ownership, resulting in smooth implementation and project sustainability;

(b) Improved vertical and horizontal collaboration and cooperation between the branches at headquarters and the regional and country offices enhances the matrix approach of the organization. Such collaboration and cooperation is largely informal, which leaves room for strengthening formal mechanisms;

(c) Collaboration with relevant research and professional institutions as well as external experts is crucial for enlarging the capacity and impact of UN-Habitat normative work in urban planning and other substantive areas;

(d) Feedback from UN-Habitat training events and planning studios confirms that the emphasis placed by UN-Habitat on sustainable urban patterns (compactness, integration, connectivity, inclusivity, public spaces and mixed land-use development) resonates with the aspirations of policymakers and decision makers;

(e) Municipal powers and resources, macroeconomic conditions, the nature of slums, the capacity of civil society and income levels vary significantly from country to country and city to city, and therefore a “one size fits all” approach does not work;

(f) Identification, prioritization and implementation of “quick impact” investments in housing and shelter development that communities value can enhance the acceptability of project activities that may not appear to confer immediate or short-term benefits;

(g) There is a need to better understand and communicate to humanitarian actors the complexities of the urban environment and the broad range of urban stakeholders, including the need to understand urban violence, land use and corruption. Experience has confirmed that the presence of UN-Habitat among primarily humanitarian agencies in, for example, emergency interventions fills a critical niche in terms of introducing sufficiently early key recovery-, stabilization- and development-oriented goals, including spatial planning, land management and tenure arrangements. The value of this lesson needs to be better integrated into the normative agenda;

(h) The progressive recognition, at the global level, of the crucial importance of local governments as key stakeholders in the implementation of the development agenda, including poverty reduction and the provision of services to citizens, provides a clear opportunity for UN-Habitat to deliver on its mandate. Building on the outcome of the United Nations Conference on Sustainable Development, “The future we want”, and partnering with the Global Task Force of Local and Regional Governments for the Post-2015 Development Agenda towards Habitat III has resulted in highly effective advocacy work that has promoted more confident discussion about the role of local governments in delivering sustainable urban development;

(i) There has been growing recognition among key partners of the importance of engaging young people, capitalizing on the demographic youth bulge. However, inadequate knowledge about youth-led development, a lack of understanding of how to invest in and benefit from such development, as well as inadequate funding for youth programmes, remain top challenges;

(j) Executive direction and leadership, programme coordination, communication, advocacy and partnerships as well as management are vital services and enablers of the implementation of the seven substantive focus areas of the strategic plan, and they should have been included therein, with clear strategic results and meaningful indicators of achievement.

F. Strengths, weaknesses, opportunities and threats

9. In a participatory exercise led by the Executive Director in 2011, division directors carried out an analysis of UN-Habitat strengths, weaknesses, opportunities and threats (SWOT). The results of this analysis, set out in annex II to the present plan, and of the deliberations of the Committee of Permanent Representatives open-ended contact group on the strategic plan for 2014–2019, have provided input for the development of the strategic plan by highlighting areas that could be built on and those in need of management attention.

G. Guiding principles of the strategic plan for 2014–2019

10. In the light of the current mandate of UN-Habitat, the global urban challenges and opportunities, the lessons learned from the medium-term strategic and institutional plan for 2008–2013, and the results of the SWOT analysis described above, this strategic plan is guided by the following basic principles:

(a) The plan reflects the official mandates of UN-Habitat as set forth in section I.B above;

(b) While the plan reflects some continuity from the medium-term strategic and institutional plan for 2008–2013, in terms of focus areas and implementation approaches, it also

responds to emerging urban trends, challenges and opportunities, as elaborated in the Executive Director's policy statement at the twenty-third session of the Governing Council;

(c) The plan reflects the need for UN-Habitat work to specialize in and focus on the subject of urbanization in order to minimize the risk of overlap among the mandates of United Nations system entities;

(d) The plan prioritizes the work of UN-Habitat in order to improve focus and achieve greater implementation efficiency and effectiveness;

(e) A matrix approach is adopted for implementation purposes so as to counter the silo approach that has characterized the organization of UN-Habitat work to date, as well as to achieve greater decentralization of work to the regions;

(f) Gender, youth, partnerships, outreach and communication, capacity development, climate change and best practices are systematically reflected in all the substantive focus areas as important issues, while the needs of older persons, persons living with disabilities and migrants are addressed in relevant parts of the plan, in line with the 2030 Agenda's aim of not leaving anyone behind;

(g) The strategic plan's focus areas correspond to the subprogrammes in the UN-Habitat biennial strategic framework and in the work programme and budget, as well as to the substantive branches of UN-Habitat, thus ensuring complete alignment between the three documents and with the UN-Habitat organizational structure;

(h) The strategic plan contains a results framework, unlike the medium-term strategic and institutional plan for 2008–2013 at the time of its adoption, thus ensuring that reporting on the six-year strategic plan and the biennial work programme and budget are unified into a single process;

(i) The implementation of the strategic plan will be consistent with the New Urban Agenda with the aim of achieving the full implementation of the Agenda in the short, medium and long term;

(j) The strategic plan is an outcome of both top-down and bottom-up preparation processes, combining the Executive Director's vision and strategic direction, on the one hand, with focus areas, a results framework and other components of the plan elaborated through a participatory process, on the other hand;

(k) The implementation of the strategic plan will take into account the urgent need for closer cooperation and coordination with other United Nations entities with a view to avoiding overlapping programmes and activities and duplication of effort.

II. Strategic choice

11. UN-Habitat works with Governments and relevant stakeholders to address the main challenges and opportunities affecting the sustainable development of cities and other human settlements, among them rapid urban demographic growth in developing countries, the increasing spatial extension of cities and the increasing responsibility of urban local authorities to take local action in relation to both local needs and global challenges. UN-Habitat work, which is both normative and operational, seeks to help local, other subnational and national authorities responsible for urban and human settlements issues improve the standard of living of their citizens through improved urban development, planning, management, governance and basic service delivery policies that are in conformity with the guiding principles of sustainable urban development¹ and subsidiarity.

A. Vision

12. UN-Habitat promotes a clearer vision among national and local governments as well as other relevant stakeholders of the need to work towards the realization of sustainable cities and human settlements, with particular emphasis on their equal use by and enjoyment for all, as well as the promotion of inclusivity, ensuring that all inhabitants, of present and future generations, without discrimination of any kind, are able to inhabit and produce just, safe, healthy, accessible, affordable, resilient and sustainable cities and human settlements that foster prosperity and a good quality of life for all.

¹ "Guiding principles of sustainable urban development" refers to the basic actions necessary for achieving socio-spatial equity, environmental safety and economic productivity in urban areas. See UN-Habitat (2009), *Planning Sustainable Cities: Global Report on Human Settlements 2009*, Earthscan, London, p. 4, box 1.1, for a summary of these principles.

B. Mission

13. UN-Habitat, in collaboration with relevant stakeholders and other United Nations entities, supports national, local and other subnational authorities, in line with the principle of subsidiarity, to respond positively to the opportunities and challenges of urbanization by providing normative or policy advice and technical assistance in transforming cities and other human settlements into inclusive centres of vibrant economic growth, social progress and environmental safety.

C. Goal

14. Just, safe, healthy, accessible, affordable, resilient and sustainable cities and other human settlements with adequate infrastructure and universal access to employment, land and basic services, including housing, water, sanitation, energy and transport.

D. Strategic result

15. Environmentally, economically and socially sustainable, gender-sensitive and inclusive urban development policies implemented by national, local and other subnational authorities have improved the standard of living of people living in poverty and enhanced their participation in the socioeconomic life of the city.

E. Focus areas, their strategic results and scope

16. In the light of the factors shaping twenty-first-century cities, and of the current UN-Habitat strengths, weaknesses, opportunities and threats of UN-Habitat, as presented in annex II, four programme areas will be prioritized during 2014–2019, namely: (a) urban legislation, land and governance; (b) urban planning and design; (c) urban economy and municipal finance; and (d) urban basic services.

17. In the past, UN-Habitat has not paid sufficient attention to the first three areas, yet they provide important frameworks for more efficient and effective delivery of basic services, housing, and upgrading of slums, as well as for more effectively responding to both human-made and natural disasters. They may be seen as the levers for the transformation of cities towards greater environmental, economic and social sustainability.

18. The reason for prioritizing the fourth area, urban basic services, is that large numbers of urban dwellers in developing countries still lack access to adequate basic services, especially water and sanitation, but also reliable waste management services, sustainable public transport and safe, affordable, reliable, sustainable and modern domestic energy. In addition, urban populations are increasingly subject to the harmful effects of air pollution resulting from, among other things, transport activities and the continuing reliance on polluting energy sources for indoor lighting and cooking. The 2030 Agenda and the New Urban Agenda both reaffirm the need to address the provision of urban basic services, including water and sanitation, drainage, waste management, sustainable energy and urban mobility, as well as improving air quality. Owing to the enabling nature of basic services and their role in meeting direct human needs, 7 of the 17 Sustainable Development Goals have a strong relationship with urban basic services. Urban basic services are also prominent in the New Urban Agenda, which contains more than 150 references to them.

19. Work in the above four focus areas will enable UN-Habitat to respond to the challenges and opportunities shaping twenty-first-century cities in a more strategic and holistic way, and also to address one of the most significant areas of need in developing countries.

20. UN-Habitat will continue to work in three additional and important focus areas, building on its past success: focus area 5: housing and slum upgrading; focus area 6: risk reduction, rehabilitation and urban resilience; focus area 7: research and capacity development. All seven focus areas will be implemented simultaneously as they are all important and closely intertwined.

21. The emphasis in all seven focus areas will be on assisting urban local authorities, other subnational authorities and central government departments responsible for urban development to put in place more effective policies, strategies, plans and implementation systems, so as to meet the needs of people living in poverty more efficiently and equitably. To achieve this, the catalytic role of UN-Habitat will need to be strengthened and the creation of partnerships at both the national and local levels promoted more vigorously.

22. In all seven focus areas, UN-Habitat will focus its work on clearly defined strategic issues and actions that have the potential to trigger or catalyse change at the urban level as well as strengthen urban-rural linkages. This will be achieved through the implementation of clearly defined projects that combine normative and operational work. In addition to meeting identified community needs,

UN-Habitat operational work will test new approaches and methods, with the lessons learned feeding back into the organization's normative work. Furthermore, the UN-Habitat organizational structure will be fully aligned with its seven focus areas and a project-based management approach will be pursued, thus ensuring greater effectiveness in strategic plan implementation.

1. Focus area 1: urban legislation, land and governance

Strategic result: Local, other subnational and national authorities have established systems for improved access to land and increased security of tenure for all, particularly for women, adopted enabling legislation, and put in place effective decentralized governance that fosters equitable sustainable urban development and the improvement of urban safety.

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

24. To address these deficiencies, UN-Habitat will, under this focus area, provide policy and operational support to Governments and cities with respect to urban legislation, land and governance. Building on the experience of the Global Land Tool Network, and in partnership with local government organizations, UN-Habitat will address existing urban land problems and opportunities to increase security of tenure, particularly for women, utilizing a wide range of tools, including land readjustment. Inadequacies in legislation and institutions (regulatory frameworks) affecting urban development will be addressed to enable Governments to effectively implement national urban policies that promote equality, inclusion, accountability and efficiency. UN-Habitat will also support the development of adequate legislation and governance models for inter-municipal cooperation, as a contribution to sustainable urban development at the regional scale. In addition, UN-Habitat will provide support to local governments and their networks, promote the *International Guidelines on Decentralization and Strengthening of Local Authorities and on Access to Basic Services for All*, and encourage transparent and innovative management, social inclusion and participation. In this manner, it will enhance the capacity of local authorities to foster equitable sustainable urban development, and fund, develop and maintain infrastructure and urban basic services. Building on the experience of the Global Network on Safer Cities, UN-Habitat will support Member States and local governments in their efforts to improve urban safety.

25. In order to enhance gender equality, specific projects designed to improve the level of participation of women in urban governance, especially at the local level, will be implemented through two of the work clusters of this focus area, "Urban legislation" and "Local government and decentralization". Projects to increase women's access to urban land will also be implemented through two work clusters, "Land and the Global Land Tool Network" and "Urban legislation".

2. Focus area 2: urban planning and design

Strategic result: Local, other subnational and national authorities have implemented policies, plans and designs through a participatory process including all the relevant stakeholders, such as civil society, including people living in poverty, for more compact, better integrated and more connected cities that foster equitable sustainable urban development and are resilient to climate change.

26. Many cities are currently facing serious challenges of ineffective development control systems, informal and often chaotic peri-urban expansion, a proliferation of informal housing and livelihood activities, poor connectivity, traffic congestion and energy inefficiency, among other things. Housing affordability and social integration are declining, while the reach of urban planning as a tool to guide urban development and expansion has diminished over the past 25 years. Cities are increasingly facing environmental challenges, including how to curb rising greenhouse gas emissions and the increasing impacts of anthropogenic climate change. The New Urban Agenda and Sustainable Development Goal 11 both recognize the central role of urban planning and design in urban development owing to the critical importance of urban patterns and form in ensuring sustainability.

27. To address these challenges, UN-Habitat will, under this focus area, provide local, other subnational and national governments with a set of tested approaches and guidelines, and provide support for the management of growth and improved sustainability, efficiency and equity of cities and the surrounding peri-urban and rural areas. The key tool in this regard will be planning and design at

different scales in, for example, public space, the slum and the neighbourhood, at the city, regional, national and supra-national scales. This will be achieved through: (a) improved policies and legislation regarding urban planning and sustainability, based on the principle of subsidiarity; (b) increased capacities of institutions and stakeholders to undertake and effectively implement, in age- and gender-responsive as well as participatory and inclusive ways, urban and territorial planning processes at the most appropriate and adequate scale; and (c) new or transformative and illustrative urban and territorial planning and design initiatives in selected cities.

28. The focus area will contribute in particular to the implementation of targets 11.2 (by 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons), 11.3 (by 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries), 11.7 (by 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities) and 11.b (by 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015–2030, holistic disaster risk management at all levels) of the Sustainable Development Goals, as well as to the implementation of the New Urban Agenda. It will work towards urban planning and design reform in order to make it a more effective tool for Governments and local authorities to achieve sustainable urban development and strengthen their urban-rural linkages. The overall approach will focus on the creation of a spatial structure in cities and larger territories to facilitate sustainable urbanization and the integration of safe, inclusive, accessible, green and quality public space into policies and plans, enhancing the form, function and connectivity of the city as a whole at different scales. Special attention will be paid to promoting, within the context of decentralization and multilevel governance, a number of critical principles, such as optimizing the population and economic density of urban settlements, mixed land use, diversity and better connectivity in order to take advantage of agglomeration economies and to minimize mobility demand. In particular, the recommendations of the *International Guidelines on Urban and Territorial Planning*, as well as the *Guiding Principles for City Climate Action Planning*, will be promoted in support of the New Urban Agenda. The new approach will emphasize the need to plan: in advance of urban population growth; at the scale and taking into account the demographic realities (the youth bulge and the feminization of poverty) of the challenges; in phases; and for job creation, while respecting locally and regionally defined urban planning and design traditions. Given the need to accommodate urban extension, especially in developing countries, it is important to encourage spatial development strategies that take into account, as appropriate, the need to guide urban extension, prioritizing urban renewal by planning for the provision of accessible and well-connected infrastructure and services, sustainable population densities, and compact design and integration of new neighbourhoods into the urban fabric.

3. Focus area 3: urban economy and municipal finance

Strategic result: Local, other subnational and national authorities have adopted or implemented improved urban strategies and policies supportive of local economic development, inclusive economic participation, the creation of decent jobs and livelihoods, and enhanced municipal finance.

29. An immense challenge facing cities all over the world today is how to create full employment and decent jobs for all and livelihoods for their people, including the increasing numbers of urban youth, as well as women, who are often disadvantaged by discriminatory practices. In addition, a fundamental challenge facing cities, particularly in developing countries, is their inability to mobilize adequate financial resources to meet the ever-growing demand for urban basic services. Interest in cities is increasing around the world, in part because more people are living in cities than ever before and in part because recent trends towards fiscal decentralization and globalization have highlighted the importance of cities as economic agents.

30. In order to address these issues, UN-Habitat will, under this focus area, promote urban strategies and policies that strengthen the capacity of cities to act as engines of economic development and enhance their contribution to value creation and the building of wealth and assets. It will, in particular, contribute to the formulation and implementation of effective urban strategies and policies that are supportive of local economic development, the creation of decent urban jobs, especially for young people and women, and enhanced municipal finance. Special emphasis will be placed on some of the key conditions necessary for increasing productive investment, including in green infrastructure and urban basic services, and for the generation of decent jobs and livelihoods. Attention will also be paid to local investment incentives and regulatory frameworks. It is anticipated that the creation of

decent urban jobs and livelihoods will contribute to reducing poverty and social inequalities, including gender-based inequalities, and also to improving urban safety through its social impact. One work cluster in this focus area, “Youth and job creation”, will promote policies that are supportive of the creation of jobs and livelihoods, especially for young people and women. In addition, UN-Habitat will assist subnational and local governments in building their capacity to implement effective, innovative, and sustainable local government financing frameworks and instruments.

4. Focus area 4: urban basic services

Strategic result: Local, other subnational and national authorities have implemented policies for increasing equitable access to urban basic services and improving the standard of living among the urban poor.

31. Despite efforts being made by many Governments and local authorities to provide urban basic services, the numbers of people in urban areas without adequate access to the basic services of safe water supply and sanitation as well as safe domestic energy and public transport is increasing, partly as a result of rapid urban population growth and partly as a result of increasing poverty and growing financial resource constraints. The problem is compounded by dilapidated infrastructure, weak governance and overlapping responsibilities between different levels of government, lack of clearly defined urban development policies and legislation, weak urban planning, weak institutional capacity, inadequate resources available at the local level, low investments and lack of pro-poor financing mechanisms. In addition, new challenges are emerging; air pollution, for example, has become the greatest environmental health risk, with about 7 million deaths in 2012 alone attributed to indoor and outdoor air pollution.²

32. In order to address these challenges and to contribute towards the reduction of poverty and inequalities, UN-Habitat will, under this focus area, place emphasis on strengthening policies and institutional frameworks for expanding access to urban basic services, specifically targeted at the urban poor and all other vulnerable groups. Policy and technical cooperation will be provided to local, other subnational and national authorities in partner countries to: (a) rehabilitate existing infrastructure and expand access to basic services, either by extending centralized systems or creating decentralized service centres, to keep pace with growing demand and to address climate change and risk prevention concerns, including both mitigation and adaptation; (b) ensure institutional efficiency and effectiveness in service provision and management in order to foster integrated, cross-sectoral planning at different territorial levels, facilitate partnership among various stakeholders and improve coordination between different administrative levels and partners, including for resource mobilization, and through the promotion of the *International Guidelines on Decentralization and Strengthening of Local Authorities and on Access to Basic Services for All*; and (c) provide adequate levels of service for the urban poor and all other vulnerable groups. The focus area will have four programmatic clusters: water and sanitation; urban waste management; urban mobility; and urban energy.

33. With respect to the cross-cutting issues of human rights, gender and young people, special attention will be paid to equality and non-discrimination in access to urban basic services, as well as to information and communication technology, especially for women, young people and other disadvantaged groups. The mainstreaming of climate change in urban basic services will pay special attention to resilience.

5. Focus area 5: housing and slum upgrading

Strategic result: Local, other subnational and national authorities have implemented policies for increasing access to adequate³ and sustainable housing options for members of different income groups of society and improving the standard of living in existing slums.

34. In both developing and developed countries, urban housing, whether for rent or ownership, is becoming increasingly unaffordable. In developed countries, young people are continuing to live with their parents for longer as they cannot afford housing of their own. In developing countries, some 881 million urban dwellers were living in slums in 2014, partly owing to the ineffectiveness of land and housing policies, among other factors.⁴ Slums are, in fact, a physical manifestation of poverty and inequality.

² World Health Organization, 2015, *Health in 2015: From MDGs to SDGs*, Geneva, p. 34.

³ “Adequate housing” means housing that is affordable, habitable, accessible, culturally adequate, in a good location, with sufficient basic services and security of tenure.

⁴ UN-Habitat, 2016, *Urbanization and Development: Emerging Futures, World Cities Report 2016*, Nairobi, p. 58, table 3.4.

35. In responding to these huge challenges and in order to contribute towards the reduction of poverty and inequalities, UN-Habitat advocates a twin-track approach that focuses on improving the supply and affordability of new housing through the supply of serviced land and housing opportunities at scale, which can curb the growth of new slums, alongside the implementation of citywide and national slum upgrading programmes to improve housing conditions and quality of life in existing slums. By widening housing choices and enabling the provision of housing opportunities at an appropriate scale and affordable price, with sufficient diversity of size, price, and typology, and at suitable locations vis-à-vis access to employment and income generation, housing will directly impact the future of cities and their ecological and economic footprints. Enabling the housing sector to function is thus critical for preventing the multiplication of slums and promoting sustainable urban development. Improving housing and upgrading slums will contribute to reducing poverty and social inequalities as well as improving urban safety through social and spatial impacts.

36. Within the framework of the New Urban Agenda, UN-Habitat will initiate technical cooperation with local, other subnational and national authorities to design and implement programmes to increase the supply of affordable housing and to prevent the formation of new slums, as a viable alternative to informality, and to upgrade existing slums through a citywide slum upgrading approach. In this regard, UN-Habitat will promote the active participation of residents and their grassroots organizations in the formulation, prioritization, implementation and post-implementation phases of both formal housing development and slum upgrading. It will also promote energy efficiency and modern and renewable energy use in the urban housing sector. In addition, UN-Habitat will support policies on the social production of habitat, as appropriate, according to national legislation and standards. Furthermore, UN-Habitat will support efforts to define and reinforce inclusive and transparent monitoring systems for reducing the proportion of people living in slums and informal settlements, taking into account the experience gained from previous efforts to improve the living conditions of slum and informal-settlement dwellers.

37. In many countries, gender equity in access to adequate housing is still impeded by practices that discriminate against women and households headed by women. In order to enhance gender equality, specific projects designed to improve the access of households headed by women to adequate housing will be implemented by all three work clusters in this focus area, namely, “Housing”, “Slum upgrading” and “Community development”.

6. Focus area 6: risk reduction, rehabilitation and urban resilience

Strategic result: Cities have increased their resilience to the impacts of natural and human-made crises in an equitable manner and undertaken rehabilitation in ways that advance sustainable urban development.

38. Against the background of increasing vulnerability to the impacts of climate change and environmental degradation, as well as other risk drivers, such as the consequences of poverty and inequality, unplanned and rapid urbanization, and poor land management, many developing country cities are unable to implement preparedness and risk reduction programmes, including retrofitting their infrastructure. In some developed countries, the vulnerability of many urban dwellers to natural disasters is often a result of poverty, inequality and the absence of socially inclusive policies. It is often only through reconstruction and recovery programming (after a crisis) that opportunities arise to “plan out” (thoroughly plan for) risk and build in resilience.

39. To address this challenge, UN-Habitat will, under this focus area, draw upon Programme-wide expertise to engage in both reducing urban risk and responding to urban crises through its Urban Resilience Cities Programme and Settlements Recovery Programme, respectively, in partnership with the United Nations International Strategy for Disaster Risk Reduction and the Making Cities Resilient campaign as well as other networks and communities of practice, partly within the context of the Sendai Framework for Disaster Risk Reduction 2015–2030 and also in response to the New York Declaration for Refugees and Migrants. Efforts in this focus area will address crisis-affected cities in terms of both disaster prevention and disaster response. The Urban Resilience Programme will be implemented wherever possible before disasters occur and will be a critical driver for “building back better” in post-disaster interventions. The Settlements Recovery Programme will operate in support of country programmes and through surge capacity deployment in the immediate aftermath of a crisis and is intended to add value to the efforts of the humanitarian community. Together with national and local stakeholders, UN-Habitat will seek the optimal means of reducing the duration of such crises and will introduce elements of sustainable, age-responsive and gender-responsive recovery through a holistic settlements approach. This will primarily be achieved through close collaboration with members of the Inter-Agency Standing Committee and non-governmental partners. Urban risk reduction and post-crisis reconstruction efforts will use five key entry points: shelter and housing; basic

infrastructure and services; land use and tenure; climate change and urban environment; and economic recovery and livelihoods, with particular attention to communities disadvantaged by disaster and crisis.

7. Focus area 7: research and capacity development

Strategic result: Knowledge of sustainable urbanization issues disseminated and capacity enhanced at the international, national and local levels in order to improve the formulation and implementation of evidence-based policies and programmes and to improve public awareness of the benefits of and conditions necessary for sustainable urbanization, ensuring that no one is left behind.

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

41. UN-Habitat will, under this focus area, address these concerns at the global and country levels (both national and subnational). At the global level, UN-Habitat will contribute to the monitoring and assessment of the implementation of Sustainable Development Goal 11 and other relevant Sustainable Development Goals and will coordinate the preparation of the quadrennial report on the follow-up and review of the New Urban Agenda, as part of its assigned responsibilities within the United Nations system. The UN-Habitat flagship publication, World Cities Report, will be the means by which the organization reports the results of its global monitoring and assessment work to Governments and Habitat Agenda partners. Also at the global level, UN-Habitat will publish official statistics through the Urban Indicators Programme. In line with the New Urban Agenda, capacity development is to become an important area of implementation. This focus area will strengthen the transformation of data, research outputs and knowledge, including relevant universities' and other partners' knowledge, into learning products and know-how development thereby enhancing the ability of UN-Habitat to catalyse change for sustainable urbanization and create the institutional and human resources foundation necessary for the implementation of sustainable urban policies and actions. With the aim of enhancing human and institutional capacities of UN-Habitat partners, focus area 7 will integrate innovative approaches to adult learning and support national, regional and global offices in their capacity development efforts. Using its neutral convening role, and through the UN-Habitat Partner University Initiative and other means, such as the World Urban Forum, the focus area will drive the global urban research agenda in a coordinated manner.

42. The country level and local level services provided under this focus area will include support for the production of local urban knowledge and the establishment of local urban observatories to collect and analyse age- and sex-disaggregated data and to make use of indicators. Such support will include the capacity development of the local platforms themselves. Information and knowledge on best practices and lessons learned in terms of policies, programmes, and institutional arrangements that are fit-for-purpose for different urban contexts and urban services delivery systems will also be collected as part of a Programme-wide cross-cutting activity. Also at the country level, the focus area will be the UN-Habitat hub of expertise in developing institutional and individual capacities to ensure that the delivery of evidence-based policies and programmes benefit urban stakeholders.

8. Cross-cutting issues

43. Work on cross-cutting issues (gender, youth, climate change and human rights) will follow a two-track approach consisting of mainstreaming and issue-specific projects. Mainstreaming will seek to ensure that cross-cutting issues are integrated in the work of all seven focus areas, both conceptually and in all operational projects. Issue-specific projects will seek to fill identified gaps in the field and will be accommodated in the most appropriate focus area.

44. In the past decade, rapid growth across much of the developing world has meant broad progress in reducing overall levels of income poverty. Despite this remarkable achievement, multiple forms of inequality and marginalization persist. Gender, age, physical and mental disability, ethnicity, and geography are some of the bases of exclusion that limit participation in political, social and economic spheres. A particularly pressing problem is that, in some countries, these divides have deepened in the wake of economic transformation.

45. UN-Habitat will ensure that gender and youth perspectives are mainstreamed in its programming both through careful integration of such perspectives in normative and operational projects alike as well as by means of monitoring using data disaggregated on the basis of age and sex. Training and capacity-building will ensure that the resulting information is transformed into knowledge to support skills development among policymakers, practitioners, senior executives and decision makers.

46. Of particular concern is the fact that women continue to be systematically excluded, despite representing more than half of the world's population. Inequalities in power and discriminatory institutions limit their political, social, and economic participation in many parts of the world, with negative consequences for overall national and local development. In implementing the present strategic plan, UN-Habitat will continue promoting the empowerment of women in order to ensure equal access of both men and women to the fruits of urban development. UN-Habitat will also promote the equal participation of both women and men in urban governance and other urban development decision-making processes at the local, other subnational and national levels.
47. In order to enhance gender equality, specific projects on the empowerment of women will be implemented in focus areas 1 ("Urban legislation, land and governance"), 3 ("Urban economy and municipal finance") and 5 ("Housing and slum upgrading"). These projects will be designed to ensure increased access of women to urban land, decent jobs and livelihoods, and adequate and sustainable housing, as well as improve the participation of women in urban governance, especially at the local level. In addition, there will be a focus on gender equality issues in the other focus areas, namely 2, 4, 6 and 7, through the recognition of the need to conduct, in all these focus areas, gender analyses and collect data disaggregated by income, sex, age, race, ethnicity, migration status, disability, geographic location and other characteristics relevant in national, subnational and local contexts for projects, as described in the New Urban Agenda. In addition, UN-Habitat will design projects that are gender specific and transformative. In implementing these projects and in mainstreaming gender across all the focus areas, advice will be sought from the Advisory Group on Gender Issues, an independent advisory body to the Executive Director of UN-Habitat.
48. In the light of the growing importance of youth issues in the United Nations system as a whole in response to the recent global increase in youth unemployment and the social and political upheavals in some parts of the world exacerbated by this increase, special attention will be paid to projects designed to foster development capacities, policies and programmes in partner cities that are supportive of increased income-generating opportunities and enhanced livelihoods for young people in urban areas. A specific youth unit within the Urban Economy and Municipal Finance Branch will be responsible for overseeing these projects. While the focus during the life of the present plan (2014–2019) will be on youth employment, efforts will also be made to promote the involvement of young people in urban governance processes at the local, other subnational, national and international levels, and to help local governments put in place policies designed to address their particular social needs and problems, including the production of better information. One focus of the youth programme will be on marginalized young people living in slums and informal settlements, as well as in conflict and post-conflict settings.
49. Cities have gradually assumed an increasing importance in the global climate change agenda. The role of cities and subnational authorities is recognized in decision 1/CP.21, on the adoption of the Paris Agreement, of the Conference of the Parties to the United Nations Framework Convention on Climate Change. The New Urban Agenda likewise envisions cities and human settlements that foster mitigation and adaptation to climate change. Accordingly, UN-Habitat will mainstream climate change across all of its work. As specified in the UN-Habitat climate change strategy 2014–2019, a climate change technical support team will provide support to cross-branch and cross-region coordination in this area, as well as to the mainstreaming of climate change into project design. Alongside these mainstreaming efforts, UN-Habitat will continue implementing multi-year climate change projects at the city level, contributing to the Intergovernmental Panel on Climate Change assessment reports, launching and leading urban sector multi-stakeholder initiatives under the auspices of the United Nations, and working with the Global Environment Facility and the Green Climate Fund, following the success achieved in its accreditation to the Adaptation Fund in 2015.
50. Human rights are the fourth and final cross-cutting issue in the context of advancing the goals and mandate of UN-Habitat, as set out in section I.B above. According to the United Nations Statement of Common Understanding on a Human Rights-based Approach to Development Cooperation and Programming, adopted by the United Nations Development Group in 2003, all programmes of development cooperation, policies and technical assistance should further the realization of human rights. UN-Habitat will therefore mainstream human rights in all of its work, recognizing that the New Urban Agenda is grounded in the Universal Declaration of Human Rights, international human rights treaties, the United Nations Millennium Declaration and the 2005 World Summit Outcome. In this context, UN-Habitat will work to promote a shared vision of cities for all, referring to the equal use and enjoyment by all of cities and human settlements, seeking to foster inclusivity and ensure that all city inhabitants, of present and future generations, without discrimination of any kind, are able to inhabit and produce just, safe, healthy, accessible, affordable, resource-efficient, resilient and sustainable cities and human settlements to foster prosperity and quality of life for all. It will also support the efforts of certain national and local governments to

enshrine this vision, referred to as “the right to the city”, in their legislation, political declarations and charters.

51. All four of the cross-cutting issues will be mainstreamed throughout the seven focus areas, ensuring that all policies, knowledge management tools and operational activities address these issues in their design and implementation. Specific operational and normative projects related to cross-cutting issues will be accommodated in the most appropriate branches, depending on their substantive content. The responsibility for mainstreaming cross-cutting issues across the seven focus areas will lie with a dedicated unit within the Programme Division. The unit will utilize, among other tools, cross-cutting markers to advise on and monitor the mainstreaming of cross-cutting issues. The seven focus areas are not seen as watertight compartments. Rather, there is an inevitable overlap among the themes and issues. For this reason, cross-programme linkages will be encouraged during the life of this six-year strategic plan.

52. Among the most important mechanisms for advocacy, outreach and communication will be the World Urban Campaign, the World Urban Forum, and flagship publications. Advocacy, outreach and communication work will seek to raise global awareness of the urban agenda (including current urbanization challenges, solutions and opportunities) among national Governments, local authorities and other partners, as well as among the general public.

F. Results framework: focus area results and indicators of achievement

53. The following table presents an overview of the results framework of the strategic plan for 2014–2019, showing focus area results and their indicators of achievement. This provides the basis for the preparation of the more detailed results frameworks of the 2014–2015, 2016–2017 and 2018–2019 biennial work programmes and budgets.

Results framework of the strategic plan for the period 2014–2019: overview

Overall UN-Habitat strategic result						
Environmentally, economically and socially sustainable, gender-sensitive and inclusive urban development policies implemented by national, regional and local authorities have improved the standard of living of the urban poor and enhanced their participation in the socioeconomic life of the city						
Strategic results of indicators of achievement						
<p><i>a. Percentage of people living in slums, disaggregated by gender</i></p> <p><i>b. Percentage of urban population with access to adequate housing</i></p> <p><i>c. Percentage of people residing in urban areas with access to safe drinking water, adequate sanitation and regular waste collection services, clean domestic energy and public transport, disaggregated by gender</i></p> <p><i>d. Number of city, regional and national authorities that have implemented urban policies supportive of local economic development and the creation of decent jobs and livelihoods</i></p> <p><i>e. Number of city and regional authorities that have implemented sustainable urban plans and designs that are inclusive and respond to urban population growth adequately</i></p>						
Focus area strategic results						
1. Local, other subnational and national authorities have established systems for improved access to land and increased security of tenure for all, particularly for women, adopted enabling legislation, and put in place effective decentralized governance that fosters equitable sustainable urban development and the improvement of urban safety.	2. Local, other subnational and national authorities have implemented policies, plans and designs through a participatory process including all the relevant stakeholders, such as civil society, including people living in poverty, for more compact, better integrated and more connected cities that foster equitable sustainable urban development and are resilient to climate change.	3. Local, other subnational and national authorities have adopted or implemented improved urban strategies and policies supportive of local economic development, inclusive economic participation, the creation of decent jobs and livelihoods, and enhanced municipal finance.	4. Local, other subnational and national authorities have implemented policies for increasing equitable access to urban basic services and improving the standard of living among the urban poor.	5. Local, other subnational and national authorities have implemented policies for increasing access to adequate and sustainable housing options for members of different income groups of society and improving the standard of living in existing slums.	6. Cities have increased their resilience to the impacts of natural and human-made crises in an equitable manner and undertaken rehabilitation in ways that advance sustainable urban development.	7. Knowledge of sustainable urbanization issues disseminated and capacity enhanced at the international, national and local levels in order to improve the formulation and implementation of evidence-based policies and programmes and to improve public awareness of the benefits and conditions necessary for sustainable urbanization, ensuring that no one is left behind.
Indicators of achievement						
1. Number of partner local, other subnational and national authorities that have established systems for improved access to land, and increased security of tenure for all, and adopted effective laws for the management of urbanization and policy frameworks for inclusive, transparent and multi-level urban and territorial management.	2. Number of partner local, other subnational and national authorities that have implemented urban policies, plans and designs that apply principles and standards derived from best practices.	3. Number of partner local, other subnational and national authorities that have adopted or implemented improved urban strategies and policies supportive of local economic development, inclusive economic participation, the creation of decent jobs and livelihoods, and enhanced municipal finance.	4. Number of partner local, other subnational and national authorities that have implemented policies for increasing equitable access to basic services, including the promotion of the guidelines on decentralization and strengthening of local authorities and on access to basic services for all, including safe drinking water, adequate sanitation, waste collection and management, domestic energy, public transport and information and communications technology.	5. Number of partner local, other subnational and national authorities that have implemented improved urban housing policies and programmes benefiting the poorer segments of the urban population.	6. Number of partner local, other subnational and national authorities that have implemented and integrated risk reduction strategies and programming within their urban planning and management systems, with particular emphasis on the most vulnerable segments of the population.	7. Number of partner local, other subnational and national authorities and other partners with the capacity to formulate and implement evidence-based urban policies and programmes.

III. Strategy implementation

A. Introduction

54. Part I of the present report presents the rationale of this strategic plan, highlighting the external and internal factors that have shaped its content. Part II presents the core programmatic elements of the strategic plan, including its vision, mission, goal, strategic result, focus areas and the plan's results framework. Part III describes how the strategic plan will be implemented, focusing on overall strategy and phases for the implementation of the plan; the new organizational structure and management approach through which the plan will be implemented; how the plan's implementation will be monitored and evaluated within the context of results-based management and using the results framework presented in part II; the financial and human resources required for the successful implementation of the plan; and, lastly, the expected accomplishments and indicators of achievement of the strategic plan's implementation, divided into four strategic plan leadership and support areas – executive direction, programme coordination, external relations, and management and operations.

B. Implementation strategy and phases

55. Section I.B above sets out a description of the functions of UN-Habitat. Its primary functions are:

- (a) Providing substantive servicing to the Governing Council of UN-Habitat;
- (b) Within its mandate, acting as focal point for sustainable urbanization and human settlements within the United Nations system, “including in the implementation and follow-up and review of the New Urban Agenda, in collaboration with other United Nations system entities” (New Urban Agenda, para. 171);
- (c) Monitoring global urbanization and human settlements trends and conditions in general and coordinating the preparation of the quadrennial report on the follow-up to and review of the New Urban Agenda as well as contributing to the follow-up and review of Sustainable Development Goal 11 and other Sustainable Development Goals relevant to cities and human settlements;
- (d) Facilitating and executing sustainable urbanization and human settlements development programmes and projects;
- (e) Within the legal framework of each country, promoting and consolidating collaboration with all partners, including local authorities, the private sector and non-governmental organizations, in the implementation of the New Urban Agenda and Sustainable Development Goal 11 as well as other Sustainable Development Goals relevant to urbanization and human settlements;
- (f) Facilitating the global exchange of information and best practices and initiating advocacy and public information activities on adequate and sustainable housing as well as sustainable urbanization and human settlements development.

56. In the light of the above-mentioned functions, UN-Habitat will, in terms of its normative work, seek to raise awareness about, and inform Governments and local authorities of, changing conditions and trends in cities and other human settlements, as well as effective policies, strategies and practices. On the operational side, UN-Habitat will assist Governments and local authorities to plan, govern and manage cities in accordance with the guiding principles of sustainable development, as well as to deliver urban basic services to their citizens more efficiently and equitably.

57. Within the context of advancing the New Urban Agenda, which includes enabling the provision of adequate and sustainable housing and basic services, and promoting participatory decision-making, UN-Habitat will continue to mainstream human rights in its work.

1. Implementation of the strategic plan through biennial work programmes and budgets

58. This strategic plan will be implemented in three successive phases, linked to the biennial work programmes and budgets approved by the UN-Habitat Governing Council and the General Assembly of the United Nations. Whereas in the past strategic planning in UN-Habitat was undertaken separately from the development of work programmes and budgets, the three successive work programmes for 2014–2015, 2016–2017 and 2018–2019 will be fully aligned with this strategic plan. In this respect, the strategic plan's seven focus areas will be identical to the work programme's subprogrammes. The strategic plan's overall strategic result and focus area strategic results, and their respective indicators of achievement, will also be identical to those in the work programme.

59. The preparatory phase, 2013, includes the delivery of the following:
- (a) Establishment of a strategic plan steering mechanism to oversee the implementation of the plan, including assessment of the results of implementation and adjustment of the plan;
 - (b) Finalization of focus area policy papers to guide the work of each of the focus areas, which will be accessible to all staff and UN-Habitat partners;
 - (c) Establishment of baselines for all indicators of achievement in the results framework;
 - (d) Finalization of a policy paper on resource mobilization, a project acquisition strategy to guide the development of new projects, and a catalogue of model projects;
 - (e) Finalization of policy papers on monitoring, evaluation, and advocacy.
60. Phase 1, 2014–2015, includes the delivery of the following:
- (a) Establishment of a UN-Habitat database, accessible to both internal and external users, containing core data and indicators necessary for the global monitoring of progress in the implementation of this plan, the Habitat Agenda and the New Urban Agenda;
 - (b) Adjustment of the UN-Habitat project-based accrual and accountability system (PAAS) to reflect the change from the six medium-term strategic and institutional plan focus areas and four subprogrammes in the work programme, to seven strategic plan focus areas and seven subprogrammes in the work programme, as well as the integration of four cross-cutting markers for climate change, gender, human rights, and youth, respectively;
 - (c) Finalization of regional implementation strategies and UN-Habitat country programme documents.
61. Phase 2, 2016–2017, includes the delivery of the following:
- (a) Midterm evaluation of the implementation of the strategic plan at the end of 2016, including the first reporting on the indicators of achievement of the plan's overall strategic result;
 - (b) Global assessment of progress in the implementation of the Habitat Agenda, as an input to both the preparatory process for Habitat III and the midterm evaluation of the strategic plan;
 - (c) Convening of Habitat III and adoption of a new urban agenda for the twenty-first century;
 - (d) Adjustment of the strategic plan on the basis of the midterm evaluation, the New Urban Agenda and any changes in the governance structure of UN-Habitat, as well as the implementation of those elements of the adjusted strategic plan that can be implemented as part of the 2016–2017 work programme and budget;
 - (e) Formulation and implementation of a policy on global awards – that are managed and coordinated by UN-Habitat – for specific contributions to sustainable urbanization and human settlements development;
 - (f) Strengthening of UN-Habitat partnerships with different actors in order to respond to the implementation requirements of the New Urban Agenda, Sustainable Development Goal 11, and other Sustainable Development Goals and international agendas relevant to urbanization and human settlements;
 - (g) As focal point for sustainable urbanization and human settlements within the United Nations system, establishment of inter-agency coordination mechanisms.
62. Phase 3, 2018–2019, includes the delivery of the following:
- (a) Full implementation of the adjusted strategic plan, taking into account the New Urban Agenda, the urban components of the Sustainable Development Goals and the midterm evaluation of the strategic plan;
 - (b) Final evaluation of the strategic plan, including reporting on the overall strategic result indicators of achievement;
 - (c) Coordination of and contribution to the quadrennial report on progress in the implementation of the New Urban Agenda and the urban components of the Sustainable Development Goals.

63. The activities in each work programme will be highly focused with considerably fewer, but more purposeful, outputs in comparison to the 2012–2013 work programme. Both normative and operational outputs will be produced as part of projects of not less than \$300,000, and such outputs will be designed to contribute to transformative strategic actions that have the potential to trigger or catalyse change at the city level. Both normative and operational projects, and their outputs, will aim at assisting city, regional and national Governments and other authorities responsible for the development of urban and other human settlements to significantly improve the effectiveness of their planning, governance and service delivery systems, based on available evidence. The integration of normative work into operational projects will safeguard the delivery of normative work, even at times when non-earmarked core income declines.

2. Catalytic role and partnerships

64. Greater emphasis will be placed on the catalytic role of UN-Habitat in global monitoring, assessment and advocacy, as well as in national policy and institutional capacity development. Consistent with this catalytic role, UN-Habitat will continue working with its key partners, i.e., national Governments, local authorities, non-governmental organizations and private sector organizations, and a more systematic approach to partnerships will be developed. The ultimate objective is to increase the number of partners and networks engaged in supporting the implementation of the sustainable urbanization and human settlements agenda at the global, regional, national and local levels. Accordingly, the partnership and networking approach will be mainstreamed across all seven focus areas of the strategic plan.

65. Partnerships with United Nations bodies and international finance institutions will be strengthened and expanded for the monitoring, reporting and advocacy of urbanization issues and for capacity development and technical assistance at the national and local levels. Of particular importance will be the enhancement of UN-Habitat participation in the “Delivering as one” initiative at the country level, including its participation in United Nations country teams and United Nations Development Assistance Frameworks.

66. Collaboration with other UN-Habitat partners, including those in the public, private and civil society sectors, will be strengthened at the global, regional, national and subnational levels in order to enhance the implementation and ownership of the New Urban Agenda, Sustainable Development Goal 11, and other Sustainable Development Goals and international agendas relevant to sustainable urbanization and human settlements. Common objectives and activities to promote sustainable urbanization and human settlements will be agreed upon with specific Habitat Agenda partner groups, principally through the World Urban Forum, which represents a key catalytic vehicle for mobilizing partnerships. Experience garnered in the context of the World Urban Forum since its establishment in 2001 (Commission on Human Settlements resolution 18/5 and General Assembly resolution 56/206) will be important in efforts by UN-Habitat to further strengthen partnerships, especially at the global level.

67. A particularly important category of UN-Habitat partner is local governments and their associations. Much of the work that UN-Habitat focuses on, including through its technical cooperation programmes and projects, is executed at the local level, often under the responsibility of local governments. Building on its experience over the last 20 years, including experience gained during the negotiations leading to the formulation and adoption of the 2030 Agenda for Sustainable Development, UN-Habitat will, in particular, strengthen its collaboration with United Cities and Local Governments and its Global Task Force of Local and Regional Governments as well as with the United Nations Advisory Committee of Local Authorities (established by the Commission on Human Settlements in 1999 in its resolution 17/18).

68. In addition, UN-Habitat will strengthen its working relationships with key networks of professionals and also explore the possibility of partnerships with non-conventional partners, especially in the non-governmental and private sectors. One of the important vehicles in this respect will be the World Urban Campaign.

69. In focus area 1, urban legislation, land and governance, fruitful relations already exist with parliamentarians, associations of local authorities at the international, regional and national levels, and also with surveyors and land professionals under the auspices of the Global Land Tool Network. Urban legal specialists represent an additional professional group to be engaged in efforts to strengthen legal frameworks for sustainable urbanization.

70. In focus area 2, urban planning and design, UN-Habitat will continue to strengthen its ties with national, regional and global professional institutes or associations of urban and regional planners, in particular regional planning associations (such as the African Planning Association, the Caribbean

Planners Association, the International Society of City and Regional Planning, the Commonwealth Association of Planners and the Global Planners Network). UN-Habitat will also develop or strengthen partnerships with other United Nations entities such as the United Nations Environment Programme (UNEP) and development partners such as Cities Alliance and the Organization for Economic Cooperation and Development. Further, it will seek to coordinate with other United Nations system entities and other partners in the implementation of the New Urban Agenda. In the area of climate change, when appropriate, UN-Habitat will work with partners through multi-stakeholder initiatives, including the Global Covenant of Mayors for Climate and Energy, and the Cities Climate Finance Leadership Alliance, in whose governance structures it participates.

71. In focus area 3, urban economy and municipal finance, on the basis of a well-established track record of building partnerships between local government and young people for entrepreneurship and skills development, UN-Habitat will leverage global and regional networks on local economic development, such as the Local Economic Development Network of Africa, and ensure their inclusion of cities in the developing world.

72. In focus area 4, urban basic services, the Urban Basic Services Trust Fund will form the basis for partnerships around innovative approaches to greatly expanding basic services to underserved communities and to slum dwellers. Wherever centralized legacy systems cannot be extended, UN-Habitat will promote resource-efficient decentralized closed-loop systems that integrate water, energy and waste streams for more sustainable service provision. UN-Habitat will intensify existing relationships with international and regional finance institutions, the private sector and foundations to increase the flow of investments into this critical sector, in particular the African Development Bank, the Asian Development Bank, the European Investment Bank and the Inter-American Development Bank. Efforts will also be made to promote the integration of urban basic services in the work of the United Nations inter-agency coordination mechanisms on water resources and energy (UNEP, UN-Water and UN-Energy), as well as to support the High-level Advisory Group of the Secretary-General on Sustainable Transport and the urban basic services work of regional organizations such as the Association of Southeast Asian Nations, the African Union and the Organization of American States.

73. In focus area 5, housing and slum upgrading, UN-Habitat will build a platform to promote sustainable and adequate housing, slum upgrading and slum prevention through stronger partnerships with national and local governments; civil society, particularly slum dweller organizations, such as Slum Dwellers International, housing federations, advocacy groups and academia; as well as the private sector and finance institutions.

74. In focus area 6, risk reduction, rehabilitation and urban resilience, UN-Habitat will continue to contribute to inter-agency cooperation, principally through the Inter-agency Standing Committee mechanisms, in particular the cluster approach. It will continue building other partnerships and networks outside the United Nations system for emergency interventions linked to long-term technical and capacity-building support to countries facing or recovering from crisis. Important partners will include the International Federation of Red Cross and Red Crescent Societies and the International Organization for Migration.

75. Lastly, with respect to focus area 7, research and capacity development, UN-Habitat will continue to strengthen its partnerships with local and national urban observatories, national statistics offices, academic institutions and local government training institutions with a view to developing more effective monitoring and assessment of local, national and global urban conditions and trends. The Habitat Partner University Initiative, which currently has 200 members, will be strengthened and expanded. The City Prosperity Initiative will be further developed to offer cities in developed and developing countries the possibility of creating indicators and baseline information to support the formulation of more informed policies. As part of the “Delivering as one approach”, UN-Habitat will also intensify partnerships with the United Nations Children’s Fund and the World Health Organization in the establishment of a joint system for data collection and analysis of urban issues in developing countries.

3. Risk management

76. The major risk likely to affect the implementation of the strategic plan is the decline in non-earmarked funding. While UN-Habitat earmarked income, mainly from technical cooperation activities, has been increasing over the last few years, non-earmarked income has been declining as a result of the global economic and financial crisis, among other reasons. Income from the United Nations regular budget is likely to remain stagnant, or to decline as well. The imbalance between earmarked and non-earmarked income is likely to persist, especially as increasing the project portfolio at the country level is likely to be the most feasible way of increasing UN-Habitat overall

income. If this trend persists, UN-Habitat activities will be increasingly donor-driven, and its ability to implement the approved work programme, especially the normative elements, will be increasingly constrained.

77. To mitigate the funding risk, a number of strategies will be pursued. These will include:

(a) Enhanced pursuit of non-conventional avenues for fundraising, including mass appeals and working with private sector organizations committed to corporate social responsibility as well as profit-motivated investment in pro-poor housing and urban infrastructure development;

(b) Expansion of partnerships with international institutions and regional development banks, building on the success already achieved in this respect, especially with the Asian, Inter-American and African regional development banks;

(c) Enhancement of multi-year agreements with development partners in order to increase non-earmarked and soft-earmarked income, building on the experience of existing successful agreements with a number of development partners. As part of this effort, the existing system of joint annual consultations with development partners will be strengthened.

78. Another risk in implementing the strategic plan is likely to arise from insufficient in-house expertise in the areas of project-based accountability and management practices, knowledge management, human resources management in the context of flexible (“flex”) teams, and results-based management, although some progress has been made with the latter as part of the implementation of the medium-term strategic and institutional plan for 2008–2013. To address these needs, the staff training system initiated during the implementation of the medium-term strategic and institutional plan for 2008–2013 will be strengthened and maintained.

79. More comprehensive and detailed risk analysis will be carried out, and risk management proposals made, during the preparation of each of the three biennial work programmes and budgets through which this plan will be implemented.

C. Organizational structure and management approach

80. An organizational review of UN-Habitat was carried out towards the end of the 2008–2013 medium-term strategic and institutional plan cycle. The main elements of the new organizational structure resulting from this review are shown in figure 1, while the formal organizational chart is shown in annex III. The main rationale for this new structure is to ensure more effective and efficient delivery of the UN-Habitat mandate at the country, regional and global levels. In more specific terms, the organizational structure and management system aims at:

(a) Increasing project efficiency in the field, especially in the early stages of implementation, including by improving the responsiveness and effectiveness of regional offices;

(b) Increasing the productivity of the normative work performed at headquarters, often in collaboration with regional offices;

(c) Increasing transparency in UN-Habitat management and substantive work;

(d) Increasing accountability at all levels;

(e) Reducing the silo mentality by enhancing teamwork and integrating normative and operational activities;

(f) Enhancing horizontal and vertical collaboration through the implementation of cross-cutting strategies that enhance programmatic cohesion on issues such as gender, youth, climate change, human rights and capacity development.

81. The strategic plan will be implemented through seven thematic branches corresponding to the plan’s seven focus areas (shown in circles in figure 1) and the biennial work programme’s seven subprogrammes.

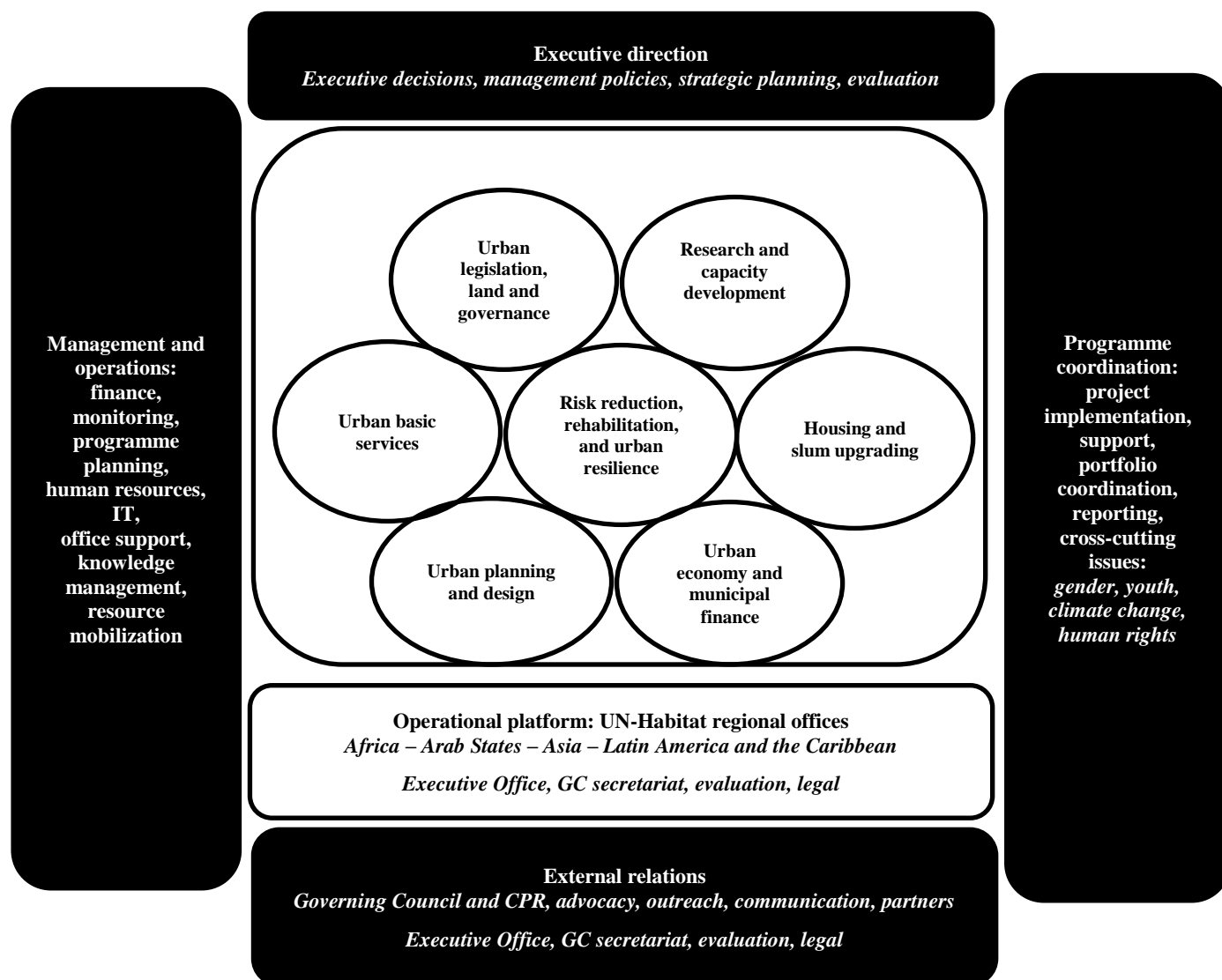
82. However, the required organizational culture change will take longer to achieve, and will continue to be implemented during the life of the strategic plan for 2014–2019. This will be achieved through staff training, coaching and mentoring and will involve learning how to manage UN-Habitat activities through the project approach, how to orient all activities towards the attainment of results rather than outputs, how to work in flexible teams, and how to account for staff time and financial resources by project.

83. The main characteristics of the new organizational structure and management system are:

(a) A horizontal, flatter matrix organization;

- (b) A project-based management system which brings together normative and operational work under each project;
- (c) A flexible organization working through teams established around projects;
- (d) An organization with clear delegation of authority, down to the project level, and accountability through a new Project Accrual and Accountability System (PAAS).

Figure 1

UN-Habitat functional structure

84. PAAS, a computer software business solution for managing and coordinating all resources, information and functions of the organization from a shared data source in which data and information can be attributed to and managed through individual projects, is central to the new project-based management system. This system, whose primary objective is to improve management decision-making, monitoring and reporting, is complementary to Umoja, a United Nations system-wide enterprise resource planning solution designed to ensure that resources are managed more efficiently through improvements in the United Nations business processes in the areas of finance, human resources, central support services, supply chain, and programme and project management. The system will be enhanced with the inclusion of the four cross-cutting markers in the Programme Advisory Group quality assurance process. In order to enhance project relevance and local ownership, efforts will also be made to liaise more closely with national and local government authorities in whose territories projects are located, beginning at the project formulation stage.

85. Also central to the new system are flexible (“flex”) teams. A team will be established for each project, and a staff member may be assigned to several projects, against which their time is accounted. Each team will exist for as long as the project exists, after which staff will be reassigned to new

projects. This will ensure maximum flexibility and efficiency in the use of human resources. The teams will include staff working on cross-cutting issues in order to ensure that the four cross-cutting issues are mainstreamed in all projects.

D. Performance measurement

86. Monitoring, evaluation and reporting are critical elements of results-based management and together constitute the foundation of UN-Habitat transparency and accountability to the member States. Performance information from monitoring and evaluation will be used more systematically so as to take corrective action, to enhance programmatic or organizational decision-making and accountability and to ensure that programme objectives are met within a given budget by comparing actual progress against what was planned.

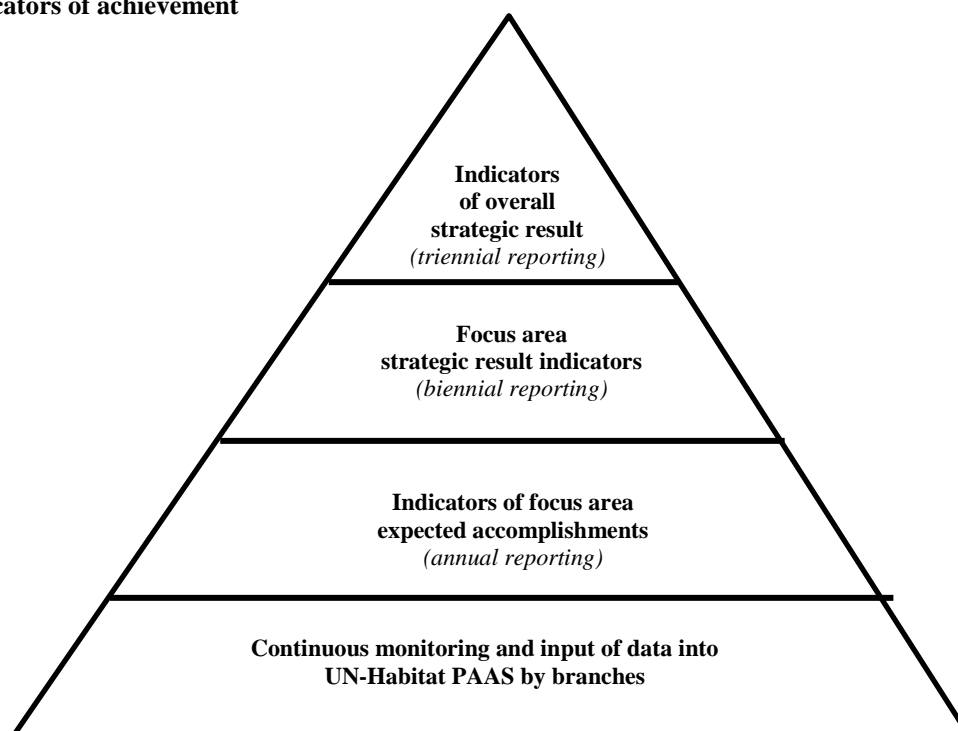
87. In addition, monitoring and evaluation information will be used for organizational learning, by sharing lessons learned internally and with governing bodies and development partners. Through mandatory progress reports, monitoring and evaluation information will be used to hold UN-Habitat accountable to member States and development partners by communicating the extent to which resources are used efficiently and effectively to achieve developmental results.

88. UN-Habitat is committed to meeting international standards of excellence in monitoring and evaluation and in the development of knowledge management strategies. In the coming years, it will focus on improving its capacity to contribute more systemically to producing significant outcomes and development impacts.

1. Monitoring and reporting

89. The implementation of the strategic plan for 2014–2019 will be systematically monitored in order to effectively manage the achievement of results. In more specific terms, this means ensuring that the different levels of indicators in the results framework are reported upon at the specified times (see figure 2). The primary responsibility for monitoring the plan will lie with the branches, assisted by the Programme Division and regional offices. The Quality Assurance Unit, in the Management Office, will be responsible for the overall coordination of monitoring and reporting.

Figure 2

Indicators of achievement

90. Monitoring activities will be based on the results frameworks, including baselines, of the biennial work programmes and budgets, themselves derived from the strategic plan's results framework. For the purposes of continuity of monitoring, the same set of indicators will be used throughout the life of the strategic plan, with minor adjustments being made as and when required. Reporting will be on outcomes, rather than outputs. Clear baselines will be established before the beginning of the implementation of the strategic plan. The baselines will specify, for each indicator of achievement, the exact performance measure (unit of measurement) as well as the level at which measurement will commence. Information and data on the indicators of achievement for all focus areas will be collected and entered into the UN-Habitat PAAS on a continuous basis. The specific data to be collected was specified in the baseline document for the strategic plan and also in the performance measures of the biennial work programme and budget documents. It will be possible to extract the latest information and data required for different monitoring reports at any time.

91. As is shown in figure 2, progress on the indicators of achievement for all the focus area expected accomplishments (results) will be reported every year, on the basis of information and data collected continuously and entered into the PAAS. The main reporting mechanisms will be the annual progress report on the implementation of the strategic plan and the United Nations system-wide Integrated Monitoring and Documentation Information System (IMDIS).

92. Progress on the indicators of achievement of the strategic results of the plan's seven focus areas will be reported every two years, mainly through the biennial report on progress in the implementation of the strategic plan prepared for the UN-Habitat Governing Council, as well as through IMDIS and the biennial programme performance report prepared at the completion of every biennial work programme and budget for purposes of accountability to the General Assembly.

93. Progress on the topmost indicators of achievement – those for the overall UN-Habitat strategic result – will be reported only twice, halfway through the life of the strategic plan and at its completion. This is because reporting on these high-level indicators requires global surveys, which are very costly and time-consuming. The main reporting mechanism will be the midterm evaluation and the final evaluation of the strategic plan. UN-Habitat will enhance its efforts to secure increased funding for monitoring and evaluation, building on experience gained during the implementation of the medium-term strategic and institutional plan for the period 2008–2013 and the first three years of implementation of the present strategic plan (2014–2016). Monitoring and reporting at all levels will be strongly motivated by the need to identify lessons learned and generate new knowledge.

94. The working group on programme and budget, established by the Committee of Permanent Representatives as an oversight body in pursuance of Governing Council resolution 25/7, will monitor the overall performance of UN-Habitat and provide guidance to the organization, including in the

development and implementation of management policies and strategies such as those pertaining to resource mobilization and follow-up of evaluation recommendations. Paragraph 172 of the New Urban Agenda requests the Secretary-General of the United Nations to carry out an evidence-based independent assessment of UN-Habitat, including, among other issues, an analysis of the governance structure of UN-Habitat. If necessary, the present revised strategic plan will be further updated to in the light of any relevant changes in the governance structure of UN-Habitat recommended by the independent assessment and adopted by the General Assembly.

2. Evaluation

95. Evaluations undertaken during the strategic plan's life will provide information to guide efforts in change management and will recommend measures for enhanced relevance, efficiency, effectiveness and sustainability of subprogrammes, projects and substantive themes.

96. Biennial evaluation plans will be developed as part of the biennial work programmes and budgets. The evaluation plans will be prioritized, ensuring adequate coverage of UN-Habitat projects and subprogrammes, and will also include strategic and impact evaluations. Mandatory evaluations specified in resolutions of the General Assembly, the Governing Council and other intergovernmental bodies, and those specified in cooperation agreements with development partners, will take high priority.

97. The UN-Habitat PAAS will provide, on a continuous basis, evidence-based information that is credible, reliable and useful, thus enabling the timely incorporation of evaluation findings, recommendations and lessons into the decision-making processes of UN-Habitat.

98. The independent evaluation unit, located in the Office of the Executive Director, will plan and coordinate all evaluations approved in the biennial evaluation plans and ensure consistent application of evaluation norms and standards of the United Nations system. To ensure a maximum degree of impartiality and independence of evaluation findings, external evaluators will conduct most of the planned evaluations, while the evaluation unit will conduct the remaining few.

99. Evaluation recommendations, and plans for the implementation of those recommendations, will be discussed, in a systematic way, by both senior management and the Committee of Permanent Representatives. This will ensure corporate ownership of the whole process. An evaluation-tracking database will be integrated in the UN-Habitat PAAS in order to ensure the implementation of evaluation recommendations as well as monitoring of the implementation process. The implementation of evaluation recommendations will be reported on regularly. The capacity of UN-Habitat managers and staff in evaluation will be strengthened through regular training, offered as part of results-based management courses.

100. All projects with a budget of over \$3 million will be subject to external evaluation upon completion, and the budgets for all such projects will, as a matter of principle, include funds for evaluation. All the focus areas of the strategic plan (or subprogrammes of the work programme) will be evaluated at least once during the life of the plan. With respect to the strategic plan itself, there will be a midterm evaluation of the implementation of the strategic plan at the end of 2016. This evaluation will include the first reporting on the indicators of achievement of the plan's overall strategic result, as shown in figure 2. The strategic plan will be adjusted on the basis of this midterm evaluation, the New Urban Agenda, and any changes in the governance structure of UN-Habitat. A final evaluation of the strategic plan, including the second reporting on the indicators of achievement of the plan's overall strategic result, will be carried out in 2019.

101. All evaluation reports will be made available on the UN-Habitat evaluation website. Biennial evaluation reports will be prepared for presentation to the Governing Council. The reports will summarize the results of the evaluations carried out during the preceding biennium, including lessons learned, recommendations and action taken to implement those recommendations.

102. As development occurs over time, it is important to report on short-term outcomes, as well as intermediate and long-term results. Reporting on short-term outcomes will highlight immediate outcomes and relevant outputs, on the basis of information and data derived from the monitoring process. Reporting on long-term results is essential and will involve measurement of long-term impacts. The emphasis will be on measuring, on the basis of the established baselines, actual contribution to development results.

103. Dialogue with the Committee of Permanent Representatives and development partners on improving the quality of results reporting will take place during the implementation of the strategic plan in order to reach agreement on simple, clear and easily understandable reporting formats that demonstrate progress in achieving planned results. A web-based facility listing key results for each

UN-Habitat project will be created. The facility will be accessible to both UN-Habitat staff and external users. Evaluation efforts will be connected to the learning process, in order to improve sharing of lessons learned and analysis of results, as well as to the creation of an internal community of practice that captures and processes knowledge in a more systematic manner.

104. UN-Habitat will formulate a knowledge management strategy to serve this strategic plan, with the aim of strengthening the institutional and operational structure of knowledge management (including adequate support to infrastructure and systems), reinforcing the use of information and knowledge within the organization, fostering partnerships for broader knowledge-sharing and learning and promoting a culture of learning and exchange of knowledge.

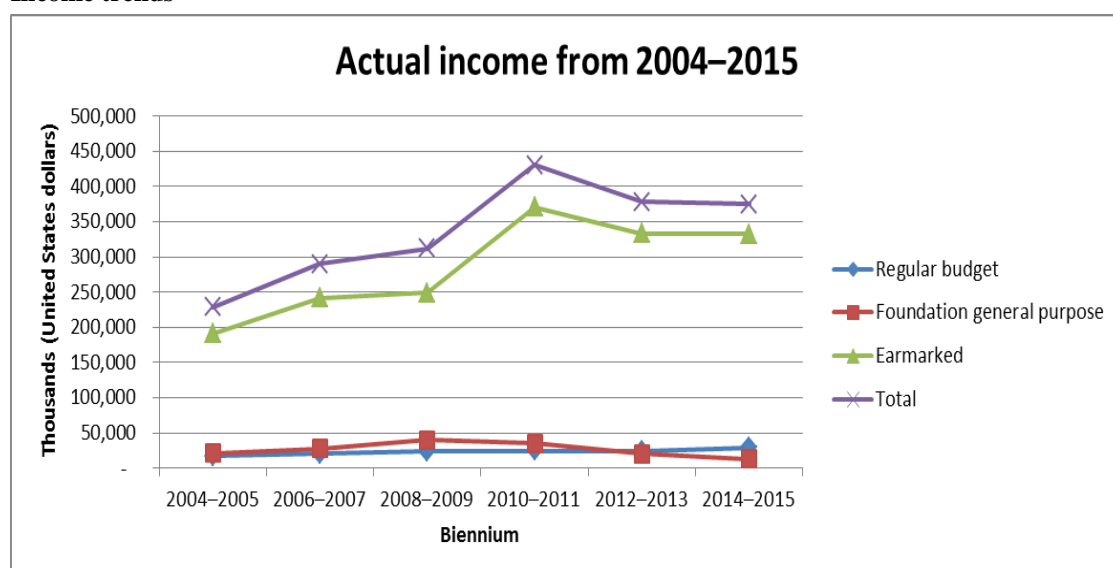
[E. Financial and human resources

105. Over the course of this strategic plan, UN-Habitat intends to significantly increase its project portfolio and total income, thus reversing the decline in income illustrated in figure 3. This ambitious aim is a means of challenging the organization to redefine its ways of doing business, including its approach to partnerships and to the development of new projects, which is necessary given the scale and scope of the challenges which cities face today.

106. UN-Habitat will continue improving its systems and tools, including its PAAS, in order to support sound financial and risk management, and to enable better planning, budgeting and monitoring of expenditure at the project, regional, thematic and corporate levels. These tools will also help the Programme to improve income forecasting and the management of expenditure at sustainable levels.

Figure 3

Income trends



107. UN-Habitat resource mobilization during the course of this strategic plan will support the income and portfolio growth targets of the organization. To this extent, the donor relations and income strategy is guided by planned outputs in the approved programme of work which provide the basis for activities that need to be undertaken and related resource requirements. Supplemented by specific resource mobilization products, the strategy serves as the vehicle for resource mobilization and project acquisition. A more targeted approach to core resourcing will be developed in 2017–2018, in the context of the independent assessment of UN-Habitat requested by heads of State and Government, ministers and high representatives in the New Urban Agenda.

108. To increase the project portfolio and non-earmarked resources, UN-Habitat will actively work towards deepening and broadening its existing donor base. This will include more systematic approaches and structures for securing non-earmarked voluntary contributions from all Member States of the United Nations, increasing the number of long-term partnerships with major development partners to achieve greater predictability of funding, and enhancing partnerships through greater participation in thematic and regional multi-donor pooled funds. To expand the donor base and promote greater ownership of programmes, national and local authorities will be approached to contribute towards programmes in their own countries. Improvements in visibility, reporting and efficiency will be discussed and agreed on with donors and client countries.

109. Non-conventional avenues for fundraising will also be pursued, including mass appeals, together with the engagement of private sector organizations committed to corporate social responsibility as well as those involved in investment, for profit, in low-income housing and urban infrastructure development.

110. Greater emphasis will be placed on the demonstration of impact and results, strengthening communication, including through social media, and demonstrating to existing and potential development partners the role of UN-Habitat in the implementation of the Sustainable Development Goals and the New Urban Agenda. UN-Habitat will also actively demonstrate its achievements in management efficiency, effectiveness, transparency and accountability in order to maintain existing donors, re-establish partnerships with former major donors and attract new donors.

111. The UN-Habitat project acquisition strategy will focus on greater specialization for projects and products designed to help Governments to achieve the objectives of the New Urban Agenda. By standing out as the specialized United Nations programme for sustainable urbanization, combining unique technical and policy approaches with the convening power of the United Nations, UN-Habitat expects to develop products that are in demand and are acknowledged as being of direct use to client countries and Governments. This will in turn feed country-level resource mobilization and guide the development of new projects for implementation at the local, other subnational and national levels. Efforts will also be made to ensure full participation of the Programme in pooled resources managed under the United Nations system, but also under other multilateral organizations such as international finance institutions. In addition, UN-Habitat will seek to add to its portfolio by building and intensifying close collaboration with trusts and foundations.

112. Portfolio growth will be further facilitated by enhancing in-house donor intelligence, undertaking capacity-building of staff in resource mobilization, developing tools to market UN-Habitat projects, knowledge and experience, and regularly updating resource mobilization strategies designed to ensure that the headquarters, regional and country offices systematically organize and coordinate their fundraising activities.

113. UN-Habitat will also engage more actively with middle-income countries, many of which have large and fast-growing economies. Most of these countries have, in the last decade or so, experienced major urban growth, thus providing a platform for expanding UN-Habitat technical cooperation activities as well as for promoting South-South cooperation.

114. The Donor Relations and Income Management Unit, located in the Management and Operations Division, will support the UN-Habitat interface with donors, in close collaboration with the thematic branches and regional offices. The Unit will also provide an in-house knowledge base for donor intelligence and analysis of global urban development financing opportunities and trends.

115. Ultimately, the success of the strategic plan for 2014–2019 will depend on the staff of UN-Habitat. The planned growth of the UN-Habitat project portfolio and income is likely to necessitate a corresponding increase in its core staff in order to create the necessary specialized skills and management capacity. However, a very cautious approach to the establishment of new posts will be pursued. The basic approach will be to engage project staff where and when required so as to meet immediate needs, thus providing the organization with the necessary flexibility to respond to variable project demands. UN-Habitat will also strengthen its matrix management system, which uniquely combines thematic priorities with sensitivity to regional and national priorities and needs. Flexible teams operating at headquarters and across regional and national offices will provide UN-Habitat with additional flexibility and efficiency in the management of its portfolio of joint normative and operational projects. Due consideration will be given to the UN system-wide recommended gender architecture, with a view to achieving gender parity at all levels within UN-Habitat.

116. In general, UN-Habitat will seek to provide a stimulating work environment that attracts people from diverse cultural and professional backgrounds with sector and industry leadership experience and technical skills through its commitment to sustainable urban development, openness to change and dedication to the provision of solutions to the challenges posed by national and local development. UN-Habitat will enhance ongoing professional development and learning. Maintaining and enhancing the reputation of UN-Habitat will require continuous improvement as well as a willingness to challenge established practices and to be flexible in the face of a constantly changing environment.

117. By strengthening the role of the four regional offices in Latin America and the Caribbean, Africa, the Arab States, and Asia and the Pacific, UN-Habitat will be better positioned to gather strategic intelligence, develop regional strategies, manage information and disseminate knowledge, develop and implement locally relevant programmes, strengthen regional partnerships and provide for

more efficient delivery of services through enhanced delegation of authority away from headquarters. The representation role of regional office directors will also be enhanced. As such, regional offices will be a strategic asset in the delivery of this strategic plan.]

F. Leading and supporting strategic plan implementation: results framework and priorities

118. The activities necessary for leading and supporting the implementation of the strategic plan described above will be the responsibility of the Office of the Executive Director, the Programme Division, the External Relations Division and the Management and Operations Division (shown in figure 1 in the black rectangles surrounding the square in the middle). These will be responsible for the following functions, respectively: executive direction; programme coordination; external relations; and management and operations. The strategic results, indicators of achievement and priorities of these functions are summarized below.

1. Executive direction

Strategic result: Effective leadership and strategic direction in the implementation of the mandates of UN-Habitat, including enhanced compliance with United Nations policies and procedures.

Indicator of achievement: Number of partner local and national governments satisfied with the performance of UN-Habitat in the implementation of its mandates and its coordination role in the implementation of the New Urban Agenda.

Priorities:

- (a) Providing effective leadership and strategic direction in the implementation of the strategic plan, New Urban Agenda, Sustainable Development Goal 11 and other Sustainable Development Goals relevant to urbanization and human settlements;
- (b) Effective political engagement with Member States of the United Nations and participation in high-level intergovernmental and inter-agency processes;
- (c) Defining and leading UN-Habitat resource mobilization efforts;
- (d) Defining and leading the preparation and updating of the six-year strategic plan;
- (e) Defining and coordinating programme and project evaluation.

2. Programme coordination

Strategic result: Effective delivery of an expanded portfolio of projects that fully integrates normative and operational work.

Indicator of achievement: Percentage increase in the value of the portfolio of projects that fully integrate normative and operational issues.

Priorities:

- (a) Developing systems and guidelines for expanding the UN-Habitat project portfolio and strengthening project formulation, implementation, knowledge management, monitoring and reporting;
- (b) Promoting horizontal and vertical coordination of UN-Habitat normative and operational work, including joint programming and implementation;
- (c) Strengthening UN-Habitat normative work, in line with the strategic plan's focus areas, the New Urban Agenda, Sustainable Development Goal 11 and other Sustainable Development Goals relevant to urbanization and human settlements;
- (d) Guiding the development, implementation and monitoring of operational projects, aligned with regional strategic plans and UN-Habitat country programme documents;
- (e) Mainstreaming cross-cutting issues (climate change, youth, gender and human rights) as well as the Environmental and Social Safeguards System of UN-Habitat.

3. External relations

Strategic result: Enhanced awareness and partnerships in the implementation of the New Urban Agenda, Sustainable Development Goal 11 and other urban-related targets among partner local and national governments and other stakeholders.

Indicator of achievement: Percentage of partner local and national governments and other stakeholders engaged in the implementation of the New Urban Agenda, Sustainable Development Goal 11 and other urban-related targets.

Priorities:

- (a) Providing support to governance bodies and processes, including the Governing Council of UN-Habitat and the Committee of Permanent Representatives to UN-Habitat;
- (b) Raising global awareness of urbanization and human settlements issues through effective communication and advocacy mechanisms and events;
- (c) Enhancing the capacity of UN-Habitat to deliver through strategic, inclusive and effective partnerships at the global, regional, national and subnational levels;
- (d) Guiding United Nations system-wide coordination on sustainable urban development at all levels and UN-Habitat engagement in inter-agency and intergovernmental processes, including through liaison offices in New York, Brussels and Bangkok;
- (e) Mobilizing partners and facilitating their interaction with Member States in the implementation of the New Urban Agenda, Sustainable Development Goal 11 and other Sustainable Development Goals relevant to urbanization and human settlements.

4. Management and operations

Strategic result: Strengthened organizational accountability, financial resources and systems management for effective operationalization and delivery of the six-year strategic plan.

Indicator of achievement: Number of business processes and policies adopted to strengthen organizational efficiency and effectiveness.

Priorities:

- (a) Effective and transparent allocation and management of human and financial resources as well as information and communication assets;
- (b) Leading and coordinating mainstreaming and application of results-based management in the organization, especially in programme planning, performance monitoring, reporting and learning, in order to achieve and demonstrate desired results;
- (c) Supporting internal and external audit processes as well as sound risk management systems and practices across the Programme;
- (d) Providing guidance in the application of legal instruments on partnerships and working towards a reduction in the number of legal disputes;
- (e) Coordinating the development and implementation of the resource mobilization strategy and liaison with donors.

Annex I

Factors shaping twenty-first-century cities and human settlements to which UN-Habitat should respond

1. Demographic factors

- Dominance of cities: more than 50 per cent of the world population is now urban and that figure is expected to rise to 60 per cent by 2030^a
- Rapid urbanization in developing countries: 90 per cent of the world urban population growth between now and 2030 will be in developing countries, mostly in Africa and Asia^b
- Most urban growth will be in towns of between 100,000 and 250,000 people^c
- Ageing of the urban population in developed countries and countries with economies in transition
- Decline of the urban population (“shrinking cities”) in developed and transition countries
- Dominance of young people in the urban population of developing countries

2. Environmental factors

- Climate change: cities contribute up to 70 per cent of transport-related greenhouse gas emissions^d
- Rising impacts of climate change and natural disasters (of increasing intensity) on cities: fourfold increase in natural disasters between 1975 and 2007, with cities and their inhabitants becoming more vulnerable to the effects of climate change^e
- Affordable fossil fuel (oil) at stable prices during much of the twentieth century (up to the 1970s) encouraged car use and, alongside other socioeconomic factors, urban sprawl, congestion and deteriorating air quality
- Water pollution and poor access to safe water, sanitation and waste management in developing countries

3. Economic factors

- A weakened global economy since the beginning of the financial crisis in 2008
- However, many developing countries are witnessing high economic growth (over 7 per cent) since 2010, thus improving the ability of those countries to attract investment in adequate urban basic services and housing for the poor^f
- Increasing unemployment all over the world (6.2 per cent or 205 million people unemployed in 2010)^g
- Unemployment among young adults is 2 to 3 times higher than adult unemployment globally^h
- Increasing economic dominance of cities, which generate more than 80 per cent of world GDPⁱ

^a UN-Habitat, 2011, *Global Report on Human Settlements 2011: Cities and Climate Change*, Earthscan, London, table 1.1, p. 3.

^b Ibid., p. 2.

^c UN-Habitat, 2009, *Global Report on Human Settlements 2009: Planning Sustainable Cities*, Earthscan, London, p. 8.

^d UN-Habitat, 2011, *Global Report on Human Settlements 2011: Cities and Climate Change*, Earthscan, London, p. 52.

^e UN-Habitat, 2007, *Global Report on Human Settlements 2007: Enhancing Urban Safety and Security*, Earthscan, London, p. 172.

^f IMF, 2011, *World Economic Outlook, April 2011, Tensions from the Two-Speed Recovery: Unemployment, Commodities and Capital Flows*, <http://www.imf.org/external/pubs/ft/weo/2011/01/pdf/text.pdf>.

^g ILO, 2011, *Global Employment Trends 2011: The Challenge of a Jobs Recovery*, ILO: Geneva, http://www.ilo.org/wcmsp5/groups/public/---dgreports/---dcomm/---publ/documents/publication/wcms_150440.pdf.

^h International Labour Organization, 2015, *World Employment Social Outlook: Trends 2015 – Summary*, Geneva, p. 3.

ⁱ <http://www.worldbank.org/en/topic/urbandevelopment/overview#1>.

- Energy price volatility and increasing demand for petroleum posing challenges for national and urban economies, especially in developing countries
- The informal economy has expanded in both developing and developed countries

4. Spatial factors

- More than half of the world's urban dwellers (52 per cent) live in small and medium-size urban settlements of less than 500,000 people^j
- Rapid urbanization in developing countries has resulted in uncontrolled peri-urbanization, most of it informal and in the context of weak urban planning systems
- Rapid urbanization and urban sprawl have led to the emergence of large metropolitan regions in many parts of the world, for which an adequate governance model is required
- Urban densities are generally declining in developed countries, mainly as a result of affordable fossil fuel use and prioritization of private motorization over public transport, as well as preference for suburban socioeconomic lifestyles, often with negative impacts on urban-rural environments and disadvantaging those without either private vehicles or access to public transport
- Urban planning and design in both developed and developing countries has followed the modernistic model, producing sprawling cities that are resource (especially energy) inefficient, segregated, not inclusive and economically uncompetitive

5. Social factors

- Urban poverty is increasing globally (urbanization of poverty) and inequality is rising
- In developing countries, urban poverty and inequality are manifested in slums, which accommodate close to 1 billion people and where levels of vulnerability are increasing, especially among women and young people
- Social exclusion, residential segregation and persistent pockets of poverty are now common in many developed countries
- Increasing urban crime rates in many parts of the world, which might, among other factors, represent a manifestation of social inequalities that need to be dealt with through policies of inclusion
- Increasing numbers of refugees, migrants and internally displaced persons globally: over 21 million refugees, around 244 million migrants and over 40 million internally displaced persons in 2015^k

^j UN-Habitat, 2009, *Global Report on Human Settlements 2009: Planning Sustainable Cities*, Earthscan, London, p. 27.

^k United Nations, 2016, *New York Declaration for Refugees and Migrants*, New York, para. 3.

Annex II

Strengths, weaknesses, opportunities and threats

1. Strengths

The strengths, weaknesses, opportunities and threats (SWOT) analysis carried out by division directors in a participatory exercise led by the Executive Director identified a number of areas in which UN-Habitat has expertise and relative strength. These are:

- (a) Very good progress in field operations in post-conflict and post-disaster countries, encompassing land conflict mediation, reconstruction of housing and infrastructure, rehabilitation of local government, and mainstreaming in United Nations humanitarian work of the continuum from relief to sustainable recovery in urban areas;
- (b) Innovative water and sanitation approaches, including leveraging of funding from regional development banks;
- (c) The World Urban Forum, which is now the world's premier forum on urban issues;
- (d) Global advocacy on urban issues and the target on slums of the Millennium Development Goals, with the latter emanating from the publication by UN-Habitat of the first ever global assessment of slums and statistics on slum dwellers in 2003;
- (e) Flagship publications, the *Global Report on Human Settlements* and *State of the World's Cities*, some of whose issues have been award-winning;
- (f) Regional ministerial platforms, including the African Ministerial Conference on Housing and Urban Development (AMCHUD), now the Subcommittee on Human Settlement and Urban Development of the African Union Specialized Technical Committee no.8 on Public Service, Local Government, Urban Development and Decentralization (AU-STC 8); the Asia-Pacific Ministerial Conference on Housing and Urban Development (APMCHUD); the Assembly of Ministers and High-level Authorities of the Housing and Urban Development Sector in Latin America and the Caribbean (MINURVI); and the Arab Ministerial Forum for Housing and Urban Development (AMFHUD);
- (g) Global Land Tool Network (GLTN), whose services have been strongly supported by donors and welcomed by a number of countries and cities;
- (h) Global advancement of the issues of urban safety and security, arbitrary evictions and alternatives, inclusive urban policies, and mainstreaming of gender and youth.

2. Weaknesses

The SWOT analysis revealed a number of weaknesses that UN-Habitat can address in the following manner:

- (a) Improve effectiveness of management systems, including accountability and transparency, and minimize bureaucratic load;
- (b) Improve core productivity at headquarters and delivery efficiency in the initial phases of field projects, especially in emergencies;
- (c) Systematically harvest core knowledge and lessons learned, internally and externally;
- (d) Improve internal strategic planning in order to enhance policy and programme implementation coherence;
- (e) Improve external communication and the image of UN-Habitat, including the ability of UN-Habitat to tell its success stories more effectively;
- (f) Address the problems of small and overlapping organizational units and further address the Programme's silo mentality, so as to sustain and advance the progress achieved in this area, including through the implementation of the medium-term strategic and institutional plan for 2008–2013;
- (g) Make better use of existing human resources and minimize the use of external consultants;
- (h) Improve funding predictability and resource mobilization;

- (i) Pay more attention to urban planning and design, urban legislation, local economic development and municipal and urban finance, which are the key levers of progress towards sustainable urban development, and encourage national Governments and local authorities to do the same;
- (j) Improve effectiveness at the country level, where most donor funding has shifted;
- (k) Improve the current lengthy and burdensome procurement and recruitment procedures that pose challenges to UN-Habitat activities, especially with respect to the post-disaster/conflict reconstruction area.

3. Opportunities

Most of the opportunities identified through the SWOT analysis relate to the main global factors that are currently shaping cities and towns. These include:

- (a) Increasing global recognition of the importance of the urban agenda in the light of the fact that, since 2008, the majority of humanity is now urban, as well as rising interest in the urban agenda among other multilateral entities on the basis of the awareness raised by UN-Habitat in effectively carrying out its focal point responsibilities within the United Nations system;
- (b) Recognition of the leading role of cities in national economic growth and globalization;
- (c) Rapid economic growth in some developing countries, which improves the ability of those countries to attract investment in adequate urban basic services and housing for the poor;
- (d) Global movement to revive urban planning, which began at the third session of the World Urban Forum, held in Vancouver in 2006, and has been dubbed “reinventing urban planning”;
- (e) Increasing demand for assistance in planning for small and medium-sized urban settlements of less than one million people in developing countries, which currently accommodate most of the world’s urban population and will absorb most of the predicted urban growth in the next few decades, but are institutionally weak;
- (f) Increasing global recognition of the importance of cities in addressing climate change and energy efficiency, including in the areas of mobility and transport, space heating and cooling of residential and commercial buildings, construction, industrial activities and waste, in the light of their potential to mitigate greenhouse gas emissions, innovatively adapt to climate change and improve air quality;
- (g) Increasing recognition of the role of UN-Habitat in the Executive Committee on Humanitarian Affairs and the Inter-Agency Standing Committee on Post-War and Disaster Reconstruction and Rehabilitation cluster working groups, through which it provides inputs and support to an urban focus on relief, recovery and reconstruction;
- (h) Normative and operational mandate of UN-Habitat, which enables it to conceive innovative solutions and test them in the field, but also provide technical assistance to scaled-up country programmes and projects;
- (i) Importance of slum prevention and upgrading, as well as of drinking water and sanitation, in the Millennium Development Goals;
- (j) The New Urban Agenda, the outcome of the United Nations Conference on Housing and Sustainable Urban Development (Habitat III) held in October 2016, including the evidence-based independent assessment of UN-Habitat requested therein, whose purpose is to enhance its effectiveness, efficiency, accountability and oversight;
- (k) The increasing recognition of the contribution of well-planned and well-managed cities and human settlements to sustainable development – a new opportunity that has arisen over the last three years – as reflected in the inclusion of a goal on cities and human settlements, namely Goal 11 (Make cities and human settlements inclusive, safe, resilient and sustainable), in the Sustainable Development Goals of the 2030 Agenda for Sustainable Development, as well as in the New Urban Agenda;
- (l) The accreditation of UN-Habitat to the Adaptation Fund in 2015, another new opportunity and one which is likely to open the door for the organization to help cities benefit from climate finance and move towards low-carbon, climate-resilient development, as well as working with the Green Climate Fund and the Global Environment Facility;

(m) Broadening and expansion of UN-Habitat cooperation with all stakeholders in the urban sphere so as to reduce redundancies and build on the basis of each other's accomplishments as a means to advance global efforts.

4. Threats

The main threats facing UN-Habitat include the following:

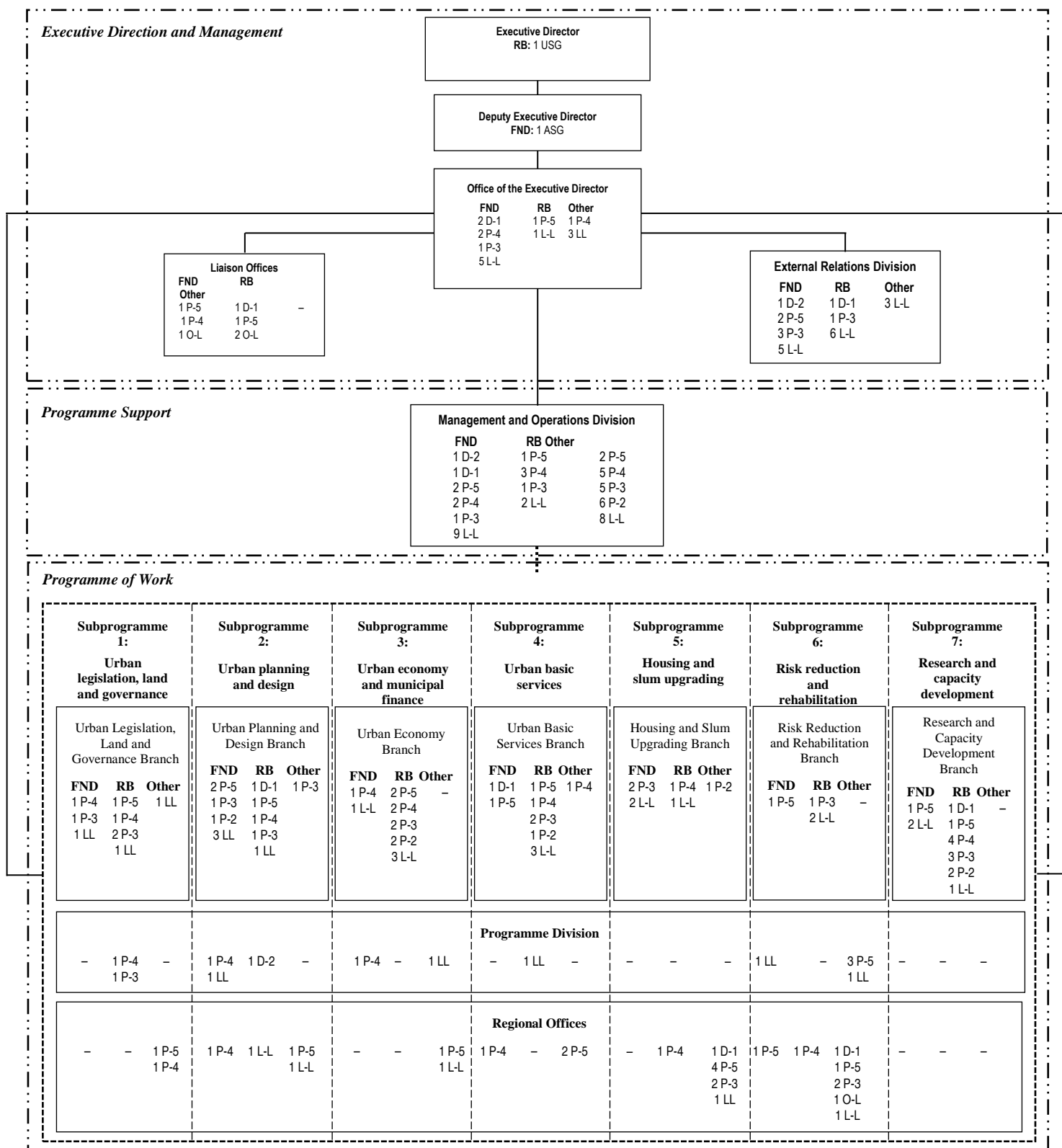
(a) Declining donor contributions to non-earmarked income in recent years, (partly due to the global financial crisis, which has jeopardized the development of UN-Habitat normative work and created an imbalance among focus areas as regards the fulfilment of the strategic plan's objectives);

(b) Possible imbalance between the UN-Habitat official work programme and its implementation, which is increasingly driven by earmarked contributions;

(c) Inability of UN-Habitat to fully respond in a timely manner to increasing demand for its services at the national and local levels owing to lengthy recruitment and procurement processes.

Annex III

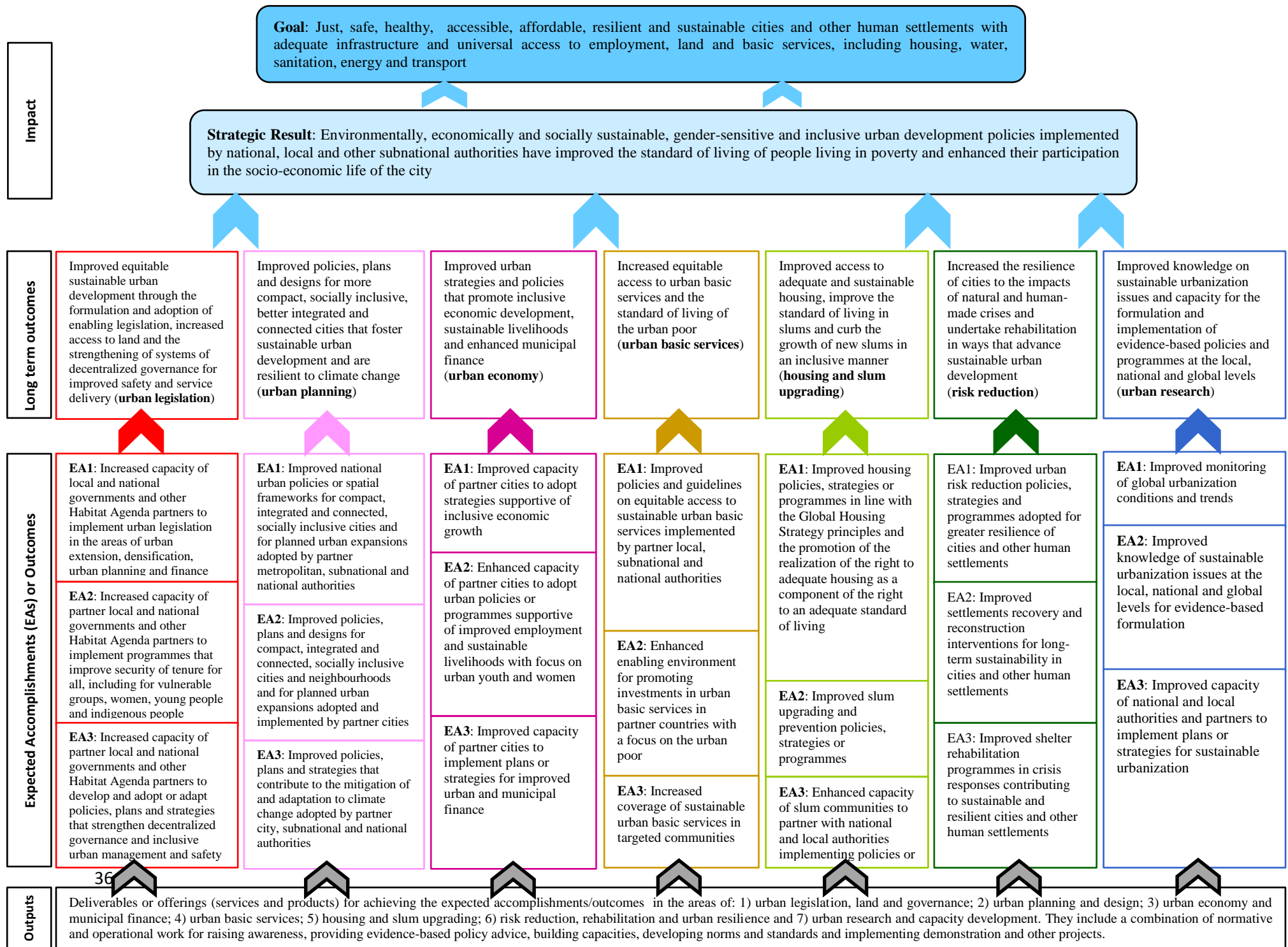
Formal organizational chart of UN-Habitat



Summary of posts:

Foundation General Purpose (FND)	=	70
Regular Budget (RB)	=	75
Other funds (Other)	=	66
Total posts	=	211

Annex IV : UN-Habitat's Theory of Change



Overview of the Theory of Change

The purpose of all UN-Habitat work, which is both normative and operational, is to assist local, other subnational and national authorities responsible for urban and human settlements issues to improve the standard of living of their citizens through improved urban development, planning, management, governance and basic service delivery policies. The impact of this work, consistent with results-based management tools, is measured through a set of indicators that track changes in sustainable urbanization trends. To achieve impact, the strategic plan identifies seven focus areas that orient the organization's work for 2014-2019, namely: urban legislation, land and governance; urban planning and design; urban economy and municipal finance; urban basic services; housing and slum upgrading; risk reduction, rehabilitation and urban resilience; and urban research and capacity development.

The diagram above articulates UN-Habitat's theory of change in working toward the achievement of planned results (outcomes and impact) for each of the focus areas and at corporate level.

At the bottom of the theory of change diagram are UN-Habitat's deliverables/offerings or outputs (services and products), which will be delivered locally, regionally and globally in a strategic manner.

As the outputs are delivered and used in line with the mandates articulated in this strategic plan and to respond to member states' demands, expected accomplishments (EAs) or outcomes are achieved. The sustained and combined achievement of the EAs over the period of the strategic plan and beyond should lead to at least seven coherent long term outcomes, which also represent the strategic results or objectives of each of the seven focus areas.

In the long run, the combined and sustained achievement of the long term outcomes should lead to social, economic and environmental transformation at the impact level (UN-Habitat main strategic result and goal). This may be enhanced through joint programming across the seven focus areas.

Ultimately, continued progress toward UN-Habitat's strategic result and goal will contribute to the implementation of the New Urban Agenda and the 2030 Agenda and the Sustainable Development Goals, notably Goal 11 on making cities and human settlements inclusive, safe, resilient and sustainable.

Assumptions

To move from a lower level of result (i.e. outputs or EAs) to a higher level one (i.e. long term outcomes or impact) a number of assumptions will have to hold true, as follows:

For delivering outputs:

- ❖ Sustainable urbanization issues are clearly reflected in national development plans
- ❖ Expenditure is prioritized in favour of sustainable development issues
- ❖ Enabling environment provides the necessary conditions for UN-Habitat to deliver services/products

From outputs to expected accomplishments:

- ❖ Stakeholders are receptive to new approach to sustainable urbanization
- ❖ Products and services delivered by UN-Habitat are used by beneficiaries

From expected accomplishments to long term outcomes or strategic results or objectives

- ❖ Capacity and political commitment are adequate for sustained use of products and services as well as for scaling up of new approach to sustainable urbanization and capitalizing on the benefits
- ❖ Humanitarian and other crises do not overwhelm capacity

From long term outcomes to impact

- ❖ Global, regional and national political support for addressing sustainable urbanization issues remains strong
- ❖ Availability of quality data and evidence continues to increase to support decision-making