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**Six monthly Progress Report on the Implementation of the  
Medium Term Strategic and Institutional Plan (MTSIP)  
(HSP/CPR/44/5).**



An aerial photograph of a wide city street. On the left, there is a tall, modern building with many windows. Below it is a lower building with a series of arches. The street is filled with cars and buses. A large white bus with the number 3210 is in the foreground. There are trees with pink blossoms along the sidewalks. The sky is clear and blue.

# **ANNUAL PROGRESS REPORT ON THE IMPLEMENTATION OF THE MEDIUM-TERM STRATEGIC AND INSTITUTIONAL PLAN (MTSIP) 2008-2013**

**January- December 2011**

**2011 Annual Progress Report on the Implementation of the  
Medium-Term Strategic and Institutional Plan (MTSIP) 2008-2013**

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# **Annual Progress Report on the Implementation of the Medium-Term Strategic and Institutional Plan (MTSIP), 2008-2013**

January- December 2011

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# Acronyms

AMCHUD	African Ministerial Conference on Housing and Urban Development	MOA	Memorandum of Agreement
CAP	Community Action Plans	MTSIP	Medium-Term Strategic and Institutional Plan
CCCI	Cities and Climate Change Initiative	MUF	Municipal Urban Forums
CDS	City Development Strategies	MWEDO	Maasai Women's Development Organization
CERF	Central Emergency Relief Fund	NUF	National Urban Forums
CLUP	Comprehensive Land use Plan	OCHA	Office of the Coordinator of Humanitarian Affairs
CONAVIM	National Commission for the Prevention and Eradication of Violence Against Women	OIOS	Office of Internal Oversight Services
CPR	Committee of Permanent Representatives	PAAS	Project Accrual and Accountability System
DIS	Donor Information System	PRC	Programme Review Committee
EA	Expected Accomplishment	RBM	Results-Based Management
ECOWAS	Economic Commission for West Africa	RTCD	Regional and Technical Cooperation Division
ENOF	Enhanced Normative and Operational Framework	SUDNet	Sustainable Urban Development Network
EPAS	Electronic Performance Appraisal System	SUF	Slum Upgrading Facility
ERM	Enterprise Resource Management	UNACLA	United Nations Advisory Committee of Local Authorities
ERSO	Experimental Reimbursable Seeding Operations	UNCDF	United Nations Capital Development Fund
ESCAP	Economic and Social Commission for Asia and the Pacific	UNCSD	United Nations Conference on Sustainable Development
FA	Focus Area	UNCT	United Nations Country Teams
FAO	The Food and Agriculture Organization of the United Nations	UNDAF	United Nations Development Assistance Framework
GC	Governing Council	UNHCR	United Nations High Commissioner for Refugees
GMIS	Grant Management Information System	UNICEF	United Nations Children's Fund
GUSIP	Ger Area Upgrading Strategy and Investment Plan	UNON	United Nations Office in Nairobi
GWOPA	Global Water Operators Partnership Alliance	UPMG	Urban Planning, Management and Governance
HCPD	Habitat Country Programme Document	WFP	World Food Programme
HPM	Habitat Programme Manager	WHD	World Habitat Day
IASC	Inter-Agency Standing Committee	WHO	World Health Organisation
IFRC	International Federation of Red Cross & Red Crescent	WSP-Af	Water and Sanitation Programme in Africa
IOC	International Olympics Committee	WUC	World Urban Campaign
IOM	International Organization for Migration	WUF	World Urban Forum
IPACC	Intergovernmental Panel on Climate Change		
ISS	Information Services		
LVWATSAN	Lake Victoria Region Water and Sanitation Initiative		
MDGs	Millennium Development Goals		
MEKWATSAN	Mekong Water and Sanitation Initiatives		

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# I. Introduction

This is the 11th progress report since the start of the implementation of UN-Habitat's Medium-term Strategic and Institutional Plan (MTSIP) in 2008. The report is submitted in accordance with Governing Council (GC) resolution 22/7, paragraph 7, which stipulates that UN-Habitat, using a results-based framework should report on progress made in the implementation of the MTSIP to Governments through the Committee of Permanent Representatives (CPR). The report is also used to meet the reporting requirement of UN-Habitat's development partners as per the cooperation agreements.

The information used for the preparation of this report is derived from the monitoring UN-Habitat's performance in the implementation of its work at the headquarters, regional and country levels, as well as from evaluations conducted during 2011. The MTSIP results framework progress covers the period January to December 2011. Performance assessment in resource utilization, in the six focus areas of the MTSIP is also presented.

The report has six sections. Sections I-III is about the MTSIP results framework and financial resource utilization for 2011 annual work plans. Section IV highlights the main achievements, challenges and next steps at organizational level. Progress by each focus area, assessed at expected accomplishment level using indicators of achievement against targets, is presented in section V. Also covered in section V are achievements of the Enhanced Normative and Operational Framework (ENOF) and cross-cutting issues of disaster management, gender and youth. Section VI reports details of achievements at global, regional and country level by focus areas. Although reporting emphasis is on results, short-term outcomes, processes and outputs which significantly contributed towards attainment of the results, are also reported. This is because results (real outcomes) often take time to achieve. Challenges and the next steps for each focus area are also presented. Based on indicators of achievement and targets for 2011, it is evident that all focus areas have made significant progress, with most expected accomplishments being 'on track'.

## II. The MTSIP results framework

The MTSIP has six focus areas and the Enhanced Normative and Operational Framework (ENOF). Its results framework consists of strategic results, expected accomplishments, sub-expected accomplishments and indicators of achievement (Annex 1). The results framework is the basis for organizational planning, programming, budgeting, monitoring, evaluation MTSIP and reporting up to the end of 2013. The plan is implemented through the biennial work programme and budget cycles.



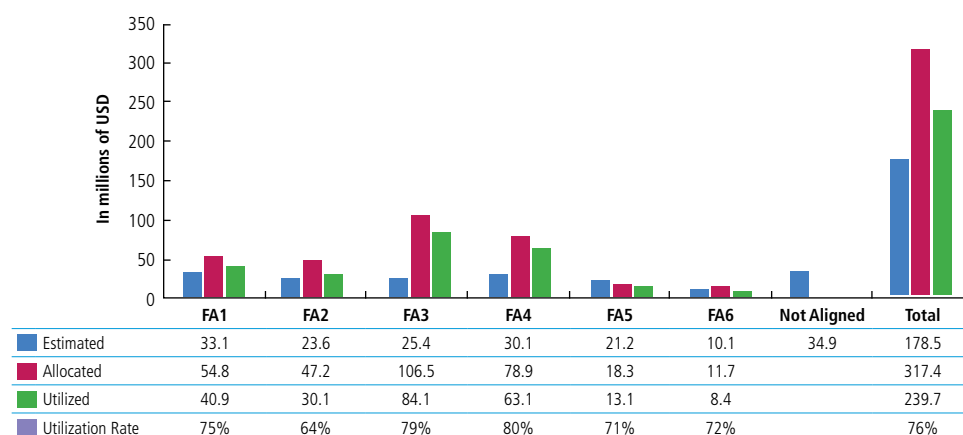
Manila, Philippines. © UN-HABITAT/Thomas Melin

### III. Financial resources for 2011 annual work plans

Aligning resources with organizational objectives and results is one of the critical factors for effective application of Results-Based Management (RBM). It provides management and stakeholders with a resource - results picture and demonstrates transparent budget management processes. Figure 1, shows the budget estimates, allocation and expenditure for the period of January to December 2011. A total budget of USD 178.5 million was estimated based on the indicative biennium budget of USD 287.2 million for the six focus areas; USD 317.4 million was allocated in line with the funding received. As of 31 December 2011, USD 239.7 million (76%) had been utilized in the six focus areas.

The fact that allocated funds are higher than the estimated budget can be explained by the fact that estimates are based on policy-led planning, within the context of the work programme and MTSIP priority activities while allocations are based on the actual receipt of funds.

FIGURE 1: Comparison of estimated , allocated and utilized financial resources: January-December 2011



## IV. Highlights of achievements, challenges and next steps

This section presents highlights of significant accomplishments during the reporting period. It also presents the challenges experienced and next steps to be undertaken at organizational level.

### a) Significant achievements

- Overall policy making, direction and coordination resulted in the approval of the work programme and budget for 2012-2013 and the adoption of 18 resolutions at the 23rd session of the Governing Council, giving UN-Habitat and its partners the stimulus to move the urban agenda forward.

#### Advocacy, monitoring and partnership for sustainable urbanization

- Awareness and knowledge on sustainable urbanization issues continued to increase through advocacy, monitoring and partnerships. The demand for UN-Habitat publications is on the increase. Results from a survey conducted to assess UN-Habitat's efforts in raising awareness on human settlement issues (completed in November 2011) confirmed that the two Flagship reports, Global Report on Human Settlements and the State of the World's Cities Report, and the Best Practices Database continue to be valuable tools in raising awareness of human settlements conditions and trends amongst UN-Habitat partners.
- Awareness on climate change and cities has been deepened through the empirical evidence on the linkages between climate change and cities and towns that have been documented in the Global Report on Human Settlements 2011: Cities and Climate Change. World Habitat Day was celebrated in 65 countries through 250 events which focused on the issue of cities and climate change.
- The Global Urban Observatory Programme continues to increase its support to countries and cities in improving their capacity to design, access, manage and analyse information on urban trends and conditions to enhance existing policy, planning, and decision-making mechanisms. The programme also provides urban statistical analysis for the flagship reports and annual Millennium Development Goals Report. By December 2011, UN-Habitat was supporting operations of 237 national and local urban observatories, up from 155 by November 2010.
- UN-Habitat coordinated the 2011 global celebrations of World Water Day held in Cape Town, South Africa in March, 2011 under the theme Water and Urbanization. This event gave UN-Habitat another global advocacy platform for promoting basic urban infrastructure and services.
- The World Urban Campaign is raising awareness, mobilizing a wide range of partnerships, political will and promoting dialogue on important issues related to sustainable urban development. By December 2011, over 50 partners from the private sector, UN-agencies, Civil Society, research institutions had joined the campaign.

- UN-Habitat made significant progress during 2011 in promoting knowledge exchange, collaboration and networking among UN-Habitat and its partners through the global online platform, the Urban Gateway. This platform has proved to be an effective tool enabling governments, local authorities, urban practitioners, researchers, civil society, business and others to contribute to a multi-media knowledge repository of urban best practices, projects, research, technology and publications. As of December 31 2011, about 1000 registered users on the Urban Gateway and over 3,000 items had been posted on the Urban Gateway.

### **Urban planning, management and Governance**

- In 2011, some progress was made towards more effective planning, legislation and tools that can enable cities to better plan their future developments in a sustainable manner through intergovernmental decisions and national policy initiatives in areas of urban planning, safer cities, and response to climate change vulnerability and environmental degradation.
- By December 2011, 147 cities (up from 132 at the end of 2010) were implementing activities in the areas of governance, safety, environment, risks and crisis to strengthen the capacity of national governments, local authorities and other Habitat Agenda partners in the area of sustainable urbanization.
- Through the Cities and Climate Change Initiatives (CCCI), the governments of Philippines and Mozambique have begun to pass by-laws and are undertaking concrete activities to enhance climate resiliency and reduce greenhouse gas emissions. Sorsogon City, in the Philippines, has passed local legislation to convert public buildings and streets to more energy efficient lighting, and gradually upgrade the city's fleet of motorized tricycle taxis.
- By December 2011, 53 institutions, up from 41 institutions at the end of 2010, were promoting sustainable urbanization. Of these, 27 are local government training institutions, 14 are universities and 12 are local government associations and regional or global local government training institutions.

### **Pro-poor land and housing**

- UN-Habitat continued to mobilize and support Governments and Habitat Agenda Partners to implement improved land and housing policies. As of December 2011, a total of 37 countries (compared to 33, in 2010) were in the process of developing, implementing or completing land and housing reforms with the support of UN-Habitat. The new countries are Burundi – where a land policy revision resulted in the approval of a new policy, DRC - where land mediation programmes are being linked to national and local land policy and administration; Iraq – where access to land tenure is being used to ensure adequate housing delivery, and South Sudan – where the land disputes resolution capacity of the Land Commission is being developed.
- Regional Ministerial Conferences, facilitated by UN-Habitat, are playing an important role in promoting the Habitat Agenda especially in land and housing policy changes through the agreed action plans by the respective governments. For example through the African Ministerial Conference on Housing and Urban Development (AMCHUD), fifteen African countries were, in 2011, reviewing their land and urban legislation under the Bamako Plan of Action adopted at AMCHUD III by in November 2010.

### **Environmentally sound basic urban infrastructure and services**

- UN-Habitat has become a recognized global player in basic urban infrastructure and services issues. In 2011, UN-Habitat was designated by UN-Water to organize World Water Day under the theme ‘Water and Urbanization’. This provided an opportunity for advocacy and greater engagement with UN agencies and other partners on the importance of basic urban infrastructure and services in sustainable urban development.
- Findings from an external evaluation of UN-Habitat’s Water and Sanitation Trust Fund (WSTF) conducted in 2011 concluded that the strategy and activities of the WSTF are highly relevant, especially focusing on basic urban services which are at the core of sustainable development of cities. The evaluation also shows that the WSTF, which supports 80 per cent of activities under Focus Area 4, is making an impact in the lives of the urban poor as critical capacities have been strengthened that support improved access to basic urban infrastructure and urban services.
- Progress has been made in the development and adoption of policies and strategies for expanding access to basic urban services, with a particular focus on the poor. By December 2011, 36 countries (13 in Asia and the Pacific, seven in Latin America and the Caribbean, 15 in Africa and one in Central America) were participating in Water for cities Programme. Institutions, adopting institutional mechanisms that expand access to urban infrastructure and services reached 126 by December 2011, up from 105 at the end of 2010 and above the target of 105.
- UN-Habitat has made significant progress in strengthening the capacity of municipal service providers of partner cities to deliver efficient, reliable and cost-effective services. UN-Habitat’s capacity building and training programme strengthened the institutional capacity of water utilities in 13 countries.

### **Human Settlements finance systems**

- Following a four-year experimental period, an external evaluation of the ERSO programme was conducted in 2011. The evaluation concluded that as a loan programme, ERSO had proved an effective tool for reaching underserved urban poor, that provided seed funding to five pilot projects amounting to USD2.75 million for projects in Uganda, Tanzania, the Occupied Palestinian Territories, Nicaragua, and Nepal. Low income households directly benefiting from ERSO increased from 800 to over 8000 by December 2011. All loans are performing according to repayment schedule.
- Based on the overall findings and lessons learned from the evaluation of the ERSO as a loan programme it was concluded that UN-Habitat is not best positioned to continue as a direct lender, due to the high administrative cost of establishing a permanent lending programme in the organization and the lack of incremental funding for lending activities. Instead, UN-Habitat should focus on the normative aspects of the programme which is the area of strength. A partner agency with relevant expertise in direct lending is being identified to manage ERSO projects. This recommendation was supported through a resolution by the Governing Council during the 23rd Session.
- An independent end-of-programme evaluation of the Slum Upgrading Facility (SUF) Programme was conducted in 2011. It concluded that the main impact of this grant-based programme was in the strengthening of the local finance facilities and the impact the facilities were having on national policy on pro-poor human settlements financing. The slum upgrading facility was concluded and closed by the Executive Director in December, 2011. Lessons learned from the SUF programme will continue to inform the overall slum upgrading activities of UN-Habitat at country level and the normative work globally.

## Excellence in management

- In terms of results-based planning progress has been made towards the development of the second six-year (2014-2019) strategic plan for the organization in response to the Governing Council resolution. A draft results framework was presented to the CPR at its meeting of 15 December 2011. The Open-ended Contact Group on the preparation of the Strategic Plan, which includes members of the CPR will finalize Parts 1 and 2 of the proposed Strategic Plan by early February 2012, so as to enable the preparation of the biennial Strategic Framework for 2014-2015 by 17 February 2012.
- The biennial work programme and budget for 2012-2013 is fully aligned to the MTSIP results framework. It was informed by lessons learned from monitoring and evaluation findings. The work programme and budget which was approved by the General Assembly in December 2011, will drive UN-Habitat's work this biennium.
- The Programme Review Committee has ensured alignment of projects and programmes with strategic objectives and results of the MTSIP. The number of programmes and projects contributing to MTSIP focus area and work programme results increased from 97% in 2010 to 98% in 2011.
- Progress has been made in institutional reform process. The UN-Habitat organizational review for the rationalization of current structures to enhance efficiency and effectiveness of the Programme has been completed. Key reform components have been determined taking into account six recommendations on institutional reform from the MTSIP Peer Review of 2010 aimed at increasing efficiency, productivity and accountability of the organization.
- Results-based programmatic and financial reporting on the implementation of the MTSIP has been strengthened and consolidated with the linking of programme implementation to financial expenditure.
- Information from evaluation reports is used to guide decision-making. For example, the on-going organizational restructuring is a result of recommendations from the MTSIP Peer Review. Recommendations from evaluation of the experimental Reimbursable Seeding operation (ERSO) led to significant decisions by Governing Council to discontinue the ERSO lending programme.
- As of 31 December 2011, USD37 million had been received for non-earmarked funds, which is about 65% of the target of USD57million for the biennium 2010-2011. For earmarked resources, USD371million had been received during the 2010-2011 biennium, which exceeds the biennium target of USD252million by 47%.
- The organization continued to improve systems and capacity aimed at improving the efficiency and accountability in the management of its financial resources. The Grant Management Information System has been enhanced to support the new organizational structure before final implementation of the new UN-Habitat Project Accrual and Accountability System. This system fully supports the tracking and reporting of contributions and expenditures of programmes and projects in accordance with the MTSIP framework. In addition, a cost allocation and recovery policy has been developed which gives guidance on the attribution of costs incurred by UN-Habitat as accurately as possible.

### **Enhanced Normative and operational framework (ENOF)**

- The ENOF continues to be an effective instrument for mainstreaming UN-Habitat work at the country level. The 33 Habitat Country Programme Documents (HCPMs) developed to-date have helped promote alignment of normative with operational activities, and facilitate engagement with national governments and UN country teams as well as the UN Development Assistance Framework (UNDAF) processes. HCPMs have provided partners with information about UN-Habitat's objectives and plans at country level in one document. By December 2011, human settlements issues had been integrated into 44 UNDAFs and 38 National Development plans. Through ENOF, UN-Habitat had supported the establishment of 33 National Urban Forums by December, 2011, up from 20 at the end of 2010.

### **Disaster Management**

- In 2011, UN-Habitat continued to provide leadership within the Inter-Agency Standing Committee (IASC) in strengthening policies, tools and practices of the international humanitarian community for effective responses in humanitarian emergencies and follow-up on recovery activities in urban areas. UN-Habitat now chairs the IASC Reference Group for the implementation of the two-year Action Plan of the IASC Strategy.
- UN-Habitat is supporting ten countries towards incorporating urban risk and vulnerability reduction measures. In addition, in early 2011, UN-Habitat institutionalized the Task Force on Meeting the Humanitarian Challenges of Urban Areas.
- UN-Habitat continued to prioritize post-disaster rehabilitation and reconstruction programmes in countries such as Afghanistan, Iraq, Somalia and Haiti although working conditions for staff are difficult.

### **Mainstreaming Youth**

- Findings from an independent evaluation of the the Youth Programme conducted in 2011 confirmed that the programme is relevant and progress has been made in engagement with youth in urban areas. It also revealed that UN-Habitat has played a critical role in linking young people with other actors involved in urban youth issues, such as municipalities and the private sector.
- UN-Habitat continued to engage the young people in governance processes, of the organization's work, and sustainable livelihoods in human settlements management and development. UN-Habitat "Youth Envoys", "Messengers of Truth" and members of the Youth Advisory Board participated in the twenty-third session of the Governing council.
- The Urban Youth Fund provides financial support for youth-led development initiatives in developing countries. By December 2011, about 115 youth groups had benefited from the fund globally. One Stop Youth Resource Centres provide space for youth to receive key services and training to lead initiatives. Over 1000 young people have been trained at these centres.

### **Gender Mainstreaming**

- An independent evaluation of UN-Habitat's Gender Mainstreaming Programme in 2011 revealed that work in access to water and sanitation provision indicates a high degree of gender sensitivity. The organisation has also taken considerable steps to promote women's access to security of tenure and challenged gender inequalities that are structural in nature, such as legislation on land and housing that discriminates against women. The work on



governance and security in cities has also demonstrated an awareness of the problems associated with gender-blindness within local government institutions.

## b) Challenges

Although significant progress has been made in implementing the Medium-Term Strategic and Institutional Plan, there are still areas where improvement is needed and some challenges are encountered:

- Demands and spending needs of UN-Habitat are increasing, while staffing levels and financial resources remain insufficient. These demands will grow as the new vision of the organization takes root ahead of the Rio +20 summit in June 2012 and the Habitat III conference in 2016.
- The governance structure of UN-Habitat has been a challenge. Compliance with UN Secretariat requirements has, at times, conflicted with what Member States have asked of UN-Habitat as a Programme. The on-going governance review presents an opportunity for identifying areas and ways some of the contradictions can be minimised.
- Timely implementation of UN-Habitat operations, especially in the humanitarian area, is handicapped by lengthy procurement procedures, some of which UN-Habitat has no control.
- The organization is challenged on how to expand the donor base at a time when the effects of the global financial crisis are still being felt.
- There are still two parallel monitoring and reporting systems for the MTSIP and the Work Programme. Reporting on the MTSIP being seen as a burdensome add-on. UN-Habitat plans to partly address this challenge through the Strategic Plan for 2014-2019 that is currently under preparation before the development of the work programmes for the same period begins.
- The *Delivering as One UN* approach is commendable but UN-Habitat is challenged by the high demands from country programming through the United Nations Development Assistance Frameworks (UNDAF) process due to inadequate resources.

## c) Next steps and actions in 2012

- The UN-Habitat GC at its twenty-third session (GC 23/11) requested the development of a strategic plan for 2014-2019. Preparation of the next Strategic Plan to be completed by early February 2012.
- The launch of the new organizational structure in January 2012 will be a milestone within a longer term process, during which a phased approach will be applied. Also, the transition period of approximately 6 months from January to June 2012 will allow some of the key change components to be fully unfolded.
- Development and implementation of a change management strategy as well as the implementation of the action plan as important elements of the change process will be a priority in order to ensure a successful transition.
- UN-Habitat will continue with its efforts to mobilize resources and expand the donor base, including reviewing the role of HPMs, the private sector and local authorities.
- Through ENOF, UN-Habitat will continue to promote alignment, coherence and coordination at the global, regional and country levels.

## V. Assessment of Progress of Focus areas against targets for 2011

This section assesses progress of each focus area, at the expected accomplishment level using indicators of achievement against targets set for 2011. Colour coding is used to indicate whether performance is on track (green), shows mixed progress (yellow) or needs high attention (red).

The key for performance colour coding is as follows:

On track – satisfactory progress	Mixed progress - stay alert	High attention required
Greater than 75%	Greater than 50% but less than 75%	Less than 25%

### a) FA1: Advocacy, monitoring and partnership



Discussing gender matters at the World Urban Forum. © UN-HABITAT/Julius Mwelu

**Expected Accomplishment 1: Improved awareness of sustainable urbanization issues at national and global levels.**

***Indicator (a): Number of media articles on flagship reports: Target set for 2011 is 16,000 articles***

- The number of media articles on the *State of the World's Cities report 2010/2011: Bridging the Urban Divide* and the *Global Report on Human Settlements 2011* increased by 56% to reach a record of over 25,000 in 2011 up from 14,022 and exceeded the target of 16,000 articles.

***Indicator (b): Number of downloads from UN-Habitat website of sustainable urbanization materials: Target for 2011 was 900,000 downloads***

- UN-Habitat recorded 1,076,039 downloads of publications from its website in 2011, up from 822,156 in 2010 and an increase of 31% above the target of 900,000 downloads.

***Indicator (c): Number of countries with National Urban Forums: Target for 2011 was 17 countries***

- A growing number of countries established National Urban Forums (NUFs) as platforms for awareness raising and policy debates on sustainable urban issues. The number of countries with NUFs was 35 as of December 2011, compared to 20 in November 2010.

**Expected Accomplishment 2: Habitat Agenda partners actively participate in the formulation of sustainable urbanization policy**

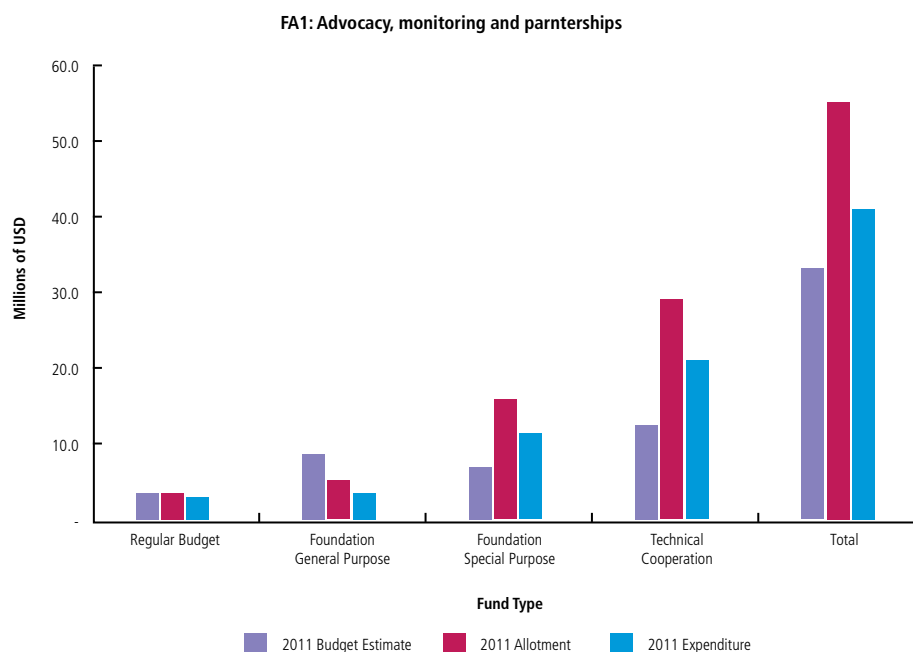
***Indicator of achievement (a): Number of partnerships (by category) contributing to sustainable urbanization. Targets for 2011: 35 international organizations; 45 national governments; 32 training institutions/universities; 10 foundations; 36 private sector organizations and 50 civil society organizations.***

- In 2011, UN-Habitat signed cooperation agreements with 188 partners. These partnerships included 73 international organizations, 40 national governments and local authorities, 31 private sector organizations, 20 training institutions, and 24 youth groups, indicating increased participation of Habitat Agenda partners in the formulation of sustainable urbanization policies.

**Expected Accomplishment 3: Monitoring of sustainable urbanization conditions and trends improved**

***Indicator of achievement (a): Number of operational Urban Observatories – 2011 target is 160***

- In 2011, UN-Habitat facilitated the establishment of 82 national and local urban observatories. By December 2011 UN-Habitat was supporting operations of 237 national and local urban observatories, up from 155 by November 2010.

**FIGURE 2: Annual estimated budget, allocated resources and expenditure for FA1 by type of funding**

**Overall assessment of progress in Focus Area 1:** UN-Habitat's self-assessment, based on the indicator of achievements and targets for 2011 places all three expected accomplishments of FA1 on track. Figure 2 shows the 2011 estimated annual budget (USD 33.1 million) and allocated amount (USD 54.8 million, which includes the allocation for country projects) for FA1, as well as expenditure (USD 40.9 million) as of 31 December 2011, by type of funding. The utilization rate of all the funds allocated to FA 1 for the year is 74.6%.

## b) FA2: Participatory urban planning, management and governance (UPMG)



Capacity building in Bagh, Pakistan. © UN-HABITAT

### **Expected Accomplishment 1: Improved policies, legislation and strategies support inclusive UPMG**

***Indicator of achievement (a): Number of countries whose policies, legislation and strategies incorporate sustainable urbanization principles. Target for 2011 was 30 countries.***

- 39 countries, against a target of 30 for 2011, improved their policies, legislation and strategies for urban planning, management and governance (UPMG), with UN-Habitat's support.

***Indicator of Achievement (b): Number of crisis-prone and post-crisis countries whose policies, legislation and strategies incorporate urban risk- and vulnerability-reduction measures. Target for 2010-2011 is 10.***

- A total of 11 crisis prone and post crisis countries are implementing policies that incorporate urban risk and vulnerability measures, in 2011 up from 9 in 2010. Madagascar and Haiti are the new countries.

**Expected Accomplishment 2: Strengthened institutions promote inclusive Urban Planning, Management and Governance.**

***Indicator of achievement (a): Number of institutions in targeted countries that actively promote sustainable urbanization dimensions. Target for 2011 was 50***

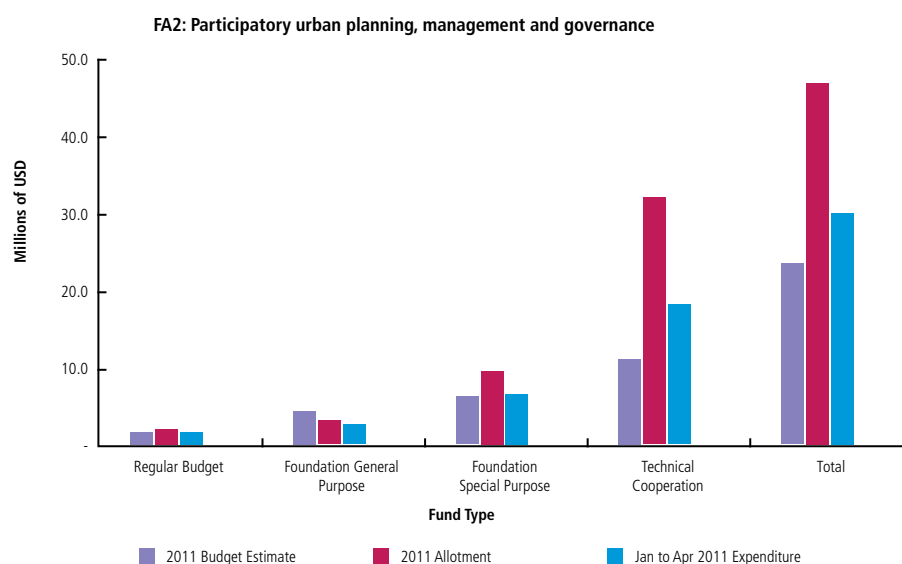
- 53 institutions, by December 2011 (up from 41 institutions at the end of 2010), were promoting sustainable urbanization. Of these, 27 are local government training institutions, 14 are universities and 12 are local government associations and regional or global local government training institutions.

**Expected Accomplishment 3: Improved implementation of inclusive UPMG**

***Indicator of achievement (a): Number of cities implementing inclusive UPMG. Target for 2011 was 139***

- As of December 2011, a total of 147 cities were implementing inclusive UPMG, with support from UN-Habitat, through participatory action planning and implementation in the areas of governance, safety, environment, risks and crisis, with an additional of 15 cities from 132 cities at the end of 2010 that were implementing inclusive UPMG.

**FIGURE 3: Annual estimated budget, allocated resources and expenditure for FA2 by type of funding**



**Overall assessment of FA2:** On the basis of the indicators of achievement, FA2 is on track in all 3 expected accomplishments. However, measuring inclusive UPMG is still work in progress. There is a need to establish means, partnerships and monitoring systems to assess results and reflect them in periodic reporting. Figure 3 shows the annual budget estimates (USD 23.6 million) and allocation (USD 47.2 million) for FA2, as well as expenditure (USD 30.1) as of 31 December 2011. This makes the utilization rate of 64% of all allocated funds, the lowest among the FAs for the year.



### c) FA 3: Pro-poor land and housing



Manila, Philippines © UN-HABITAT

#### **Expected accomplishment 1: Improved land and housing policies implemented**

***Indicator of achievement (a): Number of countries implementing improved land and housing policies. Target set for 2011 is 30 countries.***

- As of December 2011, a total of 37 countries (compared to 33 in 2010) were developing, implementing or completing land and housing reforms. The new countries are Burundi, DRC, Iraq and South Sudan.

#### **Expected Accomplishment 2: Security of tenure increased**

***Indicator of achievement (a): Number of countries implementing policies to improve security of tenure, including reduced forced evictions. Target for 2011 was 21 countries.***

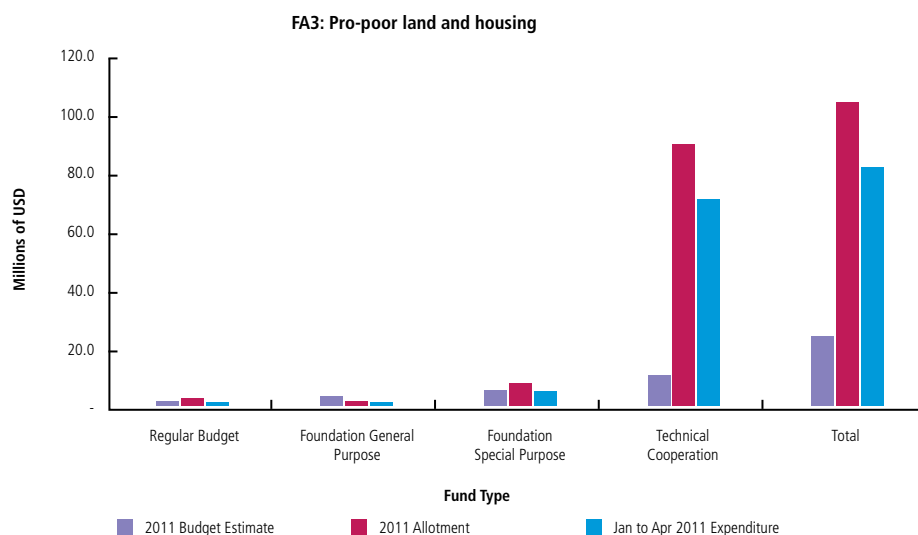
- Through normative tools and technical assistance, UN-Habitat mobilized governments and Habitat Partners to improve security of tenure and reduce forced evictions. As of December 2011, 29 countries (compared to 24 in 2010) were implementing policies to improve security of tenure and reduce forced evictions, including in post-disaster and post-conflict situations.

**Expected accomplishment 3: Slum improvement and prevention policies promoted**

**Indicator of achievement (a): Number of countries implementing slum prevention and improvement policies. Target for 2011 was 26 countries.**

- As of December, 2011, 33 countries (17 in Africa and Arab States, 10 in Asia and the Pacific, one in Europe and five in Latin America and the Caribbean) were implementing slum prevention and improvement policies with UN-Habitat support which is above the 2011 target of 26 countries. 12 of them prepared slum upgrading and prevention programmes for implementation with support from the Participatory Slum Upgrading Programme and funding from the European Commission.

**FIGURE 4: Annual estimated budget, allocated resources and expenditure for FA3 by type of funding**



**Overall assessment of FA 3:** Based on targets and indicators of achievement, assessment puts FA3 on track. Good progress has been made in policy advocacy, tool development and application in land, housing and security of tenure. Figure 4 shows the annual budget estimate (USD 25.4 million) and allocation (USD 106.2 million ) for FA 3, as well as expenditure (USD 84.1 million) as of 31 December 2011. This gives a 79.1% utilization rate of all funds allocated for the year.



## d) FA 4: Environmentally sound basic urban infrastructure and services



A young girl washing her hands in the newly opened water facility in a primary school in Korogocho, Nairobi, Kenya. © UN-HABITAT/Julius Mwelu

**Expected accomplishment 1: An enabling policy and institutional framework promotes expanded access to environmentally sound urban infrastructure and services**

***Indicator of achievement (a): Number of countries progressively adopting relevant policies that aim to expand access to environmentally sound urban infrastructure and services. Target for 2011 was 30 countries.***

- Participating countries in the *Water for Cities* programmes, progressively adopting policies aimed at expanding access to environmentally sound urban infrastructure and services have increased. By December, 2011 36 countries (13 in Asia and the Pacific, seven in Latin America and the Caribbean, 15 in Africa and one in Central America), up from 35 in November 2010 were involved which exceeded the 2011 target of 30 countries. The new country is Honduras.

***Indicator of achievement (b): Number of institutions in target countries progressively adopting institutional mechanisms that expand access to environmentally sound urban infrastructure and services. Target for 2011 was 105 institutions.***

- The number of institutions in target countries progressively adopting institutional mechanisms that expand access to environmentally sound urban infrastructure and services reached 126 by December 2011, up from 123 institutions in November 2010. This is above the 2011 target of 105 institutions.

**Expected Accomplishment 2: Increased institutional efficiency and effectiveness in provision of basic urban infrastructure services**

***Indicator of achievement (a): Percentage of service providers (water and sanitation utilities supported by UN-Habitat) recovering at least 95% operation and maintenance cost of services. Target for 2011 was 40%.***

- The survey for setting the baseline and targets for this indicator was not undertaken due to budgetary constraints. However, UN-Habitat worked with service providers to improve institutional efficiency and effectiveness of water and sanitation utilities:
  - a) Through the Lake Victoria programme, seven water utilities in 3 countries integrated improvements in physical infrastructure with training and capacity building. Four of the seven utilities are achieving over 95% cost recovery and one other utility is achieving 86% cost recovery and is on track to achieve the 95% target.
  - b) Under the southeast Asian MEK-WATSAN programme, two towns, namely Xieun Ngeun and Sayabouly both in Lao People's Democratic Republic are recovering 100% of operations and maintenance costs.

***Indicator of achievement (b): Percentage of consumers of targeted UN-Habitat partner service provider organizations reporting satisfaction with services provided. Target for 2011 was 62%.***

- The survey for this indicator was not undertaken due to resource constraints. However, a stakeholder survey conducted in 2011 as part of the external evaluation of the Water and Sanitation Trust Fund revealed that 83% of the respondents perceived the programme had created visible results to beneficiaries.
- *Urban Inequities Surveys* were carried out in the 10 Lake Victoria towns where short term interventions were completed and the facilities are operational. Preliminary results from the surveys that have been completed (in 5 towns) indicate significant improvements in the level of satisfaction with water, sanitation and solid waste management services as a result of the UN-Habitat interventions.

**Expected Accomplishment 3: Enhanced consumer demand for efficient and environmentally sustainable basic urban infrastructure and services.**

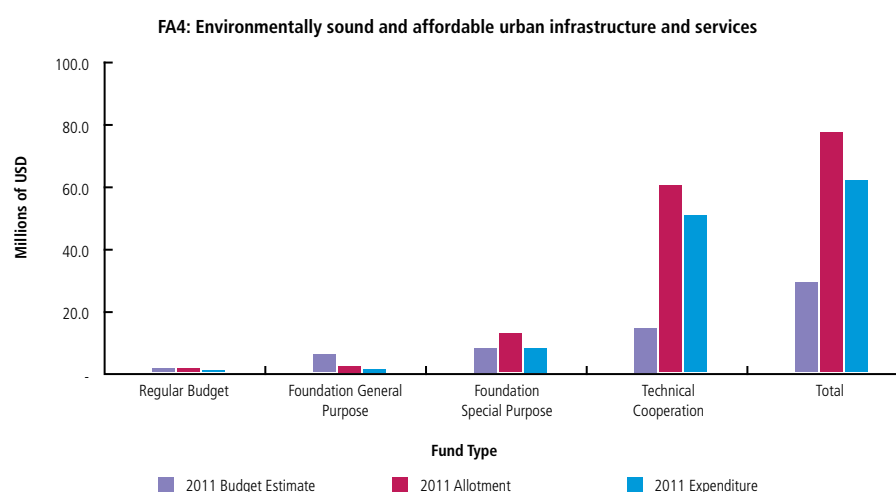
***Expected Accomplishment (a): Percentage of consumers ranking basic urban infrastructure services in the first three of their priority needs.***

- The survey for this indicator was not undertaken due to resource constraints. However, community participation and empowerment is a key feature of UN-Habitat's water and sanitation programme. In **Nepal**, following UN-Habitat's interventions, citizens in seven municipalities and 14 small towns reported increased awareness and empowerment to demand and access improved services. In the Mekong River region, consumer groups formed in 26 small towns in **Cambodia, Lao PDR** and Vietnam – have strong participation from women's groups.
- Under the LVWATSAN, an estimated 220,000 persons, from mainly vulnerable families, benefited from improved water services through piped connections, access to community-managed water kiosks and rainwater catchments. These improvements resulted in major reductions in the cost of water for the poor, both in terms of the price paid for water and the opportunity cost of the time spent fetching it.

**Indicator of achievement (b): Percentage of initiatives with a difference in the price of basic urban infrastructure services paid by the poor vis-à-vis the rest of consumers in selected communities. The Target for 2011 was 22%.**

- Assessment of progress on this indicator requires a survey yet to be conducted. However, lessons learned from UN-Habitat's pro-poor approach in water and sanitation programmes in urban areas show that the poor tend to pay more for water. By facilitating pro-poor tariff setting, UN-Habitat's interventions in service provision reduced the price the poor had to pay. During 2011, through the water and sanitation programmes in the LVWATSAN and the MEKWATSAN programmes, 15,000 and 10,000 additional people, respectively, benefitted from pro-poor water and sanitation tariffs.

**FIGURE 5: Annual estimated budget, allocated resources and expenditure for FA4 by type of funding**



**Overall assessment of FA 4:** Based on indicators of achievement and targets, as well as the findings of the evaluations of the Water and Sanitation Trust Fund conducted in 2011, the assessment considers Expected Accomplishment 1 on track while 2 and 3 are on track on 50% of their indicators. Figure 5 shows the annual budget (USD 30.1 million) and allocation (USD 78.9 million) for FA 4, as well as expenditure (USD 63.1 million) as of 31 December 2011. This gives a utilization rate of 80% of all funds allocated for 2011.

## e) FA 5: Human settlements finance systems



Women in Solo, Indonesia, carrying materials for upgrading their housing. © UN-HABITAT/Ruth Mcleod

**Expected Accomplishment 1: Financing raised for and increases recorded in affordable and social housing stock and related infrastructure**

***Indicator of achievement (a): Value of commercial loans, government subsidies and donor grants made available for projects financing affordable housing, upgrading and basic infrastructure in targeted countries and communities. Target for 2011 was about USD 7, 000,000.***

- Two financial services programmes, revolving loan fund of the experimental reimbursable seeding operations (ERSO) and a grant programme of the Slum Upgrading Facility (SUF) raised USD 3,629,597 million and USD 19,233,000, achieving a total of USD 22.8 million by December 2011 which is three times the target.

***Indicator of achievement (b): Percentage of housing loans by domestic banks and micro-finance institutions going to low-income families and people with informal incomes. Target for 2011 was 5% of housing loans.***

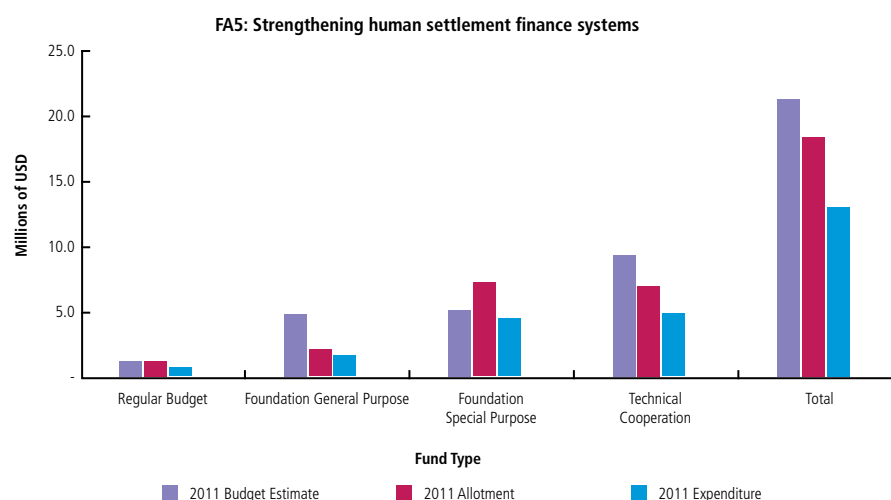
- Progress on this indicator would require a survey. However, performance measurement has been on monitoring the number of low income households directly benefitting from housing loans and housing and infrastructure improvements through domestic banks and micro finance institutions collaborating with the ERSO programme. During the reporting period low income households directly benefiting from ERSO increased from 800 in 2010 to over 8,000 in 2011.

**Expected Accomplishment 2: Increase in activities in municipal finance and affordable housing finance**

***Indicator of achievement (a) Funding raised and leveraged for municipal finance for affordable housing and basic infrastructure. The Target for 2011 was about USD 6, 8000,000 raised.***

- During field-testing of ERSO that ended in April 2011, UN-Habitat raised USD 3,629, 597 of which USD 2.75 million was disbursed as loans.

**FIGURE 6: Annual estimated budget, allocated resources and expenditure for FA5 by type of funding**



**Overall assessment of FA 5:** Based on targets and indicators of achievement, the assessment for 2011 shows that indicator (a) expected accomplishment 1 exceeded its target while all other expected accomplishments remained on ‘mixed progress’. External evaluations conducted in 2011 indicated that both ERSO and SUF programmes had innovative financial impacts. Figure 6 shows the annual budget estimate (USD 21.2 million) and allocation (USD 18.3 million) for FA 5, as well as expenditure (USD 13.1 million) as of 31 December 2011. This gives a utilization rate of 71.6% of all the funds allocated for 2011.



## f) FA 6: Excellence in Management

### **Expected Accomplishment 1: Staff are empowered to achieve planned results**

#### ***Indicator of achievement (a): Percentage of staff whose skills set is aligned with their MTSIP compliant job description. Target for 2011 was 100%***

- The alignment of staff skills with the MTSIP stood at 99% by the end of 2011. The anticipated review of job descriptions to align the remaining 1% with the MTSIP however was postponed due to the organisation review and will resume in January, 2012. A revised skills inventory was introduced to reflect the additional new priorities of the organisation and over 90% of staff participated.
- Staff have been empowered through development and training programmes, including: Management Development Programme (50% of eligible staff trained); performance appraisal of staff; and about 80 staff trained in RBM in 2011.

#### ***Indicator of achievement (b): Percentage of staff reporting improved information and knowledge sharing. Target was 60% for 2011.***

- The survey to capture specific data on this indicator will be conducted in the first quarter of 2012. However, there has been an improvement in general in the internal information sharing platforms. The new intranet (Habnet), and the redesigned website, [www.unhabitat.org](http://www.unhabitat.org), are both improved information technology platforms for information sharing.
- Information has also been shared through town hall meetings, the directors meetings, senior managers meetings, as well as divisional and focus area retreats.
- The monthly staff newsletter "What's Up" which was introduced in response to the findings of the 2009 staff survey was also a major channel for updating staff across the agency as it was distributed electronically and provided updates on the new developments in the agency.

#### ***Indicator of Achievement (c): Reduction in time spent on completion of selected business processes: Target for 2011: for the Programme Review Committee to approve a project -eight days; average recruitment time -150 days; IT procurement- four days; average time for approval of cooperation agreement -10 days.***

- The average time for programme review committees to appraise and have projects approved improved slightly in 2011 to 8 days, down from 9 days in 2010.
- The average procurement time for IT equipment has reduced to 20 days by December 2011 from 21 days in 2010. Standardisation of equipment specification and the establishment of long term agreements with key suppliers have been introduced which are expected to reduce the procurement process.
- For cooperation agreements, the average time taken for approval of 90% of cooperation agreements is 8 days, exceeding the target of 10 days set for 2011.
- The average time for recruitment was 170, i.e. above the target of 150 days, by the end of 2011. This is attributed to the phasing out of Galaxy and introduction of INSPIRA, a new recruitment tool that the managers and staff are still learning to use. In addition, development of all components of INSPIRA has not yet been completed however several modules, including the central review module have been activated the last quarter of 2011

**Expected Accomplishment 2: Institutions aligned to deliver MTSIP results.**

***Indicator of achievement (a): Percentage of staff reporting increased inter-divisional and focus area collaboration. Information for assessing progress on this indicator will be available after the staff survey is conducted in the first quarter of 2012.***

***Indicator of achievement (b) Number of key restructuring decisions implemented as recommended by organizational review. Target 2013: 100%***

- The UN-Habitat organizational review for the rationalization of current structures to enhance efficiency and effectiveness of the Programme has been completed. Key reform components have been determined which take into account all the six recommendations on institutional reform from the MTSIP Peer Review of 2010.

**Expected Accomplishment 3: RBM principles applied**

***Indicator of achievement (a): Percentage of programmes and projects that are contributing to focus area results. Target for 2011 was 98%.***

- There is improved alignment and contribution of UN-Habitat programmes and projects to MTSIP and work programme results with the proportion rising from 97% in 2010 to 98% in 2011, as verified by an internal assessment which showed that all programmes and projects contribute to one or more focus area results.

***Indicator of achievement (b): Willingness to be held accountable for MTSIP results. Target is 2.9 on scale of 5 (58%).***

- Specific information for this indicator will be available when the staff survey needed for this indicator is conducted in the first quarter, 2012. However, general assessment indicates that institutionally, structures have been improved, including the creation of the MTSIP Steering Committee, Task Forces on thematic areas of the MTSIP, the Programme Review Committees, and focal points for MTSIP reporting etc. These new structures are enhancing effective accountability of MTSIP results at the organizational level.
- At the level of personal accountability, the responsibilities of individual staff members are defined in their job descriptions and in their EPAS performance appraisal plans. Also from the, EPAS, staff performance appraisal system, and findings of the institutional reviews conducted in 2011, it is evident that staff are enthusiastic and committed for the delivery of the MTSIP results.

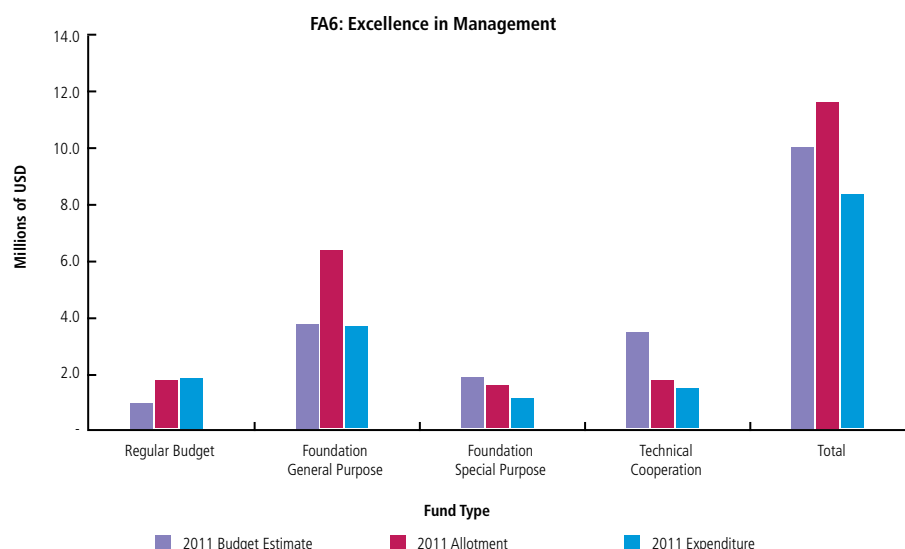
**Expected Accomplishment 4: Financial resources achieve MTSIP results**

***Indicator of achievement (a): Degree to which resource targets for non-earmarked and earmarked funding are met. Targets for the 2010-2011 biennium were USD 57 million for non-earmarked funds and USD 252 million for earmarked funds.***

- As of 31 December 2011, USD37 million had been received for non-earmarked funds, which is about 65% of the target of USD57million for the biennium 2010-2011.
- For earmarked resources, USD371million had been received during the 2010-2011 biennium, which exceeds the biennium target of USD252million by 47%.

***Indicator of achievement (b): Percentage of earmarked/non-earmarked resources allocated to MTSIP focus area priorities.***

- For the biennium 2010-2011, 100% of both the non-earmarked and the earmarked resources were allocated to MTSIP focus areas priorities.

**FIGURE 7: Annual estimated budget, allocated and expenditure for FA6 by type of funding Expenditure**

**Overall assessment of FA 6:** Taking all critical factors for Excellence in Management into account, over all, FA 6 can be assessed as having satisfactory progress, however, the staff survey to provide information on progress on most of the indicators was postponed until first quarter of 2012. Progress was made especially in the area of institutional reform. The organizational review was completed and implementation of key reform decisions are on track. In terms of resource utilization in relation to the delivery of the 2011 work programme, Figure 7 shows an overall utilization rate of 72% of all allocated funds for 2011. The annual budget estimate for FA 6 was USD 10.1 million but the received allocation was USD 11.7 and expenditure was USD 8.4 million as of 31 December 2011.



## g) Enhanced Normative and Operational Framework (ENOF)

### ACHIEVEMENTS

- External evaluation of Delivering as One (DaO) UN found UN-Habitat engagement in the six pilot countries (Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania and Vietnam) had raise the agency's profile and expanded its portfolio. The One UN fund has proved to be an incentive for UN-Habitat to work with other UN agencies, in particular specialized agencies. UN-Habitat country programmes, however, remain fragmented and inadequately recognized by the DaO reform process.
- The World Urban Campaign (WUC) reached a new level during the World Habitat Day celebrations as it was expanded to many countries through: (a) organized training sessions on the "I am a city changer" campaign for HPMS and CTAs ; (b) promotion material produced for the "I am a city changer" campaign.
- UN-Habitat continued to strengthen its normative and operational work at country level through active participation in the United Nations Country Teams (UNCT) in the context of DaO. As of December 2011, human settlements issues had been integrated into 44 UNDAFs, up from 23 in 2009, and into 38 National Development plans.
- UN-Habitat intensified its activities, including supporting the efforts of the national governments and other stakeholders, such as the local authorities in 26 pilot 'ENOF Priority Countries' of Burkina Faso, Democratic Republic of Congo, Ghana, Kenya, Liberia, Mozambique, Nigeria, Senegal, Tanzania and Uganda ( African States); Egypt, Iraq, Libya and Sudan (Arab States); Bangladesh, Indonesia Nepal, Pakistan, Philippines, Sri Lanka, Vanuatu and Vietnam (Asia-Pacific States); Colombia, Ecuador, Haiti and Nicaragua (Latin America and Caribbean States).
- Through ENOF, UN-Habitat supported the establishment or the revival of the National Urban Forums (NUFs) in several countries across Africa, Asia and Latin America. As of December 2011, there were 35 NUFs up from 20 in 2010. These forums were used for campaigns and other public debates on national urban issues through efforts such as the World Urban Forum (WUF) and the World Campaign on Sustainable Urbanization (WUC). More concretely, NUFs remained crucial in: (i) supporting the design of a policy framework for concerted action and programmes that address national urban issues, (ii) promoting the WUF and WUC efforts at the national level, as well as, (iii) mobilizing national stakeholders for WUF.
- In Uganda, Municipal Urban Forums (MUFs) have been formed in five municipalities of Arua, Mbale, Mbarara, Jinja and Kabale as platforms for promoting sustainable urbanization and adequate shelter for all.
- The ENOF Task Force provided a platform for internal policy dialogue and coordination among all the MTSIP focus areas and related organizational branches, resulting in increased integration of programme activities at the global, regional, and national levels, as well as inter-divisional and focus area collaboration on various programmes.

- UN-Habitat supported the development of the new generation of HCPDs in 19 (Burkina Faso, Malawi, Senegal, DRC, Kenya, Vietnam, Cambodia, Indonesia, Nepal, Sri Lanka, Afghanistan, China, Lao PDR, Pakistan, Cuba, Costa Rica, Colombia, Mexico and Ecuador). These documents are critical planning documents that provide the vehicle for bringing normative and operational work of UN-Habitat closer to partners at country level for ownership and integration into the existing policy frameworks taking into account their national priorities and UNDAFs cycles. One of the lessons learned is that regular updates of the documents are needed to reflect the changing policy and operational contexts at international
- An external evaluation of Delivering as One (DaO) UN conducted in 2011 gives direction to UN-Habitat's participation in UN country teams. The review generated recommendations concerning strategic, planning, managerial, operational and monitoring/reporting processes, mechanisms and human/financial resources for more effective and efficient participation of UN-Habitat at both the global and national levels. It identified the value added by DaO to UN-Habitat in the six participating countries, including the integration of the agency into this process. It also demonstrated the significance of UN-Habitat support to the One UN reform agenda.
- The evaluation of DaO revealed that UN-Habitat is becoming increasingly visible within the "DaO" context, being currently active in six of the eight pilot DaO countries: Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania and Vietnam (no presence in Albania and Uruguay). HPMS have taken the lead in demonstrating the competency and comparative advantage of UN-Habitat in a very competitive environment with resident and non-resident UN agencies.

## THE CHALLENGES

- Inadequate financial and institutional support provided to the policy implementation branch of UN-Habitat in its coordinating role of ENOF;
- Lack of active collaboration by the normative division to align its planning with the effective demand at country level, resulting from failure to fully engage HPMS.
- Integration of the ENOF framework into the UNDAF processes and dynamics at the regional and country levels is still a challenge, particularly due to inadequate resources to support its coordination.

## NEXT STEPS

- UN-Habitat will have to address the constraints in resources for supporting increased inter-divisional collaboration for the success of ENOF.
- Implement the recommendations of the DaO evaluation, and facilitate the dissemination of the Guidelines on the NUFs.
- Design and develop guidelines on the National Urban Forums, which will clarify the roles of partners and the objectives of the forums in supporting the World Urban Campaign and the World Urban Forum.
- Strengthen participation of UN-Habitat in the UN Country Team and the Interagency Groups.

## h) Disaster Management

### ACHIEVEMENTS

- Following the endorsement of the UN-Habitat-led medium-term Strategy for Meeting Humanitarian Challenges in Urban Areas and two-year Action Plan for its implementation, in November 2010, the Inter-Agency Standing Committee (IASC) created an IASC Reference Group to coordinate, track and monitor the implementation of the Strategy and Action Plan. UN-Habitat is chairing the IASC Reference Group.
- UN-Habitat forged relationships with IASC partners (UNICEF, UNHCR, FAO, IFRC, OCHA and WFP), and embraced a neighbourhood approach to reconstruction, drawing upon community enumeration methodologies. These methodologies, experimented upon in Haiti, are now being adopted by other UN Agencies, including the International Organization for Migration (IOM) and NGOs.
- UN-Habitat supported mayors and local authorities from around the world to prepare the Mayors' Statement on Resilient Cities at the 3rd meeting of the Global Platform for Disaster Reduction in Geneva, Switzerland, in May 2011. The meeting called for establishment of a permanent Secretariat for the "Making Cities Resilient Campaign" – a drive linked to UN-Habitat's WUC.
- Strengthened headquarters support for humanitarian work was provided to a number of countries, including Haiti, Iraq, Sri Lanka, Pakistan, Afghanistan, Sudan, Iraq, and Somalia. In addition, UN-Habitat's country level work was profiled in a series of brochures on land and property, housing, and urban planning, including the *UN-Habitat in the Somalia Region Newsletter*.
- UN-Habitat participated in the revision of the reconstruction Guidelines on disaster and post-disaster areas jointly with reconstruction working groups in the housing sector.. This has resulted in:
  - a) Increased use of UN-Habitat's technical advice to strengthen urban water supply, sanitation and basic services programmes in urban areas and humanitarian activities by humanitarian agencies such as UNICEF, UNHCR and Oxfam.
  - b) Provision of technical advice to UNHCR on sanitation and solid waste management at community level.

### CHALLENGES

- UN-Habitat needs to continue augmenting its human resources for operating in complex urban context in order to ensure that its normative comparative advantage in this area is fully operationalized.

### NEXT STEPS

- UN-Habitat will need to continue to coordinate the implementation of the two-year Action Plan for meeting the Humanitarian Challenges in Urban Areas with partner agencies.

## i) Gender Mainstreaming

### GLOBAL ACHIEVEMENTS

- An independent evaluation of UN-Habitat's Gender Mainstreaming Programme in 2011 revealed that work in access to water and sanitation provision indicates a high degree of gender sensitivity. The organisation has also taken considerable steps to promote women's access to security of tenure and challenged gender inequalities that are structural in nature, such as legislation on land and housing that is discriminatory towards women. The work on governance and security in cities has also demonstrated an awareness of the problems associated with gender-blindness within local government institutions.
- UN-Habitat's institutional arrangements for gender mainstreaming involve many actors, including the Gender Unit, a network of Gender focal points and the Gender task force. To strengthen gender mainstreaming in UN-Habitat, the terms of reference for gender focal points at headquarters and in the field were developed. At the regional level a survey to assess UN-Habitat actions on gender and disaster management in four countries – Afghanistan, Nepal, Pakistan and Myanmar, was undertaken.

### COUNTRY ACHIEVEMENTS

- **Kenya:** UN-Habitat was part of a team of gender experts that facilitated training of district officers on performance contracts and gender in January and February 2011. Further, it joined other UN agencies in designing a Joint programme on gender equality and empowerment of women, and an MOU prepared for this purpose. UN-Habitat has supported the establishment of a centre of excellence in gender mainstreaming in local governance in Nairobi City Council.
- **Costa Rica:** UN-Habitat supported municipal Policies on Gender Equality and Equity in Santa Cruz, Aguirre, Limón and Montes de Oca; tools for gender mainstreaming in San José; and guidelines for urbanization with gender and conviviality approaches (regulation for Desamparados).
- **In Mexico;**
  - a) UN-Habitat coordinates the UN Inter-agency Gender Group which has improved the visibility of urban women issues and vulnerabilities.
  - b) The UN-Habitat developed with the National Commission for the Prevention and Eradication of Violence Against Women (CONAVIM) the "Women Justice Centre Implementation Guideline" provided practical information to local stakeholders towards promoting an integral criteria to orient the localization, characteristics and services for women who have been victims of violence situations.

### CHALLENGES

- Effective gender mainstreaming is constrained by inadequate resources (staff) to effectively facilitate engagement with all focus areas and coordination of activities across the organization in the area of gender equality and women's empowerment.
- In post-conflict and disaster management, there is a need for active support of women's land rights in accordance with UN-Habitat's policy.

### NEXT STEPS

- UN-Habitat will continue strengthening gender mainstreaming in its normative and operational work through a series of training programmes scheduled for the latter half of the year, and will respond to the GC23 resolution on gender.
- Implementation of the recommendations of the external evaluation of gender mainstreaming, carried out in February 2011.

## j) Urban youth

- UN-Habitat's work on urban youth encompasses both normative as well as operational programmes. Youth related issues are integrated in the agency's work along two strands: youth mainstreaming; and dedicated youth programmes. Youth mainstreaming continues to be implemented partly by the Youth Empowerment Programme and partly by a selected number of branches and sections. This enhanced the integration of youth in UN-Habitat's policy and programme formulation.
- Findings from an independent evaluation of the youth programme conducted in 2011 confirmed that the Youth Programme is relevant and progress has been made in engagement with youth in urban areas. It also revealed that UN-Habitat has played a critical role in linking young people with other actors involved in urban youth issues, such as municipalities and the private sector and by matching grants, for instance, win-win situations have emerged for UN-Habitat and young people.
- UN-Habitat continues to strengthen engagement of urban youth in developing effective strategies for addressing issues that affect them. The use of professional youth artists has contributed to raising the profile of the urban youth agenda within UN-Habitat and the international community as indicated through the various initiatives. Through the Messengers of Truth Initiative: UN-Habitat works closely with some of the world's leading popular artists and musicians to raise awareness on matters ranging from women's rights to urban slum conditions. For example the young musician, Rolf Stahlhofen now works closely with the Water and Sanitation Programme and in 2011 he wrote and performed a "Water Song". This song is being adapted to the conditions in various countries, such as India, in cooperation with UN-Habitat's Youth Envoys.
- Four *Youth Envoys* were nominated during the 23<sup>rd</sup> session of the UN-Habitat Governing Council, in April 2011. UN-Habitat has tapped into the phenomenal popularity of these internationally acclaimed Nollywood and Bollywood film actors to empower young people in their communities.
- UN-Habitat continued to affirm its role as a leading agency in bringing the urban youth to the global agenda, highlighting their contribution to sustainable urban development through the regional urban youth assembly platform held in Abuja, Nigeria in July, 2011. The event attracted senior government officials, NGOs, local authority representatives and over 300 youth from 23 African countries. Through the theme "Youth and the Prosperity of Cities" the youth shared lessons and best practices from youth initiatives and government policies promoting youth employment and youth participation in a number of areas related to urban economy, environment and equity.
- UN-Habitat worked closely with the International Olympics Committee (IOC) to support a number of youth and sports projects in Lao People's Democratic Republic, Nepal and Kenya, in the context of UN-Habitat's water and sanitation programmes. As part of the agency's safer cities work, nearly one million footballs donated by Hyundai Motor Co. were distributed to countries in Africa. The project has enhanced youth development using sports as a tool to empower youth and promoted youth inclusion in urban development.
- About 1,000 young people received training at UN-Habitat Youth Centres in Nairobi, Kampala and Dar Es Salaam, in computer knowledge, entrepreneurship, drug and substance abuse, art and sports. This has enabled them to access funding from financial institutions, gain knowledge and information on employment opportunities as well as participate in decision making processes in their cities.

- A further 450 young people received training on climate change focusing on mitigation and adaptation in three cities. The training has helped them learn about greenhouse gas emission and its causes, and how to respond to climate change by reducing the vulnerability of natural and human systems. As a result, the participants have formed "Green Teams" for implementing self-employment initiatives.
- Three regional capacity building workshops were conducted for the 61 coordinators of youth projects which benefited for the 2010 Urban Youth Fund. The training on project and, financial management enhanced the capacity of the coordinators to better manage their projects and hence achieve higher success rates.
- Normative work, through a range of research initiatives, continue to serve laboratory for evidence-based best practice research that enables UN-Habitat to document and learn from urban youth programmes. The production of the State of Urban Youth report is a key outcome of this work. The preparation of the 2012-2013 State of the Urban Youth Report is in progress and will be launched during the Sixth World Urban Forum. The current study has involved youth in data collection, selection of best practices from the sample cities of Accra, Ghana, Sao Paulo , Bangalore, and Cairo.
- Five manuals entitled '*Urban Youth Centre Setup Guide*', *Working Manual for One Stop Youth Information Resource Centres*, *Asset Mapping Programme Manual for Urban Youth Centres*, *Entrepreneurship Programming for Urban Youth Centres* and *Programme Planning and Evaluation in Urban Youth Centres*, all on scaling up the UN-Habitat Youth Centre model were finalized. The manuals will assist local authorities to better address the needs of youth. The manuals, disseminated globally, are enhancing the operational capacities of existing UN-Habitat Youth Centres.
- UN-Habitat, in partnership with the government of Norway, launched a USD 100,000 *Zanzibar Funding Window* of the Urban Youth Fund. The event was attended by over 70 young people from youth organizations in Zanzibar. Since the launch in early 2011, awareness workshops on the fund have been held in and around Zanzibar and over 2,000 young men and women attended..

## VI. Detailed Achievements, challenges and next steps per focus area

### a) FA 1: Advocacy, monitoring and partnership

**Strategic result: Improved sustainable urbanization policies from local to global levels adopted :** FA 1 is on UN-Habitat's normative work aimed at assisting governments to promote sustainable urbanization principles and practices. This is being achieved through raising awareness and policy guidance on global human settlements conditions and trends through dissemination of knowledge products using flagship reports, urban campaigns, global and regional advocacy platforms and events ; monitoring and reviewing progress of the implementation of the Millennium Development Goals and the Habitat Agenda using urban monitoring systems, authoritative and disaggregated data; and increasing participation of Habitat Agenda Partners that commit to agreed norms and principles for sustainable urbanization.

**Expected Accomplishment 1:** Improved awareness of sustainable urbanization issues at the national and global levels

Indicator of achievement	Progress/accomplishments
<p>a) Number of media articles on Flagship reports and World Habitat day.</p> <p>Baseline 2009: 7,910</p> <p>Targets: 2011: 16,000</p>	<p><b>a) Global/Regional achievements</b></p> <ul style="list-style-type: none"> <li>In 2011 improved awareness and policy guidance on urbanization issues was achieved by UN-Habitat's increased production and dissemination of knowledge products through flagship publications and strategic use of advocacy platforms mainly the WUC, global events, conferences and meetings.</li> <li>A recent survey on the use of UN-Habitat's two flagship reports and the Best Practices Database by selected Habitat Agenda Partners revealed that a high number of the academic and training institutions use the GRHS (74%) and the SWCR (69 %) in their programmes. The reports and the database are also used as resource materials for capacity building of development practitioners (34 %) and policy formulation (27 %) and training activities at the postgraduate level (90%) and undergraduate level (39%). The flagship reports were included in academic curricula by partners (69% for GRHS and 59% for SWCR). Also, some 71%, 61% and 29 % of the partners reported they were using the GRHS, SWCR and BPD, respectively, as core reference for research.</li> <li>The UN-Habitat global flagship reports have also become important tools for awareness raising and policy advocacy at regional, national and city level. There is a growing demand for regional and national State of Cities reports which are influencing policy debates and decisions at national and local levels. The State of Mexican Cities Report (Mexico) and the first edition of the Cities and Citizens series, A Tale of Two Cities-Sao Paulo (Brazil) have stimulated high level policy debate and received wide media coverage.</li> </ul>

- Through the Global Report on Human Settlements 2011: Cities and Climate Change, UN-Habitat presented sound scientific evidence linking climate change, with cities and towns. Its abridged version is available in all UN languages. The report was acknowledged by governments and other partners on cities and climate change during GC 23, regional ministerial conferences as well as World Habitat Day celebrations. The State of the World's Cities report 2010/2011: Bridging the Urban Divide provided the main framework for deliberations during the fifth session of the WUF and at the Shanghai Expo as well as in various regional and national fora attended by thousands of representatives from Habitat Agenda partners.
- The flagship reports have been referenced in 5,360 media articles (English language only) on the SWCR 2010/2011 and 21,000 website articles on the Global Report on Human Settlements 2011 (excluding UN-Habitat web pages). The SWCR 2010/11 achieved wide media coverage in Latin America, especially in Brazil, which hosted its official launch during the WUF in Rio de Janeiro, Brazil (March 2010).
- In raising awareness on sustainable urbanization an important milestone in policy improvement the adoption of urban mobility and pro-poor sanitation as critical ingredients for sustainable development by the United Nations Commission on Sustainable Development (UNCSD) in its outcome document, in May 2011. This decision provides the mandate for facilitating the advancement of the principles of sustainable urbanization in UN-Habitat's new vision through the work of other UN-agencies.
- Enhanced policy coherence in the management of human settlement issues in the UN-System is also reflected in the incorporation of sustainable urban development issues in the report of the UN High Level Committee on Programmes (HLCP) in its March 2011 meeting, and in the deliberations of the Executive Committee for Economic and Social Affairs (EC-ESA).
- During the 23rd session of the Governing Council (GC23) of April 2011, a total 18 resolutions were adopted which are expected to positively influence the work of UN-Habitat as the lead agency for achieving sustainable urbanization. Implementation of the resolutions is in progress. Of significance to the future work of UN-Habitat is the adoption of a resolution on human settlements by the member states of the General Assembly in December 2011, deciding to hold a third United Nations conference on housing and sustainable urban development (Habitat III) and requesting Governments and the international community to support the implementation of the UN-Habitat Governing Council resolution on 'Global and national strategies and frameworks for the improving the lives of slum dwellers beyond the Millennium Development Goals target' (resolution 23/9).
- UN-Habitat used the World Water Day commemoration platform to showcase its reports and work as well as raise awareness on best practices on water and sanitation for sustainable urbanization. It coordinated the global 2011 World Water Day celebrations held in March 2011 in Cape Town, South Africa. The event attracted over 1,500 people. It was also commemorated in the Asia and Pacific region, at the UN Conference Centre (UNCC) in Bangkok, Thailand. The event was organized jointly by the Economic and Social Commission for Asia and the Pacific (ESCAP) and UN-Habitat. Globally, the occasion was celebrated in 32 countries.



*b) Number of downloads  
from UN-Habitat website  
on sustainable urbanization  
materials*

*Baseline 2009: 283,539*

*Target 2011: 900,000*

#### **b) Global/Regional Achievements**

- The demand for and use of UN-Habitat's flagship reports increased during the reporting period. As of December 2011, *The State of the World's Cities Report 2010/11- Bridging the Urban Divide* recorded 23,610 downloads. Since its launch in March 2011, the full version of the latest issue of the Global Report on Human Settlements (Cities and Climate Change) has been downloaded 3,643 times, while its English Abridged edition has been downloaded 3,127 times. In addition, the Abridged Edition in Russian, French, Chinese, Spanish and Arabic was downloaded 4,426 times.
- UN-Habitat recorded 1,076,039 downloads of publications from the UN-Habitat website from 01-January to 31 December 2011, up from 822,156 during the previous year, a 31% increase. Efforts to translate popular publications have also contributed to the increase usage with a French title, *Face Caché des Villes* (Hidden Cities), being the second most popular download in 2011.
- The most downloaded of UN-Habitat's flagship reports were the *State of the World's Cities 2010/2011: Bridging the Urban Divide*, *La Face Caché des Villes* (Hidden Cities – French version) and *State of the World's Cities 2008/2009: Harmonious Cities*, which recorded 22,954, 18,910 and 13,510 downloads respectively. *Interlocking Stabilised Soil Blocks* and *The Challenge of Slums - Global Report on Human Settlements 2003* were also popular, with 10,397 and 9,904 downloads respectively.
- In 2011, UN-Habitat publications on Scribd.com recorded 388,364 reads, compared with 232,934 reads in 2010. This is a 67% increase. All publications on Scribd can now be read on mobile devices through a digital reading service called Float. Ongoing efforts to produce *Urban World* and other UN-Habitat publications for mobile devices such as the iPad, iPhone, and Kindle are expected to further increase the dissemination of information on sustainable urbanization.
- The most read UN-Habitat publications on Scribd.com social media were *Challenges of Municipal Finance in Africa*, *Improving the Lives of 100 Million Slum Dwellers: Guide to Monitoring Target 11*, and *Cairo - A City in Transition*, which registered 19,112, 15,394 and 8,511 reads respectively.

*(c) Number of countries that  
have established a National  
Urban Forum*

*Baseline 2009:14  
Target 2011:19*

### **c) Global /Regional Achievements**

- The number of countries with established national urban forums (NUFs), platforms for promoting sustainable urbanization and adequate shelter for all, reached 35 compared to 20 in November 2010. The new ones are in the context of the Enhanced Normative and Operational Framework (ENOF).
- NUFs play an important role in linking the normative and operational work at country level and, advocating and promoting sustainable urbanization principles and best practices. UN-Habitat continued to provide technical and limited financial support for the establishment and strengthening of NUFs through the Habitat Programme Managers (HPMs). UN-Habitat is supporting 13 countries (Mozambique, Rwanda, the Philippines, Burkina Faso, Ghana, Malawi, Nigeria, Senegal, Lebanon, Nepal, Viet Nam, Fiji, and Cuba) to establish NUFs.
- Countries with HPMs and those with already established NUFs are the most active with elaborate advocacy and learning events. The significance of the World Habitat Day as a global advocacy and learning platform continued to increase. The 2011 World Habitat Day was celebrated in 65 countries and recorded 250 events compared to 239 events in 79 countries in 2010. Although fewer countries participated in the celebrations, the number and content of events increased in 2011 compared with 2010. In the city of Aguascalientes, Mexico, the World Habitat Day global celebrations attracted over 3,000 participants.

### **Country achievements**

- In **Malawi**, UN-Habitat secured funding from Cities Alliance to support the activities of the Malawi Urban Forum, which was instrumental for the commemoration of the World Habitat Day in 2011, celebrated by Ministers, senior government officials, UN representatives and the World Bank country representative, academia, civil society and the general public.
- In **Nigeria** the Nigeria National Urban Forum resulted in the mobilization and active participation of strategic Habitat Agenda partners in sustainable urbanization. The forum was instrumental for the 2011 World Habitat Day celebrations which were used to raise awareness and as an advocacy platform to highlight the challenges facing urban development in Nigeria.
- UN-Habitat supported the Governments **Morocco and Cameroon** to launch national best practices awards on local governance.
- In **China**, the Ministry of Housing and Urban-Rural Development announced the first "China Habitat Environmental Award" winners in March 2011.
- In **Fiji**, the media reported progress on the national housing policy (urban and peri-urban squatter and informal housing focus) and on "climate planning" in urban areas through Cities and Climate Change Initiative activities.
- In **Ghana**, the NUF was instrumental in organizing the first Urban Forum in October 2011, led by the Urban Development Unit in the Ministry of Local Government and Rural Development. This marked a major step in raising the urban agenda in the country.

## Expected Accomplishment 2: Number of partnerships contributing to sustainable urbanization.

*Number of partnerships  
(by category) contributing  
to sustainable urbanization.*

*Targets for 2011:*

*international  
organization 35;*

*national governments 45;*

*training institutions/  
universities 32;*

*foundations 10;  
private sector 36 and  
civil society organizations 50*

### **Global/Regional Achievements**

- The results of implementing the UN-Habitat Partnership Strategy (developed in December 2010 and revised in May 2011) were realized following improved enabling environment and structures that facilitate UN-Habitat's partners to work better with the relevant divisions and sections/branches within the agency. At GC 23rd, UN-Habitat formally approved the Habitat Professional Forum Charter: the role of human settlements professionals in delivering a sustainable and equitable future which is expected to further improve UN-Habitat's work with its partners.
- UN-Habitat strengthened its collaboration with agencies in the UN system, including UN-Water, WHO, UN-Energy, UNEP, UNITAR, ILO, the World Bank, WFP, UNODC, UN-DESA, and UNICEF through joint initiatives and advocacy work in sustainable urban development. Beyond the UN system, UN-Habitat continued to consolidate relations with international organization, national governments, local authorities, the private sector and youth organizations.
- More than 50 partners, including professionals, civil society and the private sector are part of the WUC and five United Nations agencies have also associated their own global campaigns with the WUC. Eight umbrella organisations have made commitments (through MOUs) to join the campaign on the agreed work and principles relating to sustainable urban development. Two networks, print (CitiScope) and electronic (South-South News) have joined to promote the World Urban Campaign messages and principles.
- Youth-led organizations in urban areas are becoming important Habitat Agenda partners through grants provided for youth empowerment and sustainable urbanization initiatives. Through its Urban Youth Fund initiative, UN-Habitat is working with 178 youth organizations, which have received grants and implemented activities worth USD 2.7 million.
- UN-Habitat supported capacity development of 26 local and national government training institutions (from all regions) to formulate learning results and outcomes as an integral programme for strengthening local authorities.

### **Country Achievements**

- **The Philippines:** UN-Habitat in collaboration with the World Bank continued to support the operations of the Philippine Urban Consortium Stakeholders' Forum. The consortium is key in promoting sustainable urban development through policy advocacy including the coordination of the World Habitat Day Celebrations.
- **Costa Rica:** Active engagement of members of the Humanitarian Accountability Partnership has been improved through active participation of the government (3 Ministries) and NGO partners in the NUF.
- **Haiti:** Humanitarian Accountability Partnership partners' involvement improved through consolidation of a national Sustainable Urban Development Network (SUD-NET) for local governments. This is a useful tool for the elaboration and design of policies on mitigation and adaptation to climate change. A new partnership with the Association of Mexican Municipalities (AMMAC) was also established.
- **Spain:** UN-Habitat initiated a joint study with FLACSO University on human rights to adequate housing. The outcomes of this initiative will strengthen UN-Habitat's work on the right to housing and integrated into the new strategy on housing.
- **United States of America:** An advisory board created at Harvard University is exploring the possibility of a grant-making portfolio on international urban development at the Ford Foundation. UN-Habitat is a board member. In addition, there is enhanced cooperation between the World Bank and UN-Habitat following high level discussions between the Executive Director and the Bank Managing Director, in March 2011, and subsequent discussions with the Bank's Vice-President on Sustainable Urbanization in May 2011.

**Expected Accomplishment 3:** Monitoring of sustainable urbanization conditions and trends improved*Number of operational  
Urban Observatories**Baseline:  
November 2009: 135**Targets:  
2011: 160;***Global achievements**

- The Governing Council, at its 23rd session, adopted a resolution (23/9) that encourages countries to enumerate their slum populations, and to set realistic national, regional and local targets for improving the lives of slum dwellers, beyond the current slum target, with a deadline of 2020.
- In 2011, the monitoring function of UN-Habitat expanded and continued to build the capacity of national departments to monitor urban indicators and assess urban conditions and trends. UN-Habitat also monitored the slum target of the MDGs. There were increasing requests from cities in Asia and the Arab States for UN-Habitat support to establish local urban observatories with 100 requests from Asia, 20 from the Arab States and 5 from Africa.
- 82 additional urban observatories were established, making the number of national and local urban observatories 237 as of December, 2011, up from 155 in December 2010. Information collected and analysed was used in policy formulation and programme development for sustainable urban development, and production of the flagship reports.

**Country Achievements**

- **Philippines:** Different UN agencies, such as WHO, UNFPA and UNICEF utilized UN-Habitat urban data in their respective areas of specialization. UN-Habitat jointly with the World Bank, and the Philippine Urban Consortium (PUC) and the Department of Interior and Local Government (DILG) supported the establishment of the Philippine Urban Observatory (PUO).
- **Sudan:** The National Observatory and six Local Urban Observatories (LUO) were initiated in partnership with the Ministry of Environment and six State ministries of planning.

**Challenges and threats**

- A significant challenge faced during the current reporting period is related to resource constraints. For example, the team preparing the Global Report on Human Settlements has been operating with only 40% of the professional staff resources it is supposed to have as per current Work Programme.
- Constraints in human and financial resources to sustain the momentum generated at the local level during the various expert opinion focus group discussions on the prosperity of cities and other urban-related issues.
- Lack of relevant urban data at the national and local levels for advocating urban issues. Further, requests from cities to UN-Habitat for technical support to establish local urban observatories are far higher than the resources available.

**Next steps – priorities for 2012**

- Implement the sixth session of the World Urban Forum.
- Complete preparation of *State of the World's Cities Report 2012/2013* and *Global Report on Human Settlements 2013*, the *State of European Cities in Transition* Report, the 2012 *State of the African Cities* report and the *State of Arab Cities* report.
- Translate all three UN-Habitat global urban observatory tools into four UN-languages and develop a corporate strategy in localizing the tools to enhance the local monitoring, decision making and policy planning mechanism.
- Capacity strengthening of Habitat Programme Managers on partner mobilization, establishment of National Urban Forums, and preparation for effective participation in the World Urban Forum.
- 'Habitat Professionals Forum Charter' to be implemented by partners through key actions including the preparation of a publication for sixth session of the World Urban Forum.

## b) FA 2: Participatory urban planning, management and governance

**Strategic result: Inclusive urban planning, management and governance (UPMG) improved at national and local levels:** FA2 has three pillars: improved urban policy, strengthened institutions, and improved implementation. These three pillars have four entry points: climate change, urban safety, urban economic development, and collaboration with other focus areas.

**Expected Accomplishment 1:** Improved policies, legislation and strategies support inclusive UPMG

Indicator of achievement	Progress/accomplishments
<p>(a) Number of countries whose policies, legislation and strategies incorporate sustainable urbanization principles</p> <p>Baseline 2009: 28</p> <p>Targets: 2010-2011: 30</p>	<p><b>Global and Regional Achievements:</b></p> <p>During 2011, some progress was made towards more effective planning legislation and tools that can enable cities to better plan their future developments in a sustainable manner through intergovernmental decisions and national policy initiatives in particular in areas of urban planning, safer cities, and response to climate change vulnerability and environmental degradation.</p> <ul style="list-style-type: none"> <li>• One of UN-Habitat's major contributions in 2011 to global efforts on the issue of climate change was through its flagship report "<i>Global Report on Human Settlements 2011: Cities and Climate Change</i>" that provides evidence based documentation on the linkages between climate change and cities. The report raised awareness and understanding of the implications of climate change on sustainable urbanization.</li> <li>• UN-Habitat contributed to the preparation of the 5<sup>th</sup> Assessment Report of the IPCC as a member of the network of authors and researchers at the Intergovernmental Panel on Climate Change Expert Group on Human Settlements and Infrastructure. The report is an important resource in the on-going climate change debates and negotiations.</li> <li>• UN-Habitat contributed to regional efforts to address climate change and disseminate lessons learned to-date by organising a "promising practices workshop" amongst 13 countries in Africa on selected practices related to urban planning and climate change.</li> <li>• 24 countries in <b>Africa and the Arab States</b> endorsed a regional framework to <i>foster international cooperation for better access to public safety service in Africa and Arab States, aimed at increasing the South-South cooperation on urban safety issues.</i></li> <li>• The approaches and tools used in the UN system to support cities to take action on mitigation of and adaption to climatic change are now documented and better known as a result of UN-Habitat's coordination of 10 UN Agencies at a UNFCCC 16 side event in Cancun, December 2010 to show case and share the strategies. Some of these strategies were integrated in 2011 into the implementation plans of the Cities and Climate Change Initiative. UN-Habitat launched 2 advocacy and capacity building tools – local leadership for climate action, and planning for climate change during the reporting period.</li> <li>• A simplified planning approach developed for intermediate cities has been applied in over 50 intermediate cities. The methodology already allows cities to link strategic and physical plans and increase efficiency of resource use.</li> <li>• In support of safer cities, the 23rd session of the Governing Council adopted a resolution on sustainable urban development through policies for safer cities and urban crime prevention. This is the first resolution from UN-Habitat which directly addresses the importance of safety in sustainable urban development. As a follow up to the resolution, the Global Network for Safer Cities (GNSC) was formed. The GNSC is a local government support network that focuses on sustainable urban development through safer cities and the prevention of urban crime.</li> </ul>

- UN-Habitat launched two Climate Change related advocacy and capacity-building tools, namely "Local Leadership for Climate Action" and "Planning for Climate Change". These tools were used to build the capacity of local officials and stakeholders in Kampala, Uganda, at an African Regional University Meeting, at a global training event for planners and at a regional training event for local government planners in Asia. Universities (for example, University of the Philippines, Ibadan, Moratuwa, Nairobi, Pretoria, Botswana, Royal Melbourne Institute of Technology) have reported the use of the tools.

### **Country Achievements**

#### **Achievements on Urban planning:**

- **Indonesia:** The Government revised regulations (Law #1/2011) aimed at ensuring a better mechanism for national-local housing policy coordination, including the mechanism for working with local stakeholders and community organizations.
- **Nigeria:** 18 cities have undertaken a review of their local governance systems and developed action plans for undertaking reforms. Implementation of this action plans has generated better governance structures, processes and controls.
- **Mexico:** Following a nation-wide program on recovery of public spaces, where approximately 4,500 neighborhood and city public spaces have been improved, the Federal Government of Mexico has institutionalized the experiences and good practices from the program by formulating a national policy and strategy to promote public spaces for more inclusive cities.
- **The Philippines, Colombia, and Tanzania:** have undertaken local reviews of urban planning legislation and policy in order to assess how best to integrate sustainable development concerns. This has resulted in recommendations on areas of focus in terms of review of urban planning and initial elements for a common methodology and local plans have also been reviewed.
- **Vietnam:** A regional draft strategy on inclusive urban planning, management and governance with GIS and spatial planning on sustainable urban planning has been developed as critical elements towards sustainable urban development in Vietnam.

#### **Achievements on Urban Safety:**

- Five cities in **Egypt, Gabon, Benin, Ghana and Burundi** were piloting the General Organization for Physical Planning tool developed in Egypt. **Cameroon and The Republic of Guinea:** Urban safety needs assessments have been conducted in **Ndjamena (Chad), Douala (Cameroon) and Conakry (The Republic of Guinea)** to provide information on crime trends, affected areas, vulnerable populations, and appropriate actions.

*b) Number of crisis-prone and post-crisis countries whose UPMG policies, legislation and strategies incorporate urban risk- and vulnerability-reduction measures*

Baseline 2009: 9

Targets: 2010-2011: 10

- **Colombia:** A compendium on urban safety practices from 31 municipalities has been developed and a compendium of 10 good practices on urban safety, slum-upgrading integrated in urban sustainable development projects have been documented and disseminated as part of south-south co-operation. Experiences and successes that many countries in the South have achieved provide valuable impetus, ideas and means for other countries in the South to address similar concerns and challenges.
- **Egypt:** UN-Habitat is supporting safer settlements planning through development of series of guidance notes and capacity strengthening of planners, professional societies, academia and government bodies on multiple hazards. UN-Habitat facilitated the development of the first ever national building codes and building by-laws.
- **India:** In partnership with a local partner and UN Women, developed a guide to "Building Safe and Inclusive Cities for Women" for India introducing the key concepts of safe cities work and offering practical tools for how to begin building a safer, more inclusive city.
- The national urban development policy of **Kenya** has integrated urban safety and the Ministry of Internal Security has integrated Ministry of Local Government in its national strategy. An Action Framework for a Safer Korogocho has been adopted by the Department of Education of the City Council of Nairobi. A school in Korogocho has developed a school infrastructure development plan and through the process been regularized by certificate of registration and therefore now able to access loans/resources for betterment of the school for the 1,000 students.

#### **Achievements on Climate change:**

- Through the Cities and climate change initiatives, the governments of **Philippines** and **Mozambique** have begun to pass by-laws and undertaking concrete activities to enhance climate resiliency or reduce greenhouse gas emissions. In Sorsogon City, Philippines has passed local legislation to convert public buildings and streets to more energy efficient lighting, and gradually upgrade the city's fleet of motorized tricycle taxis.
- UN-Habitat is working with the city of Kampala, **Uganda**, to mainstream climate change into its gender policy. Gender has also been mainstreamed into the city and national climate change assessments.
- A UN-Habitat-led construction community centre in **Burkina Faso** is almost complete, to serve as a demonstration for improving settlements in flood-affected areas.
- With UN-Habitat support, the City of Maputo, **Mozambique**, is developing a pilot mangrove coastal zone area, which officials expect will yield benefits both in terms of mitigation as well as resilience to extreme weather events.
- Mayors from **Namibia** met to address climate change issues and endorsed the 2011 African Mayors' Climate Change Declaration thus committing them to take action.
- **Kenya, Uganda, Senegal, Rwanda:** Urban youth have become engaged in climate change topics and are mainstreaming their involvement in CCCI cities. To date, CCCI has launched multi-day youth sensitization, dialogue and skills development workshops, followed by demonstration projects, in Mombasa (**Kenya**), Kampala (**Uganda**), Saint Louis (**Senegal**) and Kigali (**Rwanda**).

**b) Reducing risk in crisis-prone or post-crisis countries:****Global Achievements**

UN-Habitat is supporting ten countries towards incorporating urban risk and vulnerability reduction measures. In addition, in early 2011, UN-Habitat institutionalized the Task Force on Meeting the Humanitarian Challenges of Urban Areas.

**Country Achievements:**

- **Afghanistan:** UN-Habitat assisted the Ministry of Urban Development Affairs to prepare a background document as input for the development of informal settlement upgrading policy.
- Local Safety Committees were established in four municipalities in Bujumbura, **Burundi**, with the help of advice and facilitation from UN-Habitat.
- In **Haiti**, an umbrella reconstruction programme of USD 30,000,000 is jointly being implemented by UN-Habitat, UNEP, UNICEF and UNFPA.
- **Serbia:** UN-Habitat and partners continued to strengthen institutional and human resources capacities in urban safety in Serbia. More than 400 municipal staff and other key stakeholders in 13 municipalities have benefited from planning tools and gained skills through 40 training courses on strategic participatory planning, stakeholder analysis and inclusive action planning for urban safety. By the end of 2011, Municipal Safety Boards have been established in 4 municipalities in the country and Local safety assessments completed in 13 municipalities.

**Expected Accomplishment 2:** Strengthened institutions promote inclusive UPMG

*Number of institutions in targeted countries that actively promote sustainable urbanization dimensions*

*Targets: 2009: 30;  
2011: 50*

**Global Achievements**

- The institutions included in the indicator are national local government training institutions, local government associations that provide training and universities that, after being strengthened by UN-HABITAT, actively promote sustainable urbanization dimensions. In addition, other institutions, such as local government associations, their members as well as national governments are reported on but do not contribute to the numeric element of the indicator.
- 53 institutions, up from 40 institutions at the end of 2010 are promoting sustainable urbanization. Progress in capacity improvements of institutions involved in this initiative has been noted;
- Through the 27 government training institutions that UN-Habitat is providing support for capacity development in UPMG, the emphasis has been put on strengthening of local authorities .
- In partnership with the Institute of Public Security in Barcelona and the partners in the Police Platform for Urban Development a training curricula has been developed for policing public events in Africa and Prevention with at-Risk Youth: Urban Policies for Social Cohesion and Public Safety in Latin America. Three training sessions have been held with 60 participants from police institutions from Anglophone and Francophone African countries and Latin America.
- Capacity of local government staff in **Liberia** was developed in the areas of Leadership Development, Urban Financial Management and Local Economic Development. 80% of participants in an impact assessment workshop (that reviewed 2 years of work and results of training 3000 staff) reported noticeable improvements in timeliness and cost efficiency of decision-making processes.



- UN-Habitat's efforts in capacity development for sustainable urban development through individual and networks of universities have recorded rapid expansion involving fourteen universities which are actively promoting UPMG by the end of 2011 up from 8 at the end of 2010. The Africa Association of Planning Schools (a Network of 42 tertiary Planning institutions) has developed and is using the curriculum "Climate Change and African Cities in Planning Education" that draws on UN-Habitat experiences.
- The University of **Johannesburg, South Africa**, has institutionalized a local government training course which, among others draws upon the UN-Habitat training material on Strategic Planning for Local Economic Development. The course provides local government official with the necessary strategic planning skills for enhanced local economic development.
- Climate change concepts and knowledge have been integrated into the University of **Botswana** undergraduate Urban Planning Programme. 24 courses touch on climate change and Course 506 "Planning and Management for Climate Change" is fully based on the course outline designed in the "Climate Change and Urban Planning" meeting of May 2009 hosted by UN-Habitat in cooperation with the Commonwealth Association of Planners and the Institute of Housing and Urban Development Studies (IHS) of Erasmus University.
- As strategic partners in the delivery of UN-Habitat's mandate, capacity development of local authorities continues to be a priority. Assessment done at the end of 2011 indicate that as a result of the strengthened capacities, 12 local government associations, regional or global local government training institutions are actively promote UPMG, up from 8 at the end of 2010.
- A regional training institute in Kenya was supported, which now offers a wide range of UPMG training for local authority personnel from municipalities throughout East Africa. In Asia the International Urban Training Centre, having received capacity development support from UN-HABITAT, offered regional training courses on UPMG.
- Using an expert from the African Capacity Building Foundation, UN-Habitat supported 26 local and national training institutions on capacity for formulating learning results and outcomes as an integral part of local authorities planning. The City of **Istanbul, Turkey**, has committed its support in enhancing sharing best practices and networking among local authorities jointly with UN-Habitat.
- Through the UN Advisory Committee of Local Authorities (UNACLA), in which UN-Habitat serves as secretariat, the Mayor of Istanbul, who is also President of the United Cities and Local Governments (UCLG), is leading the promotion of sustainable principles and good practices in urban mobility, job creation and local productivity, environmental resilience and municipal finance through the implementation of a 4-year work programme aimed concretely demonstrating integration of these issues into planning, management and governance in cities which are members of UNACLA and UCLG.
- ENDA Tiers Monde-ECOPOP of **Senegal** has supported three municipalities (Kaolack, Méckhé and Rufisque-Est) in participatory budgeting processes whereby 180 persons were trained. Participatory Budgeting committees were formed and through the budgeting process sanitation and electrification projects were prioritized and funded.
- Over 20 municipalities in **East Africa** have benefited from a diploma course on urban development studies prepared and administered by the Lake Victoria City Development Strategies initiative, in collaboration with the Institute for Housing and Urban Development Studies, the Netherlands. The diploma course is now running a second round.
- In partnership with UNODC, the Safer Cities developed an "Introductory Handbook on Policing Urban Space" and a training curriculum developed in partnership with the Institute of Public Security in Barcelona and the partners in the Police Platform for Urban Development. Trainings have enhanced police-community relations and built understanding and encouraged behaviour change in the police services/forces in managing public events.
- In Asia the International Urban Training Centre, having received capacity development support from UN-Habitat, offered 7 regional training courses on UPMG during 2011 which benefited 20 participants from South and Southeast Asia each.

**Expected Accomplishment 3:** Improved implementation of inclusive UPMG

*c) Number of cities  
implementing inclusive  
UPMG*

*Baseline 2009: 112*

*Targets: 2010-2011:  
139;*

**Global and Regional Achievements**

UN-Habitat continued to respond to the growing requests for technical and financial resources during 2011 and supported cities to develop plans at city level while some have been adopted, providing, often for the very first time a framework which public and private sectors can use to coordinate their actions and, better use resources and provide better services for urban residents.

- Political commitment by mayors is a key step for policy implementation at local level. A total of 114 Mayors and other elected local leaders from 28 countries from all regions signed the Durban Adaptation Charter, a set of 10 specific commitments to unprecedented levels of climate action to strengthen local resilience to climate change, during the Local Government Convention (held with support from ICLEI, the South African Government, UN-Habitat and others) which ran in parallel to the UNFCCC COP-17/CMP7 held in Nov.-Dec. 2011 in Durban.
- **Data, tools and documentation** of good practices is considered an effective approach for providing input into the process of re-orienting local authorities to carry out necessary changes in policies and strategies for sustainable urban development. The Lake Victoria website spatial portal and repository for regional urban planning records, <http://gridnairobib.unep.org/lvsp/ptk>, continued to play an increasingly critical role of keeping track of East African regional indicators to for evidence-based strategic planning and provide practical tools for urban planning. Local authorities in region are now using the portal to download up-to-date essential spatial data, information and maps for effective urban planning activities.
- UN-Habitat has initiated the Habitat Partner University Initiative with the aim of strengthening urban education, urban research, capacity development of urban professionals and the provision of evidence based policy advice to local governments. Almost 1000 faculty members from more than 200 universities globally have signed up to the network. The Global Planning Education Association Network, representing nine regional and national planning education associations, which in turn have more than 300 university members signed an MOU with UN-Habitat to strengthen urban planning education worldwide.
- 40 new cities (including Mexico City, Buenos Aires, and Quito) have joined the UN Advisory Committee of Local Authorities to promote sustainable urban mobility principles at city- and global-level through various advocacy and technical activities jointly implemented with UN-Habitat support.
- The "Medellin Laboratory which includes 10 best practices on urban safety, slum upgrading and integrated urban sustainable development projects" was launched in 2011 as part of the south-south cooperation promoted by UN Habitat.
- Following lobbying by UN-Habitat and others, the Board of the Clean Development Mechanism approved the multi-sectorial, multi-methodology 'City-wide programme of action' approach, which may help to unlock carbon finance for secondary cities in developing countries, to date largely excluded from international financing mechanisms on climate change.
- 22 National Planners Associations have joined the African Planning Association under an agenda of exchanges of practices and lobbying of national governments in the region for sustainable urban planning policies and approaches. The regional meeting held in Bamako in July, 2011 defined a strategy for African urban planning professional voice to be channelled to decision makers.
- Asia and the Pacific: Based on the lesson learned that, capacity-building, community organising, and development initiatives are key to attaining the goals of urban human security, and as part of the on-going effort to build a culture of prevention in local governments and communities, a Human Security training was conducted for 35 local government participants from 18 cities in the Asia Pacific (India, Bhutan, Indonesia, Japan, Philippines, Sri Lanka, and Nepal).
- UN-Habitat expanded its knowledge resource for partners on urban safety by introducing the "Youth Crime and Violence Prevention manual" and the "Neighbourhood Prevention manual" for Latin America and the Caribbean and conducted 3 regional trainings in Mexico and Chile with the manuals. Training and capacity development increases effectiveness and strengthens local authorities and institutions in implementation of fostering behaviour change.

### Country Achievements

- **Egypt:** UN-Habitat continued to support implementation of strategic urban plans, the elaboration of detailed plans at the neighbourhood level and realization of priority projects in the strategic plans. It is reviewing its urban planning policy and strategies using the International Guidelines on Decentralization and Access to Basic Services as a framework for its review and subsequent reforms.
- **Burundi:** Local Safety Committees were established in four (4) municipalities in Bujumbura, **Burundi** with the help of advice and facilitation from UN-Habitat.
- **Serbia:** Municipal Safety Boards have been established in five (5) municipalities in and local safety assessments and action plans have been completed in 13 municipalities.
- **Cotonou, Benin** has finalised its City Development Strategy which will guide development in the near future and address poverty and sustainability issues.
- **Ouagadougou, Burkina Faso:** UN-Habitat facilitated the validation of the City Development Strategy of Ouagadougou by local authorities, government and donors. With UN-Habitat support, Ouagadougou, is also developing the second phase of an urban planning, management and governance programme. UN-Habitat is supporting safer settlements planning through development of series of guidance notes and training and capacity building of planners, professional societies, academia and government bodies on multiple hazards. A city-wide victimization survey and women's safety survey was conducted.
- **Dakar, Senegal:** UN-Habitat facilitated the validation of the City Development Strategy (CDS) by all local authorities within the Metropolitan area of Dakar.
- **Nairobi, Kenya:** As part of the implementation of the 23rd Governing Council resolution on Public Spaces for Sustainable Urban Development, the Nairobi City Council is implementing a city-wide public space improvement program with support of UN-HABITAT and other partners. An action plan for a safer slum was adopted by the Nairobi City Department of Education.
- Urban planning work in Port au Prince (Haiti) has resulted in a city-wide strategy discussed at a city consultation meeting in November 2011. The vision will be incorporated in the on-going planning exercise being conducted under UNDP for Port au Prince.

### **Challenges and threats related to Focus Area 2**

- Unpredictable non-earmarked resources during the current austerity period have resulted in postponement of some commitments with partners and more time spent fundraising.
- Capacity for documenting, monitoring and assessing performance of our programme, especially on cross-cutting issues of gender, environment and human rights is still inadequate;
- The Enhanced Normative and Operational framework (ENOF) needs to be fully utilized and institutionalized in order to strengthen normative interventions at country level.

### **Next steps – priorities for 2012 : Focus Area 2**

- To document and extract lessons on urban expansion planning, city-wide planning and city-region planning and move to engage with cities and countries for testing and further learning. Undertake a mid-term review of the Cities and Climate Change Initiative.
- In the lead-up to 2012 UNCSD, to ensure that urbanisation is recognised as one of the most important priorities at Rio+20, and that sustainable urban development has a key presence in new institutional framework and sustainability goals that eventually replace the CSD and MDGs.
- Launch and consolidation of the Global network on Safer Cities.
- Development of UN guidelines on safer cities.

## c) FA 3: Pro-poor land and housing

Strategic result: Improved access to land and housing. The focus is on improved land and housing policies, security of tenure and slum improvement and prevention policies.

### Expected Accomplishment 1: Improved land and housing policies implemented

(a) Number of countries implementing improved land and housing policies

Baseline:  
2009: 28

Target:  
2010-2011: 30

#### Global /Regional achievements

- UN-Habitat continued to mobilize and support Governments and Habitat Agenda Partners to implement improved land and housing policies. As of December 2011, a total of 37 countries (compared to 33 in 2010) were developing, implementing or completing land and housing reforms with the support of UN-Habitat. The new countries are **Burundi** – where a land policy revision resulted in the approval of a new policy, **DRC** - where land mediation programmes are being linked to national and local land policy and administration; **Iraq** – where access to land tenure is used to ensure adequate housing delivery, and **South Sudan** – where the land disputes resolution capacity of the Land Commission is being developed.

#### Advocacy and Policy Development

- With the adoption of resolution 23/17 on a global housing strategy by UN-Habitat's 23rd Governing Council in April 2011, Member States re-positioned housing at the core of sustainable urban development by calling for the development of a new global housing strategy that integrates the housing policies into broader urban planning strategies and social, economic and environmental policies.
- Vulnerable groups in Africa are set to gain more equitable access to land, thanks to the Land Policy Initiative (LPI) Implementation Plan developed by the African Union Commission, the United Nations Economic Commission for Africa and the African Development Bank with UN-Habitat support. The LPI framework and guidelines were approved by the African heads of state, the African Regional Economic Communities (ECOWAS, EAC and SADC) in 2011.
- Nine Caribbean states (**Anguilla, Antigua and Barbuda, Commonwealth of Dominica, Grenada, Montserrat, Saint Lucia, St Christopher -St Kitts - and Nevis, St Vincent and the Grenadines**) revised their land policies and land management systems based on the experiences from the LPI process using the methodology and the tools developed by UN-Habitat ('Social Tenure Domain Model', 'How to Establish an Effective Land Sector', and 'How to Develop a Pro-Poor Land Policy'). UN-Habitat mobilized USD1.2m from AusAid for these reviews.
- With UN-Habitat support, 8 countries (**Ecuador, Uganda, Nepal, Ghana, Tunisia, Malawi, Vietnam and Zambia**) – compared to 5 in 2010 –initiated public and institutional debates on housing policies and housing sector reforms.
- Affordable housing supply in Eastern and Central Europe, Africa, Latin America, Asia and the Pacific is expected to increase as a result of the key recommendations for the revision of local, national, and regional housing policy initiatives supported by UN-Habitat. In addition, there was dissemination of four in-depth reports on adequate housing, within the framework of the Global Housing Strategy to the Year 2025, which is being formulated and to which countries committed in April 2011 during the 23rd session of UN-Habitat Governing Council.

### Networking, tool development, and capacity building

- The effectiveness of pro-poor land policies and programmes has been boosted through the capacity development work of the Global Land Tool Network targeting Habitat Agenda partners, government officials and practitioners. Innovative pro-poor and gendered approaches were researched and captured in nine innovative and key land tenure and property administration tools widely piloted and disseminated in country activities in 2011.
- In **Burundi, Liberia, and DRC**, land sector coordination platforms have been established, based on a mechanism developed by UN-Habitat in Kenya. These forums - attended by donors, development agencies and key land stakeholders, and relevant government departments - are playing a major role in consolidating the country approaches to land interventions, maximizing the comparative advantages of each player in its field of expertise. As a result, duplication of efforts and conflicting interventions were avoided, key priorities clearly identified and sustainable long-term planning facilitated. These platforms are relevant for the consolidation of land interventions in volatile post-conflict scenarios.
- Sustainable housing and green building activities were implemented in 4 countries (**Kenya, Ghana, Ecuador and DRC**), building the local capacity and constituting a national platform for knowledge sharing and networking in the field of slum upgrading, participatory housing design and sustainable construction technologies. Respective activities were adapted to different local contexts in slum upgrading and post-crisis housing provision. The interventions have contributed to the promotion of sustainable housing practices and impacted on the revision of national building codes and standards.
- UN-Habitat supported public debates on housing reforms and/or secure shelter in **Uganda, Nepal and Ghana, Egypt, Rwanda, and Tanzania**.

### Country achievements

- **Fiji** developed and launched its national housing policy with technical assistance (TA) provided by UN-Habitat.
- In March 2011, **Papua New Guinea** approved settlement upgrading programme through Cities Alliance support.
- **Solomon Islands** included the budget for housing assessment for 3 urban centres in the national budget.
- **Vietnam**: In March 2011, the Quick Guide for Policy Makers in Housing the Poor in Asia was translated into Vietnamese; also a Housing Profile Study was conducted and the findings are expected to provide the government and other actors with information for making better decisions.
- **Myanmar**: UN-Habitat organized the first workshop on land issues and a Guidelines Note on Land Issues was launched.
- **Sudan**: UN-Habitat made significant advances in leading negotiations for a joint programme for sustainable urbanization with 10 other Agencies. UN-Habitat has recruited a 'Habitat Technical Advisor' and placed in the Ministry of Housing and Local Government.
- **Indonesia** – A special law on land provision for urban development and pro-poor housing was drafted as a mandatory legal component of the law on housing.
- **Nepal** – UN-Habitat supported the country's Urban Housing Sector Profile study which has been published and launched.
- **China** is forming a multi-level housing supply system, and has introduced a series of housing and land management policies.
- The Ministry of Housing and Urban Development and the Municipality of Ouagadougou are developing housing cooperatives. UN-Habitat continued to encourage the Government of **Burkina Faso** to implement a national policy on housing and urban development and to go ahead building social housing.

- As a result of the recognition of UN-Habitat positive engagement in land reforms since 2003 in **Kenya**, the agency received USD 0.5million from Sida to continue the coordination of the Development Group on Land (DPGL) during the policy implementation stage and address the burning issues of transparency, security of tenure and land rights. In addition, UN-Habitat supported the Non State Actors Group of the land sector, comprising of civil society and private sector organisations, and, enhanced the participation of the communities in the implementation of the truth, justice and reconciliation process in 2011.
- In **Iraq**, as a result of the good reputation of UN-Habitat's interventions in settlement upgrading and slum prevention initiatives, the government requested the Agency's support to reform its land sector and carry out the preparatory work for the development of a new land policy. With USD 1.3 million from the UNDG Iraq Trust Fund, UN-Habitat will sustain capacity development and awareness raising activities, the collection of baseline information on land tenure, land records and legal and institutional set-up, and the establishment of a Land Policy Advisory Commission. In addition, USD 5million has been raised to undertake a rapid tenure security assessment to kick-start a participatory land policy process using the methodology and the tools developed by UN-Habitat.

#### Expected Accomplishment 2: Security of tenure increased

*(b) Number of countries implementing policies to improve security of tenure, including reducing forced evictions.*

*Baseline:  
2009: 19 countries*

*Targets:  
2011: 21 countries;*

As of December 2011, 29 countries (compared to 24 in 2010) were implementing policies to improve security of tenure and reduce forced evictions, including in post-disaster and post-conflict situations. New countries include **Bolivia, The Republic of Guinea, Ivory Coast, Peru, and South Sudan.**

#### Achievements

##### **Advocacy and Policy Development**

Important milestones were achieved in 2011 that have laid a strong foundation for improved security of tenure to more marginalized groups as indicated below:

- The UN-Habitat Governing Council's resolution 23/18, adopted early this year at its 23rd session, endorsed the continuum of land rights framework (or pluralism of tenure systems). This was further endorsed by 80 Global Land Tool Network (GLTN) partners in November 2011, where a number of land practitioners reported using the continuum of land rights in their routine operations.
- An Expert Group Meeting (EGM) on Forced Evictions hosted by UN-Habitat in September 2011, formally recognized UN-Habitat's commitment and unique role it plays in promoting socially inclusive and sustainable cities and effective slum prevention and upgrading initiatives. Participants recommended the formalization of UN-Habitat's human rights mandate - especially regarding the right to adequate housing and the right not to be forcibly evicted - and highlighted the need of using the rights-based approach in the development of housing policies and programmes. Strategies to promote the full and progressive realization of these rights were also refined.
- In the Andean region, five countries (**Bolivia, Colombia, Ecuador Peru and Venezuela**) have committed to the realization of Indigenous peoples' rights to adequate housing through a comprehensive policy review process, stimulated by a UN-Habitat-led research that promoted the local debate on housing rights, policies formulation processes and implementation tools.
- With the technical, financial and policy support from UN-Habitat, fifteen African countries are implementing the Bamako Plan of Action, adopted by the African Ministerial Conference on Housing and Urban Development (AMCHUD) in November 2010. The value of AMCHUD as a platform for advocacy and coordination is widely acknowledged and called for its institutionalization, is supported by participating countries.
- In the Bamako Plan of Action framework, 14 African countries (**Burkina Faso, Burundi, Cameroon, Kenya, Morocco, Nigeria, Rwanda, Senegal, South Africa, Tanzania, Togo, Uganda, Zambia and Zimbabwe**) have initiated reviews of their land and urban policies and legislation to increase access to secure tenure and affordable housing. Eight (8) of them are improving their land management and administration systems.

- Holders of land and natural resources rights in the Eastern and Southern Africa regions are going to benefit from the increased knowledge developed on this topic with the new financial contributions of USD200, 000 offered by the International Fund for Agricultural Development (IFAD).

### Tool development and piloting

The relevance and effectiveness of UN-Habitat's tools for addressing land and housing issues continued to be demonstrated through a wide range of initiatives, globally, in 2011.

- Urban expansion, migration and long-standing discriminations are preventing indigenous people and other vulnerable groups from enjoying their housing, land and property rights in cities as identified under the UN Declaration on the Rights of Indigenous Peoples, the Millennium Development Goals and the Habitat Agenda. To provide adequate guidance to policy-makers to take a rights-based approach in securing such rights, GLTN and the UN-Habitat Housing Policy Section developed the '*Policy Guide to Secure Land and Property Rights for Indigenous Peoples in Cities*'. The tool includes recommendations for national, local and indigenous governments, a policy checklist, and a list of "do's and don'ts" for easy reference, and is expected to have a positive impact on the lives of hundreds of thousands indigenous people across the globe.
- Pioneer indigenous people's rights to land initiatives were successfully piloted. In Eastern DRC, 160 pygmy households secured tenure as a result of a UN-Habitat-led land mediation initiative, with the support of GIZ and UNHCR. In **Tanzania**, over 850 women acquired land ownership as a result of an intervention of the Masan Women's Development Organization (MWEDO).
- The positive impact of the use of the UN-Habitat-developed gender criteria in enhancing security of tenure for women and girls was recognized. After the successful application of the criteria in the pilot countries of **Brazil, Nepal and Ghana**, the tool is now been rolled-out in ten districts in Uganda and in the informal settlements in Recife, **Brazil**.
- The value of UN-Habitat-developed tool to assess access to adequate housing from a human rights perspective was recognized; eight countries (**Ecuador, Uganda, Nepal, Ghana, Tunisia, Malawi, Vietnam and Zambia**) used it to assess their housing delivery system and, debated the outcomes publicly.
- The Social Tenure Domain Model (STDM), designed by UN-Habitat to increase the security of tenure of the poor and the women by recording a wide range of individual, collective, customary land rights and land claims, was successfully piloted in Ethiopia and is now being replicated in the region.
- In **Uganda**, UN-Habitat and Slum/Shack Dwellers International (SDI) secured funding from Cities Alliance and technical and financial support from the International Federation of Surveyors (FIG) to address the information requirements of unplanned settlements using the improved version of STDM. Sensitization and data collection activities were launched in October 2011, when the initial capacity development sessions were held. In **Kenya**, the Government requested the use of STDM for selected municipalities.



### In the Post crisis context

- Seven disaster- and conflict-affected countries are promoting security of tenure using tools and methodologies developed by UN-Habitat.
- In **Haiti**, USD10.5million was raised from the Haiti Reconstruction Fund for enumeration of 500,000 households in the entire earthquake-affected zone, using some of the key elements of the *'Count me in: Surveying for tenure security and urban land management'* tool developed by GLTN. This will provide the data necessary for community-driven reconstruction and neighbourhood upgrading, ensure an adequate community involvement in the reconstruction efforts and lead to a more pro-poor and inclusive urban development for the Haitian people.
- In **DRC**, USD 8million was mobilized from the US and Canadian governments for a land mediation initiative that uses land dispute resolution methodology. The programme started in June 2011 and has already assisted the South-Kivu communities in resolving some of their conflicts over land-based resources and HLP rights issues through a participatory approach that includes the local authorities, the traditional and the religious leaders and key members of the civil society. The methodology tested will be institutionalized into the local land governance and administration measures, contributing to the stabilization of the region. A similar methodology was used in **Cote d'Ivoire**, where additional USD2 million are expected for 2011/12.
- In **Burundi, DRC and Uganda** land and property rights of IDPs and refugees are being enhanced by the expansion of a targeted UN-Habitat initiative through the International Conference of the Great Lakes Region. USD 0.5million was raised by UN-Habitat through the UN Development Account as seed funding to begin implementation of this initiative.
- In **Liberia**, since 2009, UN-Habitat has continued to support the Liberia Land Commission with technical expertise and land sector coordination efforts. In 2011, additional USD2.2million was mobilized from the UN Peace-Building Fund to continue the on-going activities and carry out a land registration pilot project.
- In **Afghanistan**, UN-Habitat technical and advisory services have increased security of tenure and housing policies in both Kabul and Jalalabad cities. UN-Habitat has assisted internally displaced persons (IDPs) and returnees by providing secure shelter to 171 and 135 families, respectively.
- Five countries (**Bolivia, Colombia, Ecuador, Peru and Venezuela**) committed to the full and progressive realization of the Human Right to Adequate Housing through their participation in a UN-Habitat-led research project (in partnership with FLACSO University) which informs the policy process for improving indigenous peoples' access to adequate housing in cities of the Andean region in Latin America.
- Two countries (**Nepal and Vietnam**) have committed to assess the performance of their urban housing delivery system from the Human Right to Adequate Housing perspective, through the integration of a detailed checklist template (with questions specifically related to housing rights indicators) developed by UN-Habitat into their Housing Sector Profiles, and discussing and debating those issues publicly during national consultation workshops held around the results of their Housing Sector Profiles.
- **Costa Rica**: Through UN-Habitat technical support security of tenure has increased and national policies and strategies for housing and human settlements are being implemented. A neighbourhood improvement model has been formulated and documented, including policies, strategies and methods for on-site improvement, especially when the target settlements are informal and have been consolidated through time. Evaluation of on-going procedures and recommended changes has been included with these products. This approach provides a fundamental security to the inhabitants that they will not be moved to other sites, unless there are demonstrable.



	<ul style="list-style-type: none"> <li>• <b>Rwanda:</b> Upon request and in collaboration with the Ministry for Housing and Urban Development, UN-Habitat has supported the resettlement of Rwandan returnees expelled from Tanzania and assisted the hosting district, Bugesera, to secure shelter and land tenure for 50 of the affected returnee households</li> <li>• <b>Myanmar,</b> land tenure has been secured for 3349 landless families who are also IDPs affected by disasters in three States.</li> </ul>
<b>Expected Accomplishment 3:</b> Slum improvement and prevention policies promoted	
<p>(c) Number of countries implementing slum prevention and improvement policies</p> <p>Baseline: 2009: 24 countries;</p> <p>Targets: 2011: 26 countries</p>	<p><b>Global Achievements</b></p> <ul style="list-style-type: none"> <li>• 33 countries (17 in Africa / Middle East, 10 in Asia / Pacific region, 5 in Latin American / Caribbean region, and 1 in Europe) are currently implementing slum prevention and improvement policies with the support of UN-Habitat.</li> <li>• An international symposium / research workshop on participatory slum upgrading and policy reforms for slum prevention, coordinated by UN-Habitat in June 2011, enhanced the capacity of 150 housing and slum upgrading practitioners from civil society, NGOs, CBOs, academia and professional bodies. The publication '<i>Change by Design: Building Communities through Participatory Design</i>' documenting the outcomes of this event was disseminated globally.</li> <li>• UN-Habitat and its partners (WBI, GIZ, IADB and Cities Alliance) have completed the revision of the national slum upgrading frameworks of nine countries (<b>Brazil, South Africa, India, Indonesia, Chile, Colombia, Thailand, Morocco and Tunisia,</b>) being replicated in five more countries (<b>Bangladesh, Ethiopia, Kenya, Ghana, Ivory Coast</b>). This has provided a good opportunity for knowledge sharing and capacity development, and will impact positively the slum upgrading and prevention initiatives at the country level.</li> </ul> <p><b>Country Achievements</b></p> <ul style="list-style-type: none"> <li>• In <b>Iraq</b>, UN-Habitat and the World Bank are undertaking a joint study to explore private-public partnership opportunities to make serviced land available for low-income housing and prevent the sprawl of new informal settlements. In addition, the US government provided USD3m for the establishment of a normative framework and the implementation of three pilot slum upgrading projects in Bagdad, using land tools that minimise the displacement of people while recovering some of the occupied public land. UN-Habitat is also leading a USD3million settlement upgrading project done in partnership with UNDP and the Governorate of Erbil, and a USD840, 000 settlement upgrading and sites-and-services intervention in Kurdistan, with funds provided by the UNDP Iraq Trust Fund.</li> <li>• <b>Occupied Palestinian Territory:</b> The Reconstruction Guidelines for the Gaza Strip has been revised through the Reconstruction Working Group which brings together all actors in the housing sector. Further, UN-Habitat provided technical inputs into the negotiations with Israel to facilitate the flow of building materials to local markets in the Gaza Strip to support self-help housing initiatives.</li> <li>• <b>Sri Lanka:</b> UN-Habitat supported the <i>Shelter Support to Conflict Affected People Through Housing</i> project and promoted field tested tools and methods for development induced re-settlement to reduce forced eviction. UN-Habitat also helped IDPs rebuild damaged houses through a home-owner driven approach.</li> <li>• <b>Ghana and Gambia:</b> UN-Habitat supported the launch and completion of the Urban profile and Urban Housing Sector profile which are instrumental in guiding sustainable urban planning processes and policies.</li> <li>• <b>Nepal:</b> UN-Habitat in partnership with the Centre for Integrated Urban Development (CIUD) prepared the Nepal Urban Housing Sector Profile study report.</li> <li>• <b>Gambia:</b> The PSUP Phase 1 urban profiles were completed.</li> <li>• In <b>Colombia</b> and <b>Costa Rica</b>, slum upgrading and prevention policies and strategies are being tested.</li> </ul>

- **Bangladesh:** The Urban Partnerships for Poverty Reduction (UPPR), one of the largest in the world, with the total budget of USD 120 million.; increased its coverage to 23 cities and towns up from 16. In these cities 18,411 primary groups and 1,700 Community Development Committees were formed involving 495,652 households (2,137 million people).
- **Bangladesh:** Settlement and Vacant Land Mapping was completed in 13 cities and towns, including Narayanganj (population 230,294), Savar (125,000), Gazipur (124,000), Chittagong (4,133,014), Khulna (966,837), and Rajshahi (489,514). The mapping provides the basis for targeting the most vulnerable settlements and for the preparation of town-wide poverty reduction strategies.

#### Challenges and threats

- Administrative delays in the recruitment process, procurement and cooperation agreements.
- Lack of adequate human and financial resources to expand into country-level activities and seize emerging opportunities.

#### Next steps

- Mobilize additional resources to address staff shortages and implement country activities.
- Close follow-up on the implementation of the GC23 resolutions and the Bamako Plan of Action.
- Train GLTN partners and other institutions and practitioners in using successfully tested land tools in their work (through training-of-trainers programmes).
- Improve the monitoring capacity of forced evictions through the “Global Eviction Monitoring Facility”, which is now been developed by UN-Habitat and its partners. The platform will include discussion forum, tools and best practices database, guidelines, and portal for reporting forced evictions.
- Implement GC resolution on housing strategy
- Global dissemination of the 14 case studies on national slum upgrading experiences as a contribution towards enhanced slum prevention and improvement policies.
- Development and dissemination of a Practical Guide to City-wide Slum Upgrading, along with regional dialogues and capacity development workshops.

## d) FA 4: Environmentally sound basic urban infrastructure and services

**Strategic result:** Expanded access to environmentally sound basic urban infrastructure services with a special focus on the un-served and underserved populations

**Expected Accomplishment 1:** An enabling policy and institutional framework promotes expanded access to environmentally sound urban infrastructure and services

*(a) Number of countries progressively adopting relevant policies that aim to expand access to environmentally sound urban infrastructure and services*

*Targets:*

*2009: 28 countries*

*2011: 30 countries*

### Global/Regional achievements

- The impact of the policy reforms and on-going programmes in the water and sanitation sector is evidenced by the increasing number of beneficiaries of these services. For examples, in 2011 in India an estimated 10,650 and 6,900 people benefitted from improved water supply and sanitation, respectively. In Nepal, the estimated numbers were 24,000 and 14,000 people, respectively benefitted from improved sanitation. In the Mekong Region (Cambodia, Lao PDR and Vietnam) about 53,000 people benefitted from improved water supply, 155,000 from sanitation and nearly 6,000 from Solid waste Management.
- Advocacy and technical support provided to local authorities and water service providers resulted in the adoption of a financing mechanisms targeting poor households. Pro-poor tariffs were formulated in six towns in Vietnam, ten towns in Laos and five towns in Cambodia. In Nepal, micro-credit schemes to poor households on affordable interest rate have benefited 300 households with sanitation services and 500 taps were connected in nine small towns. In India, UN-Habitat established a revolving fund to microfinance water and sanitation services for the poor. So far this initiative has enabled construction of more than 7,000 household toilets and improved access to water supply for more than 3,000 households. Innovative financing tools for water and sanitation service providers are also being promoted in El Salvador.
- UN-Habitat continued to provide technical and advisory support on water and sanitation to partner countries through policy dialogue, sector review and strategy development which have had a catalytic effect on national policy reforms for improved access to basic urban services as evidenced in a number of cases. For example, as a member of the Development Partners Group in Kenya, UN-Habitat participated in the water sector coordination process and contributed to the on-going policy dialogue on the water sector reform and the legislative changes to be made in the Water Act as a result of the new constitution that was adopted in November 2010. In Nepal, a sector status report was discussed at the first joint sector review, in Kathmandu in May 2011. Recommendations drawn from the review are expected to have a major impact on the future sector policy.
- Significant progress was made in the development, adoption and implementation of sanitation and solid waste management plans and legislation. The Solid Waste Management Act, developed in Nepal, was approved and disseminated to all municipalities. Following the approval of the Act, the Asian Development Bank (ADB) has provided technical assistance for the organizational development of a Solid Waste Management Technical Support Center. In India, the city sanitation plans for Gwalior and Nasrulanj were finalized, supporting the urban local bodies in attracting increased funding support.
- Adoption of urban mobility and pro-poor sanitation by the United Nations Commission on Sustainable Development (UNCSD) in its outcome document, in May 2011, is a critical ingredient for sustainable development and would facilitate advancement of the principles of sustainable urbanization in UN-Habitat's new vision.

- Through advocacy by the Global Water Operators Partnerships Alliance (GWOPA) programme, Water Operators' Partnerships (WOPs) are being institutionalized as a capacity building strategy through the different frameworks:
  - a) UN Economic Commission for Latin American and the Caribbean (ECLAC) included WOPs in its *Guidelines on Public Policies for Water and Sanitation in LAC region*.
  - b) The *Agence Française de Développement* (AFD) has adopted WOPs as an approach to the capacity building components of their loans and grants to utilities.
  - c) Three national water associations (**Brazil, Mexico, and Pakistan**) representing hundreds of municipal basic service providers have launched and are implementing national water operator platforms to help develop the capacity of their members through WOPs.
- GWOPA established new partnership with the Caribbean Development Bank, and the Development Bank of Southern Africa. In the **Caribbean and the Pacific** regions, GWOPA has expanded its activities through the establishment of two regional WOP platforms that are supporting capacity building interventions based on peer support and benchmarking in the region.
- The Cape Town global celebrations of World Water Day held on 22 March 2011, coordinated by UN-Habitat under the theme "Water and Urbanization", gave UN-Habitat yet another global platform for its advocacy work on water and sanitation. Over 1,500 people from approximately 70 countries attended.
- As part of the Sustainable Urban Transport Programme, strengthened awareness about the importance of policies and investment for sustainable urban transport infrastructure in developing countries and emerging economies as well as intensified North-South and South-South collaboration has been achieved through UN-Habitat's contribution and support for participants from Africa, Latin America and Asia to Velo-city 2011, the world's largest bicycle conference.

### **Regional achievements**

#### **Africa and Arab States**

- UN-Habitat contributed to policy dialogue on "Water and Urbanization" which formed part of the main outcome of the 3rd Africa Water Week in Addis Ababa, Ethiopia in November 2010. On behalf of the African Ministers' Council on Water, UN-Habitat coordinated deliberations on the sub-theme "Water and Urbanization". The recommendations of the deliberations were discussed and endorsed during the World Water Day celebrations in Cape Town, March 2011.
- UN-Habitat organized the annual Water for African Cities City Managers' Meeting on the sidelines of the African Water Week. The meeting reviewed progress on project activities in ten participating countries (20 cities) and identified areas of focus in the next phase of the programme.
- UN-Habitat participated in the formal launch of a project funded by the Global Environment Facility, *Promoting sustainable transport solutions for East African cities*. Government focal points were appointed and work plans for the three project cities of Nairobi, Kampala and Addis Ababa were finalized.
- Exposure of senior officials of local and national governments to the importance of the biogas technology as a better sanitation solution has seen the approval of different clean energy systems such as biogas plants in three prisons (two in **Kenya and one in Mali**). Preparations for the construction of other pilot biogas plants for public latrines are ongoing in five countries (**Kenya, Uganda, Central African Republic, Malawi, Cameroon, Sierra Leone**). The pilot projects will also include solar energy for domestic lighting.

- USD 110 million grant by the African Development Bank in December 2010 for a second phase in 15 towns of the LVWATSAN marked an important milestone in the scaling up of the Programme was approved. The programme has leveraged an estimated USD500,000 from community savings (for sanitation micro-credit), the private sector and private foundations.

### Asia and the Pacific

- A regional project on gender mainstreaming supported by UN-Habitat together with Gender and Water Alliance has been successfully implemented in Cambodia, Laos PDR, Vietnam and Nepal. Water service providers have developed gender action plans, and an e-resource book on gender. The latter is a reference guide that addresses key players in Gender and WATSAN.
- In the Mekong region (**Lao People's Democratic Republic, Cambodia, Vietnam**):
  - a) About 53,000 people benefitted from improved water supply, 155,000 from sanitation and nearly 6,000 from Solid waste Management;
  - b) Partnerships were forged with international agencies such as UNDP and WHO so as to engage UN-Habitat in more sector-based activities. A letter of agreement has been signed between UNDP and UN-Habitat in Lao PDR to implement pro-poor water and sanitation governance project, focusing on developing a sector strategy.
  - c) A cost-efficient and effective model was developed involving communities in small towns (14 small towns in the **Lao PDR**, seven small towns in **Cambodia** and five small towns in **Vietnam**) – these established public-private partnership to serve as a catalyst for provision of services for the urban poor.

### Latin America and the Caribbean

- The *Central American Solid Waste Management Technical and Institutional Assistance Initiative* expanded its scope to include **Honduras** in the group of countries with **Nicaragua, Guatemala, Costa Rica and El Salvador**. Letters of Agreement have been signed at ministerial level to endorse and adopt policies favorable to the establishment of a comprehensive, efficient and sustainable institutional framework for the management of municipal waste and the provision of related services.
- As a result of activities under the *Water for Cities Programme*, UN-Habitat has been invited to lead, alongside the Inter-American Development Bank (IADB) and the Water and Sanitation Group of the Americas Water Forum, efforts to support pro-poor policy reforms in the water and sanitation across the region.
- Through *"Improving Solid Waste Management in Managua"*, UN-Habitat is implementing the *Solid Waste Management Technical and Institutional Assistance Initiative for Central America*. In collaboration with the ministries responsible for solid waste management, four countries -**Nicaragua, Guatemala, El Salvador** and **Costa Rica** are developing national strategies for solid waste management. Sector assessments have been carried out to identify technical assistance priorities and pre-investment initiatives that will form the basis for the strategies.
- In partnership with the Spanish Development Cooperation Agency, UN-Habitat has expanded IADB- funded *"Improving Capacity for Solid Waste Management Programme"* in Nicaragua to El Salvador, Guatemala, and Costa Rica. Based on the experience from Nicaragua, these countries have adopted the integrated approach in the management of solid waste.

### Country Achievements

- **Burkina Faso:** To facilitate access by the poor in the Wendou District of the Dori Municipality, affordable water tariffs were negotiated between UN-Habitat and the policy decision-makers. UN-Habitat supported the municipality and the households of Dori to build sanitation facilities (public and individual) and to connect them to the city water network. The same thing has been done in Ouagadougou and Bobo Dioulasso.
- **Kenya:** UN-Habitat participated in different meetings as part of the water sector coordination process, including the on-going policy dialogue on the water sector reform and the legislative changes to be made in the Water Act as a result of the new constitution that was adopted in November 2010.
- **Bolivia:** Under an MOU signed in February 2011 with the Ministry of the Environment and Water, UN-Habitat participated in the formulation of the "Construction Guide for Ecological Toilets". These guidelines were approved and disseminated in workshops in five cities in the country. Within the IADB Water Peri-urban Project, UN-Habitat provided technical assistance in the consensus building process for the "Terms of reference of the water and sanitation plan" in Cochabamba.
- **Mexico:** Through an MOU with the Ministry of Social Development, UN-Habitat is providing technical support in policy-integration of appropriate water and sanitation technologies in the operations of country-wide Urban Poverty Alleviation Programme. This includes supporting capacity-building of water operators and strengthening participatory water governance. The agency produced a policy document "Water Governance under Climate Change Conditions, Experiences from South Eastern Mexican Cities" on the methodology to assess the vulnerability of cities to extreme hydro-meteorological events.
- **El Salvador:** UN-Habitat facilitated the creation of two different new financing mechanisms to facilitate access to credit to small water operators. As a result, 2700 families benefited from access to water and sanitation.
- **Cambodia,** HPM coordinated and participated in MEK-WATSAN project resource mobilization from Coca Cola Company, its implementation and evaluation.
- **Indonesia,** Slum Upgrading Facility was included in the new housing law No. 1/2011 – i.e. the integrative role of municipal governments for housing and urban development planning and implementation.
- **India:** 35 elected representatives of six urban local bodies were introduced to policy and technological options for promoting effective delivery of water and sanitation services for the poor. Baseline surveys for the development of sanitation plans for the city of Gwalior (population exceeding 1 million) and in Nasrullaganj (a population of 17,000), have been completed.
- **Nepal:** UN-Habitat supported the Government of Nepal to develop the Sanitation and Hygiene Master Plan 2010 for achieving the MDGs and universal access to sanitation by 2017. The Master Plan will guide execution of a five year Global Sanitation Fund Programme, currently executed by UN-Habitat and the Government of Nepal.
- **Pakistan:** The Coca Cola Foundation supported the "Water and Environmental Sanitation Improvement in Coastal Communities in Karachi (WESK) project", formally launched on 28th July, 2011. A comprehensive analysis of the situation in two targeted villages was conducted by WWF Pakistan, in collaboration with UN-Habitat and Coca Cola Foundation.

*(b) Number of institutions in target countries progressively adopting institutional mechanisms that expand access to environmentally sound urban infrastructure and services*

*Targets 2009: 81 institutions*

*2011: 93 institutions*

### **Global Achievements**

- By November 2011, the total number of institutions in target countries progressively adopted institutional mechanisms that expand access to environmentally sound urban infrastructure and services stood at 125, up from 123 in October 2010.
- The capacity for utilities worldwide to monitor performance changes as a result of the WOPs has been enhanced by the introduction of GWOPA Monitoring and Evaluation web tools such as the Geo-Referenced Utility Benchmarking System (GRUBS).
- The Water Safety Plans approach has been adopted in the curriculum of *École Nationale du Génie Rural des Eaux et des Forêts* (ENGREF), Montpellier, France – following WSP training prepared and delivered by GWOPA in partnership with WHO, IWA, and some champion utilities in Africa. ENGREF is a major international training centre for water utility managers.
- UN-Habitat and International Ecological and Engineering Society (IEES), committed in October 2011 to provide inputs to ensure that urban components are adequately taken care of in the Sustainable Sanitation and Water Management (SSWM) toolbox. The web-based tool has the following urban specific components: Filters for urban areas; urban technology factsheets; a glossary and library with particular regards to urban areas and print functions.

### **Regional Achievements**

#### **Africa and Arab States**

- Through the LVWATSAN, UN-Habitat has assisted the Lake Victoria Basin Commission of the East African Community (EAC) to establish the institutional capacity for expanding access to water and sanitation services in the region. Given the concrete results achieved, UN-Habitat has been requested by the Community for Eastern and Southern Africa (COMESA) to establish a similar programme around Lake Tanganyika, with possible funding by the European Commission.
- Under the regional capacity development programme of LVWATSAN, Municipal Councils and water service providers in 10 towns, benefited over 20 institutions and 50 community-based organizations, enhancing their capacity in governance and pro-poor service delivery. Preparatory work to replicate the capacity building programme in other 15 towns in 5 countries under phase II of LVWATSAN has started.
- A total of 2293 persons have benefitted from the LVWATSAN capacity building programme, including local government personnel, utility managers and technical staff, representatives of community groups, women and youth groups and local NGOs. Women participants make up 33% of the target population.
- In Zanzibar (Tanzania) and Kisumu (Kenya), draft water demand management strategy and business plans, as well as an Awareness and Education strategy targeting the respective water authorities -ZAWA (Zanzibar) and KIWASCO (Kisumu).
- UN-Habitat in collaboration with CREPA (now WSA – Water and Sanitation for Africa) developed an Institutional framework through the High Level forum for Water and Sanitation for all in Africa (5-8 December 2011). Based on its experience in the field, substantial inputs were provided in the segments related to enhancement of the role of small scale providers and social enterprise in pro-poor and pro-business approaches) and, to the 6th World Water Forum particularly the integration of water and sanitation in humanitarian and development planning (including human settlements) as well as the financing of water and sanitation services through fees and tariffs to be embedded in local organizations.
- The African Development Bank provided follow up investments to **Kenya, Rwanda, Nigeria, and Burkina Faso**, amongst others, to scale up or extend various components of the Water for African Cities Programme.



- UN-Habitat continued to engage with other UN-agencies to deliver as one in pilot countries for the betterment of the coordination mechanism of delivery of water and sanitation services for the poor, especially in **Tanzania** (UNDAP) and **Rwanda** (UNDAF).
- Since November 2010, 10 African utilities have prepared and adopted Water Safety Plans to safeguard water services to millions of citizens, with another ten additional utilities being mentored by other utilities to prepare such plans.
- UN-Habitat is assisting urban water and sanitation utilities to undertake vulnerability assessment and prepare adaptation plans. A pilot project implemented in three water utilities in **Masaka** (Uganda), **Bukoba** (Tanzania) and **Kisii** (Kenya) has already produced tool kits to assist small water utilities to prepare climate change adaptation plans.

### Latin America and the Caribbean

- In Central America, the SWM Technical and Institutional Assistance Initiative concluded its first phase of sector assessment in five selected countries, namely Nicaragua, Costa Rica, Honduras, El Salvador and Guatemala. This phase allowed the programme to define and draw up national strategies for each participating country, which were subsequently validated and endorsed by the relevant ministries.
- Institutional capacities for access to and exchange of knowledge and information to support expansion and access to water and sanitation services in Latin America have improved. In partnership with the Stockholm Environment Institute and UN-Habitat together with local stakeholders, Decentralized Sustainable Sanitation Knowledge nodes have been established in Bolivia, Nicaragua, El Salvador, Honduras and Guatemala. The knowledge nodes are meant to expand and promote the integration of sustainable sanitation approaches in respective countries.

### Asia and the Pacific

- Under urban transport, ICLEI - Local Governments for Sustainability and UN-Habitat jointly announced the EcoMobility Festival project at the EcoMobility Changwon 2011 World Congress on mobility for the future of sustainable cities. As a result the City of Suwon, South Korea, has adopted EcoMobility concept. According to Mayor Tae-Young Yeom "The EcoMobility Festival connects Suwon's environmental and cultural agendas perfectly".
- A seven days training on "Sustainable Urban Mobility" in Asian cities gathered transport planners, representatives from research institutions and local governments from nine countries, including Pakistan, Mongolia, Cambodia, Sri Lanka and Nepal. Experiences gained showed that coherent transport policies and effective transport institutions for implementation of these policies are needed to move towards more sustainable urban mobility patterns.
- In the Mekong region;
  - a) Three water utilities in Lao PDR (Xieng Ngeun, Sayabouly and Phine) and in Vietnam four water utilities (Quang Tri province) are recovering 100% of operations and maintenance costs.
  - b) Capacity of service providers in 15 public provincial water utilities in Laos, 5 utilities in Cambodia and 4 utilities in Vietnam was strengthened following training in operations and maintenance, project management, financial management, poverty mapping, GIS mapping and MDG monitoring.
  - c) Revolving funds are operational in 7 towns in Cambodia, 4 towns in Vietnam and 10 towns in Laos.
  - d) Project Performance and Monitoring and Evaluation Framework developed by UN-Habitat is being implemented in 18 small towns.

## Country Achievements

- **Ethiopia:** In Addis Ababa, the concept of non-revenue water has been adopted. The Addis Ababa Water and Sewerage Authority has institutionalized a process through the establishment of Non-Revenue Water Management Section in all the branch offices. This major policy change at city level has been attributed to the advocacy and promotion of the pro-poor governance and water demand management initiatives through the Water for African Cities project in Addis Ababa.
- Under the Urban Catchment Management Programme in Addis Ababa, UN-Habitat supported the Environmental Protection Agency with equipment and training to enhance its capacity in for monitoring for Lead concentrations in the water supplies of the city. It further supported the Addis Ababa Water Supply and Sewerage Authority, to establish a complete water quality monitoring database to facilitate water quality risk management strategies.
- **Kenya :** A sanitation diagnostic study in the Lake Victoria South Water Services Board (LVSWSB) to provide a database of appropriate technical solutions and a strategy to improve the sanitation situation in the area has been completed. LVSWSB is utilising the data generated to inform the implementation of the AfDB financed component.
- **Kenya:** UN-Habitat supported efforts in Mandera County, to promote appropriate food security interventions with built in mechanisms to ensure adequate resilience and sustainable mitigation against drought shocks. Additionally, a water supply and sanitation project targeting about 3500 disadvantaged women, children and youth of Mandera town through funds secured from BASF of Germany.
- **Mali :** In collaboration with CREPA Mali, a sewerage network has been finalised in Djicoroni Para, a low income settlement of Bamako, for 114 households, about 2000 persons. 17 borehole hand pumps have been rehabilitated in communities in the sub municipalities, serving 6000 persons a day, and pump operators trained to ensure sustainable operations and maintenance of the facilities. These have led to improvement in wastewater collection and treatment with a direct impact on the water supply source for Bamako and increased access rate from 36% to 67% in the beneficiary communities.
- **Ghana –** Water quality in the Weija reservoir, the source of water for Accra City, has improved through the urban catchment management of the Densu River basin programme. In collaboration with the Ghana Water Resources Commission, UN-Habitat supported targeted capacity building initiatives in the catchment area, and persistent advocacy and awareness creation of the community living within the catchment. This has fostered collaboration with national institutions and NGOs working with the communities in protecting the catchment of the reservoir.
- **Tanzania:** In Zanzibar, pilot rainwater harvesting initiatives, training and awareness creation, have been completed in a number of schools and surrounding communities. The demonstration has recorded positive attitudinal and cultural changes towards the use of rainwater for sanitation. Furthermore, the intervention is informing rainwater harvesting component of the on-going AfDB financed water and sanitation project.
- **Nigeria –** UN-Habitat supported the Plateau State Water Board (PSWB) in Jos for the improvement of water supplies to the Longwa and Gwarandok communities, targeting an estimated 40,000 people. Water demand management strategy and action plans have been developed and training conducted for 17 staff members. Non-accounted for water has been reduced from 76% to 54%.
- **Madagascar -** the Human Security programme, jointly implemented with Disaster and Post-Conflict Section, is scaling up the 'multi-service centre' approach in 25 quarters of Antananarivo, aimed at providing integrated basic services such as water, sanitation and SWM. The initiative is also targeting environmental sanitation by engaging in drainages and channels clean-up and dredging.

- **Nepal** - UN-Habitat, in partnership with development partners and the local government supported four Water and Sanitation Users Committees in small towns that are now delivering pro-poor focused services by operating micro credit financing schemes and pro-poor water tariff system (with a graded subsidy mechanism). Water billing software has been developed and staff trained in 29 small towns. Currently, 20 small towns are operating this software and there is demand for similar support in 15 other small towns.
- **Nepal**: 300 toilets were built in seven municipalities. Similarly, water supply services were provided for more than 200 families in 7 municipalities and 9 small towns. One small town through its enhanced management capacity has been able to provide a 24 hour water supply to more than 1,800 households.
- **Nepal** -UN-Habitat in partnership with local governments and other partners provided institutional capacity building support to 10 municipalities in pro poor water and sanitation governance. Solid Waste Management (SWM) strategies and action plans of 15 municipalities drafted are awaiting refinement and endorsement by authorities.
- **Rwanda**: An outcome of a mid-term review of the Water for African Cities initiative in Kigali by the Ministry of Infrastructure led to a decision to scale up to cover other peri-urban settlements of Kigali City and those of other major cities. The Ministry has thus committed to avail adequate counterpart funds for implementing this initiative.
- **Mali**: UN-Habitat collaborated with WaterAid Mali to assist the Municipal Authorities to update a draft water and sanitation action plan for the District No. 1 of Bamako. The Municipality has adopted the plan and has approached donors to elicit funds to enable implementation of the action plan.
- **Senegal**: Two pumping stations have been installed in collaboration with the National Office for Sanitation, ONAS, to pump the wastewater effluent collected by a 1.3 km small bore sewerage network, developed as a component of the Water for African Cities programme, into the main sewerage system of the Dakar City.
- **Nicaragua**: Within the framework of the *Improving Solid Waste Management in Managua, Nicaragua* project UN-Habitat supported intervention on strategic planning and institutional strengthening for Managua City. Through collaboration with the association of municipalities of Nicaragua (AMUNIC), the same process is being implemented in other cities throughout the country.
- **Madagascar**: Under the name of 'Tanaservices', UN-Habitat is implementing an initiative to address the issue of urban vulnerability and access to basic services and infrastructure in Antananarivo. The programme uses solid waste management as an entry-point to promote multi-service centres which could become hubs of services (water, sanitation, solid waste management and energy) that are completely self-managed by the community and highly resilient towards the eventuality of urban crisis.
- **Bangladesh**: Under the *Water, Sanitation and Hygiene Improvement in Schools Serving Urban Poor in Camilla and Dhaka* project, supported by UN-Habitat and Coca Cola, 35 schools (ten in Dhaka and 25 in Camilla) have been selected and 35 Community Based Project Committees have been formed in each of the catchment areas.
- **Mexico**: UN-Habitat signed an agreement with the National Institute of Ecology (INE), the institution in charge of producing the National Adaptation Strategy, provided technical assistance in the area of water adaptation to climate change, and supported production of the Strategy.
- **Nicaragua** –UN-Habitat facilitated Improving Solid Waste Management (SWM), a Strategic Planning with the decision-makers and technical staff of the municipality of Managua. The final strategic plan covers measures to strengthen the SWM institutional set-up, expand access to SWM services in the city, increase SWM financing and cost-recovery and increase public awareness and participation in the planning and implementation of this key municipal service.
- **Bolivia**: Under an MOU signed between UN-Habitat and the Ministry of Environment and Water in February 2011, collaboration has started to draft regulations in water treatment and promoting decentralized sanitation solutions.

**Expected Accomplishment 2:** Increased institutional efficiency and effectiveness in the provision of basic urban infrastructure services

*a) Percentage of service providers (water and sanitation utilities supported by UN-Habitat) recovering at least 95% operation and maintenance cost of services*

*Baseline 2009: 33%*

*Targets: 2011: 40%;*

### **Global/Regional Achievements**

#### **Africa and Arab States**

- The LVWATSAN programme is supporting capacity development for 7 water utilities in 3 countries under a programme that integrates improvements in physical infrastructure with capacity building. Five of the seven utilities reported achieving over 95% cost recovery. The Siaya Bondo Water and Sewerage Company joined the South Nyanza Water and Sewerage Company, Gusii Water and Sewerage Company, Bukoba Urban Water and Sewerage Authority, and the Muleba Urban Water and Sewerage Authority) that are achieving over 95% cost recovery..
- Urban Inequities Surveys are now being carried out in the 10 Lake Victoria towns where short term interventions have been completed and the facilities put into operation. Preliminary results from surveys (in 5 towns) indicate significant improvement in the level of satisfaction with basic services as a result of the UN-Habitat interventions.
- The sanitation micro-credit initiative in Jos (Nigeria), Nyanza Province (Kenya), Jinja, Masaka and Rakai (Uganda) and Kagera and Mara Regions (Tanzania), being implemented by women organizations from local communities has thus far build 2760 improved toilets for 30,760 people. In Tanzania for example, as a result of the initiative, respective households have been motivated to construct toilets from their own resources. 3535 people had registered to have access to the sanitation micro-credit loans. Local leaders, report satisfaction with the micro-credit initiative.
- More than 100 African utilities have enhanced their service delivery monitoring mechanisms through a 3-year, continent wide, benchmarking exercise carried out by GWOPA in partnership with the Water and Sanitation Programme in Africa (WSP-Af).

#### **Asia and the Pacific**

- Under the MEK-WATSAN programme, a cost-effective model was developed in programme countries (Lao PDR, Cambodia, and Vietnam). Two towns are recovering 100% of operations and maintenance costs. Other towns ( 18 in all) are expected to achieve similar levels of cost recovery over the next 1-2 years

#### **Latin America and the Caribbean**

- In partnership with the National Association of Water Utilities (ANEAS) and the Distance Learning Department of the Engineering Faculty of the UNAM, UN-Habitat organized a Distance Learning Capacity Diploma for Water Operators in an effort to support increased efficiency and effectiveness in water and sanitation service provision.

### **Country Achievements**

- **Nepal** – With UN-Habitat support 21 communities of 8 municipalities were declared “Open Defecation Free (ODF)”. During the reporting period, over 400 families from 7 municipalities and 9 small towns have benefited from water supply and 1,000 families have benefited from improved sanitation. .
- **Bolivia:** UN-Habitat completed two institutional strengthening programs for EMAPA and COOSIV water operators in Patacamaya and San Ignacio de Velasco. Under these programs, water operators improved their laboratories for water quality testing benefiting inhabitants in these cities.
- **Ghana** - 600 consumer meters on water supply connections have been installed in the Sabong Zongo area of Accra, undertaken in collaboration with the Ghana Water Company Limited (GWCL). Initial results show an increase in revenues for the GWCL. A GIS platform to accompany a Water Demand Management information gathering process has been put in place at the GWCL..

- **Kenya:** In Naivasha, a public-private-community arrangement has been completed and is operational for the management of borehole water supply and treatment in Mirera Karagita. Tariff levels are negotiated and approved by all stakeholders. This project has improved interaction between the community, private stakeholders and the company, and improved operations and maintenance of the water supply chain. Enhanced capacity of local community groups to undertake solid waste management activities as a business enterprise has made demands for replication by neighbouring settlement communities such as Kamere and Kasarani.

**Expected Accomplishment 3:** Enhanced consumer demand for efficient and environmentally sustainable basic urban infrastructure and services

*a) Percentage of consumers ranking basic urban infrastructure services in the first three of their priority of needs.*

*Baseline and targets being collected*

*Baseline 25%*

*Target 2011: 22%*

### **Global Achievements**

- The *Monitoring to Inform and Empower Platform* launched during Stockholm World Water Week as a global online water and sanitation monitoring data storage and visualisation warehouse is now operational. The platform helps lower the cost and, increase the quality and quantity of data collected, closing the gap between reported water and sanitation service provision realities in real time, on the ground.
- UN-Habitat hosted the WHO/UNICEF Joint Monitoring Programme (JMP) urban task force meeting in Kenya in June 2011. The meeting explored the challenges specific to monitoring urban water supply and sanitation coverage and resulted in an action plan which aims to enhance the framework for global MDG monitoring mechanisms in the urban context.

### **Africa and Arab States**

- Under the LVWATSAN, an estimated 220,000 persons benefited from improved water services through piped connections, access to community-managed water kiosks and rainwater catchments. These improvements have reduced the cost of water for the poor, both in terms of the price paid for water and the opportunity cost of the time spent fetching water.
- Rapid water quality surveys were conducted in Kisumu and Kisii (Kenya) and Mwanza (Tanzania) in collaboration with local public health and water authorities. The data are being used by local authorities and investment partners to plan water-related interventions. Water quality issues are also being addressed in Bamako (Mali) where a project has been launched to treat contaminated water at the household level using Solvatten – a Swedish safe water system. Similar surveys were carried out in small urban centers in Iringa region (Tanzania) as part of the national exercise on Water Point Mapping carried out by the Ministry of Water. An evaluation of the data has resulted in planned interventions in areas where particular water quality problems were identified.

### **Asia and the Pacific**

- In the Mekong Region (Lao PDR, Cambodia and Vietnam) 62,960 people benefitted from improved water supply, 170,251 people from improved sanitation and 5,875 from solid waste management. This improvement has reduced the cost of water for the poor often pay 15 to 20 times that of the rest of consumers who have access to piped water network.

### **Latin America and the Caribbean**

- Under regional agreement with Project Wet, UN-Habitat led training workshops in water, sanitation and hygiene education in 52 local public schools in the city of Patatamaya reaching 392 school teachers and 3500 students. Education materials (Guide for Educators and Students Handbook) were published and provided to beneficiaries to raise general awareness of infrastructure maintenance, hygiene habits and provision of services.

	<p><b>Country Achievements</b></p> <ul style="list-style-type: none"> <li>• <b>India:</b> An estimated 10,650 people benefitted from improved water supply and an estimated 6,900 people from improved sanitation. Provision of safe drinking water and sanitation facilities improved in 34 schools, up from 24 in November 2010, benefitting 50,000 students, teachers and the community members.</li> </ul>
<p><i>b) Percentage of initiatives with a difference in the price of basic urban infrastructure services paid by the poor vis-à-vis the rest of consumers in selected communities</i></p> <p>Baseline 25%</p> <p>Target 2011: 22%</p>	<ul style="list-style-type: none"> <li>• In <b>Kenya</b>, <ul style="list-style-type: none"> <li>a) The collaboration with Water Services Trust Fund of Kenya on development of MajiData has been concluded in 2011. MajiData is a database containing large amounts of information related to water and sanitation on all urban low income areas of Kenya. The database has been prepared by the Ministry of Water and Irrigation (MWI) and Water Services Trust Fund, in cooperation with UN-Habitat, the German Development Bank (KfW), Google org. and GIZ, and would assist the Water Service Providers and Water Services Boards to prepare tailor-made water supply and sanitation proposals for pro-poor projects.</li> <li>b) As a result of the achievements in the UN-Habitat Soweto East Village (Kibera, Nairobi) Integrated Water and Sanitation Project and strengthened collaboration with the African Development Bank, an extension of water supply mains and tertiary sewerage connections in three villages of the Kibera informal settlements nearing completion will benefit about 200,000 people.</li> <li>c) The Mirera Karagita Integrated Water and Sanitation Initiative in Naivasha is also being expanded under the partnership with the Water and Sanitation for the Urban Poor.</li> </ul> </li> <li>• <b>Ethiopia:</b> The water and sanitation facilities constructed through the WAC II programme have benefited the marginalized people in the three participating cities (Addis Ababa, Harar, and Dire Dawa) in terms of water price reduction ranging from 50% to 80% in all the communities where public water points have been installed.</li> <li>• <b>Senegal:</b> In Ngor a poor beach community in Dakar (Senegal) a 1.3 km small bore sewerage network is in operation and is providing the 400 unserved population with access to an improved wastewater collection and treatment facility. A public sanitation block incorporating a biogas plant has also been completed in the community to serve an estimated 200 people per day. These facilities are complementing the World Bank funded PAQPUD project in this poor community</li> <li>• <b>Senegal:</b> UN-Habitat assisted 28 villages around Lac de Guiers, a major source of water supply to Dakar, to access improved sanitation through 462 household toilet facilities. A micro credit scheme is in place to assist the people in these low income villages to access credit for the sanitation facilities. To allow for the sustainable management of the sanitation facilities provided and to facilitate replication at the end of the pilot interventions, 19 community relays and 32 local masons have been trained. The recovery rate of the loans for the toilet facilities is so far close to 60% and some beneficiaries have already paid all their credit (in less than 9 months). The loan payment period was 15 months.</li> <li>• <b>Mali:</b> 82 household biogas plants have been piloted in Niono, benefitting 656 people. These household biogas facilities are contributing to a reduction in the use of fuel wood.</li> <li>• In <b>Mongolia</b>, three water kiosks improved access to potable water supply of over 6,500 people living in the Ger areas in three project areas, with time saved in fetching water devoted for other activities to improve their living condition; 446 streetlights prevented crimes and accidents in 4 project areas, which has protected especially women and children; 826-meter footpaths improved the physical conditions and facilitated movement in four project areas benefitting 15,163 people.</li> </ul>

- **Mexico** : In partnership with the Water Advisory Council, UN-Habitat has launched already 6 Water and Sanitation Citizen Observatories, including Ecatepec, state of Mexico; Xalapa, state of Veracruz; Tuxtla Gutierrez, state of Chiapas; la Paz, state of Baja California; San Miguel de Allende, state of San Luis Potosi, and Cancun, state of Quintana Roo. These citizen observatories have the objective of supporting more democratic water governance by empowering groups of citizen to demand greater participatory environments, accountability and transparency in local water and sanitation provision.
- **Bolivia**: UN-Habitat promoted a social marketing strategy to reinforce hygiene education and consumers rights to basic services in District 9 in Cochabamba. The social marketing strategy included local contests related to water and sanitation, messages in the radio and in the local media. As a result, the social marketing strategy empowered 10.000 inhabitants in its current demand for water services.
- **Nicaragua**:- UN-Habitat has finalized the work on solid waste management (SWM) strategic planning and institutional strengthening which was designed to develop the institutional capacity of the municipal government of Managua to undertake a strategic planning process for solid waste management and to implement the Strategic SWM Plan.

## Challenges and Opportunities

### Challenges

- Political transition has caused uncertainty in collaboration efforts in, Bolivia, Nepal and Mexico. In Mexico, local government elections and transition in the Municipality of Ecatepec have caused delays in project implementation.
- Establishing projects for improved infrastructure for sustainable urban transport modes require extensive pre-investment activities and consultations with a wide range of stakeholders that are sometimes opposed to new services due to vested interests.
- The normative activities in Latin America demanded important inter-institutional coordination efforts amongst a great variety of actors, including regional institutions. This was complicated by budget constraints.

### Opportunities

- The recommendations of the external evaluation of the WSTF will provide useful information on what is working and what is not working well and why. It will also explore modalities for ensuring long-term sustainability of the Fund.
- The launching of the h2.0 platform opens up significant opportunities to take leadership in a global monitoring pooling movement, to further develop UN-Habitat monitoring methodologies, and to contribute to the Joint Monitoring Programme's efforts to assess progress towards attainment of the MDGs.
- The participation of UN-Habitat in the organization of the Americas participation in the World Water Forum 2012 will provide a high level of exposure and opportunities of fundraising.

## Next steps – priorities for 2012

- Implement the recommendations of the Water and Sanitation Trust Fund Evaluations of 2010 and 2011.
- Strengthen resource mobilization for basic urban services for normative and country level work.
- Complete the activities initiated in 2011, including:
  - a) the European Investment Bank-supported formulation study for up-scaling the Lake Victoria Water and Sanitation Initiative.
  - b) Complete climate change vulnerability assessment and adaptation planning for Kathmandu Valley.
  - c) Expand cooperation and partnership with government and educational institutions.
  - d) Complete implementation of roll-out phase 1 of MEK-WATSAN, and resource mobilise to launch Roll-out Phase 2.
- Focus on capacity building of government counterparts (continue capacity building activities, including but not limited to the following: project management, financial management, operations and maintenance).



## e) FA5: Human settlements finance systems, including ERSO

<b>Strategic result:</b> Increased sustainable financing for affordable and social housing and infrastructure	
<b>Expected Accomplishment 1:</b> Financing raised for affordable and social housing stock and related infrastructure	
<b>Expected Accomplishment 2:</b> Increase in activities in municipal finance and affordable housing finance	
<b>Indicator of achievement</b>	<b>Progress/accomplishments</b>
<p>a) <i>Value of commercial loans, government subsidies and donor grants made available for affordable housing, upgrading and basic infrastructure in targeted countries and communities</i></p> <p><i>Baseline: 2009: USD 1,840,000</i></p> <p><i>Targets: 2010-2011: USD 6,714,084;</i></p>	<p><b>a)</b></p> <p><b>Achievements</b></p> <ul style="list-style-type: none"> <li>Two financial services programmes, revolving loan fund of the Experimental Reimbursable Seeding Operations (ERSO) and a grant programme of the Slum Upgrading Facility (SUF) were used to fulfill the expected accomplishments of FA 5. The total funds received was USD 3,629,597 million and USD 19,233,000, respectively.</li> <li>ERSO was implemented on a pilot basis in Nepal, Occupied Palestinian Territories, Nicaragua, Tanzania and Uganda. Loans were disbursed as follows: 1) USD 250,000 (in local currency equivalent) to Habitat for Humanity International, Nepal; 2) USD 1,000,000 (in USD) to The Palestinian Affordable Housing Association in the Occupied Palestinian Territories; 3) USD 500,000 (in USD) to PRODEL in Nicaragua; 4) USD 500,000 (in local currency equivalent) to AZANIA Bank in Tanzania; 5) USD 500,000 (in local currency equivalent) to DFCU Bank in Uganda.</li> <li>Monitoring reports indicate that all five loans are performing to schedule (100% repayment to date). About USD 300,000 has been received from loan repayments to date.</li> <li>Low income households directly benefiting from experimental reimbursable seeding operations increased from 800 to over 8000 by December, 2011. In <b>Nepal</b>, to-date 962 families have achieved new or improved houses. In <b>Nicaragua</b>, with a loan of USD 500,000, a further USD 3 million was leveraged for two purposes: i) incremental housing improvement loans programme through which 2,320 families have received loans and ii) Municipal Infrastructure Improvements which supported 8 infrastructure improvement projects and have been concluded successfully. An estimated 5,152 families have benefitted.</li> <li>An independent evaluation conducted in 2011, at the end of the four-year experimental phase, proposed options for the future of the programme that were considered at the 23<sup>rd</sup> session of the Governing Council, which requested the Executive Director, building on the lessons learned from ERSO, to shift the focus of the work of UN-Habitat in the area of human settlement financing towards its normative approaches to the urban economy and the promotion of finance for urban upgrading, housing and basic services.</li> <li>UN-Habitat is in the process of identifying a suitable partner with expertise in lending and loan management to handle the operational aspects of ERSO.</li> <li>Based on the findings and lessons learned from the evaluations of both the loan programme (ERSO) and the grant based programme (SUF), regarding UN-Habitat's areas of strength, the Executive Director decided to end the slum Upgrading in December 2011. However, the slum upgrading activities within UN-Habitat programmes will continue.</li> </ul>

*(b) % of housing loans by domestic banks and micro-finance institutions going to lower-income deciles and / or people with informal incomes.*

*Baseline: 2008-2009: N/A*

*Targets: 2010-2011: 5% of housing loans*

*Funding raised and leveraged for municipal finance for affordable housing and basic infrastructure*

*Baseline: 2008-2009:*

*Targets: 2010-2011: USD 6,586,438*

#### **b)**

- In **Sri Lanka**: through SUF, two new projects (Rathnapura and Nuwara Eliya) have secured commercial finance in the amount of \$76,000 from Hatton National Bank for the incremental improvement of 80 homes (reaching approximately 400 people). These are the first projects in Sri Lanka with financing from Hatton National Bank (the two original projects obtained financing from HSBC and the Regional Development Bank).
- In **Indonesia**, a National Law on Housing "The New National Housing Finance Liquidity Facility for Non-Fixed and Low Income Communities (FLPP) in Indonesia to be established" was passed, which provides for decentralization of housing to the local governments. It builds on the SUF model. This law provides housing credit guarantee or insurance to access local financial institutions for housing loans (Law 1 year 2011, Article 126).
- **Indonesia**: A new National Agency for Housing Fund as the Ministry's Public Service Body (BLU-PPP) was established in July 2011 to provide almost half of market interest rate for low income housing development for the whole period of tenure. Further, a task force was established by the Ministry of Housing in October 2011, and given a budget to prepare a national regulation on consumer-driven and community-based housing financing.
- **Cambodia**: HPM in collaboration with Urban Poor Development participated in the establishment of pro-poor financing mechanism to ensure the affordability of low cost housing.

### **Expected Accomplishment 2: Increase in activities in municipal finance and affordable housing finance**

*(a) Funding raised and leveraged for municipal finance for affordable housing and basic infrastructure*

*Baseline: 2008-2009:*

*Targets: 2010-2011: USD 6,586,438*

#### **Achievements**

- During the four-year ERSO field-test which ended in April 2011, UN-Habitat raised USD 3,629,597 of which USD 2.75 million was disbursed as loans.
- In **Indonesia**, SUF has concluded in supporting the set up of urban service delivery organization under the municipality of Solo to provide a start-up capital and catalyst for housing finance and infrastructure investment to attract private sector investment. Further, through BLU-PPP, the MoH has allowed deployment of state money and public funding for affordable housing in a transparent and accountable way.
- In **Nicaragua**, UN-Habitat has provided innovative technical assistance and capacity building to partners to develop new approaches to municipal funding of basic infrastructure for low income neighbourhoods. For example through PRODEL, an NGO that provides secondary lending to local microfinance institutions to support microfinance housing loans and infrastructure finance to medium-sized cities in Nicaragua and Central America.

### **Challenges and threats**

- Donor commitment in human settlement financing is not predictable, making it difficult to undertake proper long-term planning and target setting.
- Links of human settlement finance systems with other UN-Habitat activities are currently weak.
- The operational platform for lending within UN-Habitat is not sufficiently robust to administer loans and scale up the programme.
- The political situation in the Occupied Palestinian Territories is still unstable and makes it difficult to predict the pace of implementation and absorption capacity of the project funds.

#### **Next steps – priorities for 2012**

- Implement the Governing Council resolution on ERSO
- Development of an internal strategic plan and proposal on the operational platform that is necessary to efficiently run housing finance in and with UN-Habitat.
- Providing adequate administrative support to the outstanding ERSO loans so as to maintain 100% repayment schedule.
- Results of both SUF and ERSO projects should be documented and share experience on innovative financial mechanisms with other UN agencies and Habitat Agenda partners.

## f) FA 6: Excellence in management

**Strategic result:** UN-Habitat delivers MTSIP planned results effectively and efficiently

**Expected Accomplishment 1:** Staff are empowered to achieve planned results

Indicator of achievement	Progress/accomplishments
<p>(a) Percentage of staff whose skills set are aligned with their MTSIP compliant job description</p> <p>Baseline 2009</p> <p>Target 2011: 100%</p>	<p><b>Achievements</b></p> <p><b>a)</b></p> <ul style="list-style-type: none"> <li>The alignment of staff skills with the MTSIP stood at 99% by the end of 2011. The anticipated review of job descriptions to align the remaining 1% with the MTSIP however was postponed due to the organisation review and will resume in January, 2012. A revised skills inventory was introduced to reflect the additional new priorities of the organisation and over 90% of staff participated. The inventory is being used to identify the range of skills and experience as well as the gaps in needed skills.</li> <li>Staff empowerment through skills development and training programmes was a key area of improvement during 2011 with a growing number of staff expressing interest and participated in different training workshops. About 40 staff were trained in various aspects of administration. In the Women in Leadership course, 38 women were trained while 45 staff underwent the Competency-Based Interviewing Skills training and Performance Management. About 50% of eligible staff took the previously referenced UN Programme: <i>Management Development Programme</i>.</li> </ul>
<p>(b) Percentage of staff reporting improved information and knowledge sharing</p> <p>Baseline October 2009: Score: 2.5 (57.9% of staff reported improved knowledge sharing over the last 12 months)</p> <p>Targets: 2011: 2.6;</p>	<p><b>b)</b></p> <ul style="list-style-type: none"> <li>The staff survey to capture specific data on this indicator was postponed to 2012. However, there has been notable improvement in internal information and knowledge sharing using: the new intranet (Habnet), the re-designed website, <a href="http://www.unhabitat.org">www.unhabitat.org</a>, directors meetings, senior managers meetings, as well as divisional and focus area retreats. Other platforms included the monthly staff newsletter "What's Up" and the Executive Directors Blog are used to update staff on new developments within the organization.</li> <li>Implementaion of the Knowledge Management Strategy commenced in 2011 to support results based management. A major achievement on knowledge sharing during 2011 was the succesful introduction of the Urban Gateway which has attracted about 1,000 users and has over 3,000 documents on a wide range of aspects of sustainable urbanization shared by a wide range of stakeholders.</li> </ul>

<p><i>(c) Reduction in time spent of completion of selected business processes complying with rules and quality standards</i></p> <p><i>Average time Programme Review Committee review</i></p> <p><i>Baseline 2008: 9</i></p> <p><i>Targets 2011: 8;</i></p> <p><i>Average time for IT procurement:</i></p> <p><i>2009: 67 days ( within UN-Habitat and 63 days in UNON)</i></p> <p><i>Targets: 2011: 40 days;</i></p> <p><i>Average time for approval of Cooperation Agreement</i></p> <p><i>Baseline 2009: 11.6 days</i></p> <p><i>Target 2011: 10 days.</i></p> <p><i>Average selection time of UN-Habitat recruitments</i></p> <p><i>December 2009: 178</i></p> <p><i>Targets: 2011: 150;</i></p>	<p><b>c)</b></p> <ul style="list-style-type: none"> <li>• Initiatives introduced in 2010 and early 2011 have continued to improve business processes by reducing transaction time and costs and further refinements to these initiatives were undertaken during the reporting period as indicated below. Lessons learned from the organizational review are also being harnessed in redefining ongoing business process improvements which position the organization well for further progress in this critical area.</li> <li>• The average time for programme review committees to appraise and have projects approved improved slightly in 2011 to 8 days, down from 9 days in 2010.</li> <li>• The average procurement time for IT equipment has reduced significantly to 20 days by December 2011 from 21 days in 2010. This is attributed largely to the standardisation of equipment specification and the establishment of long term agreements with key suppliers that were introduced in 2011.</li> <li>• The Quarterly Travel Planning System incorporated into the 2011 annual plans saved travel time.</li> <li>• For cooperation agreements, the average time taken for approval of 90% of cooperation agreements is 8 days, exceeding the target of 10 days set for 2011. In addition, all Cooperation Agreements have been converted to protected E templates with formulas introduced to automatically replicate key data across the forms.</li> <li>• The average time for recruitment is 170, i.e. above the target of 150 days, by the end of 2011. This is attributed to the phasing out of Galaxy and introduction of INSPIRA, a new recruitment tool that the managers and staff are still learning to use.</li> </ul>
<p><b>Expected Accomplishment 2:</b> Institution aligned to deliver MTSIP results</p>	
<p><i>(a) Percentage of staff reporting</i></p> <p><i>increased horizontal collaboration (inter-divisional, inter-focus area)</i></p> <p><i>Baseline October 2009: 2.5 (65% reported improved collaboration across units and divisions and 61% reported improved that collaboration between Headquarters and out posted offices over the last 12 months).</i></p> <p><i>Targets 2011:2.7</i></p>	<p><b>Achievements</b></p> <p><b>a)</b></p> <ul style="list-style-type: none"> <li>• The staff survey to capture specific data on this indicator was postponed to take into account the outcome of the organisational review which is now completed and the survey will be done in 2012.</li> <li>• Through the extensive consultative organizational review process and the new MTSIP (2014-2019) development participatory process, staff collaboration across the organization was strengthened. Regular updates by the Executive Director through the town hall meetings also contributed to the</li> </ul>

*(b) Number of key restructuring decisions implemented as recommended by organizational review*

*Baseline: organizational not yet complete*

*Target 2013: 100%*

## b)

- The completion of the organizational review that aligns the structure with the focus areas of the MTSIP took into account six key recommendations of the MTSIP Peer Review on: establishment of an organizational structure to better achieve results within priority areas (Recommendation 1); Establishment of a unified planning, monitoring and reporting function (Recommendation 2); Transparent definition of programme priorities (Recommendation 3); Establishment of an independent evaluation function (Recommendation 5); Establishment of cooperation mechanisms at all levels (Recommendation 6); Strengthening the programmatic aspects while continuing with institutional reform (Recommendation 8); and Intensification of efforts to raise the organization's profile (Recommendation 9).
- The CPR, at its 41st Regular Session on June 22nd 2011 set up an Open Ended Consultative Group to work on the terms of reference for phase III and establish a methodology and a timeframe for the Governance. The T.O.R were endorsed by the Regular Session of the CPR on December 15th 2011 to guide the governance review process.
- In June 2011, the CPR approved a roadmap for the preparation of the Strategic Plan for 2014-2019. It also created an Open-ended Contact Group on Preparation of the Strategic Plan for 2014-2019. The draft results framework was presented to the CPR at its meeting of 15 December 2011, at which the Open-ended Contact Group was empowered to finalize Parts 1 and 2 of the proposed Strategic Plan by early February 2012, so as to enable the preparation of the biennial Strategic Framework for 2014-2015 by 17 February 2012. A draft of Part 3 of the Strategic Plan will be ready by the end of July 2012.

## Expected Accomplishment 3: RBM principles applied

*(a) Percentage of programmes and projects that are contributing to focus area results*

*Baseline: 2008-2009: 95%*

*Targets: 2011: 98%;*

## Achievements

### a)

- There is overall improvement in programmatic alignment, coherence and results focus. This is evident from the quality of project documents which require less revision than before, especially the logframes and was noted in an internal assessment carried out in May 2011. The number of programmes and projects contributing to MTSIP focus area and work programme results increased from 97% in 2010 to 98% in 2011. This was verified by an internal assessment carried out in April 2011.
- In terms of results-based planning, for the first time in the course of the MTSIP, the biennial work programme and budget for 2012-2013 is fully aligned to MTSIP results framework. It was informed by lessons learnt from monitoring and evaluation findings. The document which was approved by the General Assembly in December 2011 will drive UN-Habitat's work this biennium.
- The MTSIP reporting are more results focused and include resource allocation and utilization; thus, linking resources and achieved results. Reporting will be better harmonized starting from 2012 as the biennial work programme is now fully aligned to the MTSIP results framework. MTSIP reporting to donors and the CPR has also been harmonized as the main development partners have agreed to adopt the reports submitted to the Governing body for their accountability requirements.

	<ul style="list-style-type: none"> <li>UN-Habitat staff have improved knowledge skills, and capacity to apply RBM in their work through the RBM training given to staff at all levels during 2011, as evidenced by improved quality of project documents submitted to the PRC. As well as from the active engagement of staff in the development of the six year strategic plan for 2014-2019. Over 80 staff underwent RBM training in 2011 making a total of over 300 staff members in the last two years.</li> <li>Seven evaluations were completed in 2011. Evaluations in UN-HABITAT are conducted based on UNEG's norms and standards for evaluations in the UN system. There has been notable progress in the implementation of evaluation recommendations, ensuring that evaluation information informs management decision making and performance improvement. For example, the MTSIP Peer Review recommendations were the basis for the major organizational review and restructuring decisions that have been implemented recently which include the establishment of an Independent Evaluation Unit. Findings and recommendations from the ERSO and SUF evaluations informed the management decisions with regard to shift in strategy and future areas of Focus Area 5.</li> </ul>
<p><i>(b) Willingness to be held accountable for MTSIP results (1-4 scale):</i></p> <p><i>Baseline 2009: 2.8</i></p> <p><i>Targets: 2011: 2.9</i></p>	<p><b>b)</b></p> <ul style="list-style-type: none"> <li>Specific indicator information on willingness to be held accountable for MTSIP results will be available when the staff survey will be conducted in 2012. However, staff are increasingly willing to be accountable for results for MTSIP results. Institutionally, structures have been created, including the MTSIP steering Committee, Task Forces on all thematic areas of the MTSIP, programme review committees at headquarters and at the regional offices, and focal points for MTSIP reporting etc. Monitoring and evaluation culture is improving and this is contributing to learning as well as accountability.</li> <li>At personal accountability, the responsibilities of individual staff members are defined in their job descriptions and in their EPAS plans. There is a shared understanding that MTSIP has created more enthusiasm and commitment among staff and reduced internal barriers through better collaboration and greater focus on shared results of MTSIP.</li> </ul>
<p><b>Expected Accomplishment 4:</b> Financial resources to deliver MTSIP results available</p>	
<p><i>(a) Degree to which resource targets for non-earmarked and earmarked funding are met</i></p> <p><i>Non earmarked</i></p> <p><i>Baselines: 2009: \$21.5 million</i> <i>2011: \$28.5 million</i> <i>Earmarked (million USD):</i></p> <p><i>Baselines: 2009: 99.5;</i> <i>2010: 126; 2011: 126.</i></p>	<p><b>a)</b></p> <ul style="list-style-type: none"> <li>As of 31 December 2011, USD37 million had been received for non-earmarked funds, which is about 65% of the target of USD57million for the biennium 2010-2011.</li> <li>For earmarked resources, USD371million had been received during the 2010-2011 biennium, which exceeds the biennium target of USD252million by 47%.</li> <li>With regard to resource mobilization, efforts have focused on putting systems in place and providing required information to support diversification and increase in funding. During 2011, the following was achieved:</li> <li>A new edition of the catalogue UN-Habitat Products and Services was issued and launched at the 23rd Session of the Governing Council with a more results-oriented text, success stories and financial information.</li> <li>The first portfolio review ever done in the agency was finalized assessing the financial and thematic characteristics of all UN-Habitat's programmes and projects. This informed the organizational review, and facilitated the consolidation of projects and programmes for the new project-based management approach;</li> <li>Joint annual consultations with development partners have proved to a valuable strategy that contributes to alignment of resources and delivery of MTSIP results as well as harmonization of reporting. Cooperation agreements with Norway and Sweden for 2012-2013 were finalized in 2011.</li> <li>Enhanced and maintained internal "Donor Information System", regularly developing donor profiles. As of 30 November 2011, DIS gets on average 24 hits daily. Out-posted staff are able to access DIS through Citrix.</li> </ul>



	<ul style="list-style-type: none"> <li>New communications and fundraising tools have been developed to harmonize resource mobilization and support staff to raise funds for their programmes. These include Statement of Positioning Strategy, Statement of Messaging Strategy, Donor website, Short Q&amp;A, Master brochure, E-letter template, Donors' Powerpoint, Video outline, and Guidance note on emerging donors.</li> </ul>
<p><i>(b) Percentage of (earmarked/ non-earmarked) resources allocated to MTSIP focus area priorities</i></p> <p><i>Baseline 2008/2009: 61% (earmarked) / 80% (non-earmarked).</i></p> <p><i>Targets: 2010/2011: 74% (earmarked) / 100% (non-earmarked)</i></p>	<p><b>b)</b></p> <ul style="list-style-type: none"> <li>For the current biennium, 2010-2011, significant progress has been made in the allocation of resources. Overall assessment indicates that 100% of both the non-earmarked resources and the earmarked resources have been allocated to MTSIP focus areas priorities.</li> <li>The organization continued to improve systems and capacity aimed at improving the efficiency and accountability in the management of its financial resources. During the reporting period, the following steps were undertaken:</li> <li>Project Accrual Accountability System ("PAAS") is currently in the procurement process. The system, once procured and implemented, will support the project based organization structure, bring the disjointed corporate systems together, provide a solid basis for result based management, and improve the financial management as well as transparency.</li> <li>The Grant Management Information System ("GMIS") has been enhanced to support the new organization structure before final implementation of PAAS. The enhanced system fully supports the tracking and reporting of contributions and expenditures of programmes and projects in accordance with the MTSIP framework.</li> <li>A cost allocation and recovery policy has been developed. The policy gives guidance on the attribution of costs incurred by UN-Habitat as accurately as possible. It contributes to UN-Habitat's goal of enhancing transparency, efficiency and accountability in the attribution and management of its financial resources.</li> </ul>

### Challenges

- The phasing out of Galaxy meant an erratic availability of the recruitment tool, with managers unable to access their vacancies for processing for extended periods.
- UN-Habitat's systems for effective monitoring and reporting of programmes and projects during their implementation and completion phases need to be strengthened.
- There is a need to increase systematic use of lessons learned from monitoring and evaluation to improve to inform strengthen a culture of information use to fine-tune current interventions and inform future programming in the organization.
- Establishing a culture of results takes time and effort because it is about change of attitude and behaviour. More resources must be invested in continuous training in RBM.
- UN-Habitat needs to strengthen its systems for effective monitoring and reporting at programmes and project level during implementation and completion phases.
- Coupled with multiple stakeholder reporting needs, UN-Habitat is still not adequately reporting its achievements on the ground (telling a good story)
- Demonstrating and attributing the results of UN-Habitat's intervention is difficult, especially for higher level results where there are and under 'Delivering as One' and yet this is the focus of the donor community.
- Establishing baseline data for new projects and programs is still a huge challenge across the agency

### Next steps

- Further enhancements to the budgeting tool to allow systematic distribution of resources;
- Review of existing systems to establish a simplified and harmonized cost recovery and resource and cost allocation mechanism, including recommendations on the implementation strategy;
- A RBM capacity assessment to be conducted that will inform future organizational capacity building activities in RBM.
- Development of a biennial strategic framework for 2014-2015 that is fully aligned to the six year strategic plan for 2014-2019.
- Implement the change management strategy as part of the organizational alignment.
- Implementation of a standard project management tool/methodology to optimize the success of the organization review/reform process

<b>Goal</b>	Sustainable urbanization created by cities and regions that provide all citizens with adequate shelter, services, security and employment opportunities regardless of age, sex, and social strata
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**MTSIP Strategic Result** Sustainable urbanization principles drive policy and practice

Indicators

- a) *Proportion of urban population living in slums in developing regions*
- b) *Percentage access to piped water and sanitation services in developing regions*
- c) *Percentage access to durable housing and sufficient living area in developing regions*

<b>Focus Area Strategic Results</b>	1 Improved sustainable urbanization policies from local to global levels adopted	2 Inclusive urban planning, management and governance (UPMG) improved at national and local levels	3 Improved access to land and housing	4 Expanded access to environmentally sound basic urban infrastructure services with a special focus on the unserved and under-served populations	5 Increased sustainable financing for affordable and social housing and infrastructure	6 UN-Habitat delivers MTSIP planned results effectively and efficiently
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<b>Expected Accomplishments</b>	1.1 Improved awareness of sustainable urbanization issues at the local to global levels	2.1 Improved policies, legislation and strategies support inclusive UPMG	3.1 Improved land and housing policies implemented	4.1 An enabling policy and institutional frame-work promotes expanded access to environmentally sound urban infrastructure and services	5.1 Financing raised for and increases recorded in affordable and social housing stock and related infrastructure	6.1 Staff are empowered to achieve planned results
	1.2 Habitat Agenda partners actively participate in the formulation of sustainable urbanization policy	2.2 Strengthened institutions promote inclusive UPMG	3.2 Security of tenure increased	4.2 Increased institutional efficiency and effectiveness in the provision of basic urban infrastructure services	5.2 Increase in activities in municipal finance and affordable housing finance (globally, excluding OECD countries)	6.2 Institution aligned to deliver MTSIP results
	1.3 Monitoring of sustainable urbanization conditions and trends improved	2.3 Improved implementation of inclusive UPMG	3.3 Slum improvement and prevention policies promoted	4.3 Enhanced consumer demand for efficient and environmentally sustainable basic urban infrastructure and services	6.3 Results-based management principles applied	6.4 Financial resources to deliver MTSIP results available

# Focus Area 1

Effective advocacy, monitoring and partnerships  
Results framework

<b>Goal</b>	Sustainable urbanization principles drive policy and practice		
<b>Strategic Result</b>	Improved sustainable urbanization policies from local to global levels adopted		
<u>Indicators</u>	a) <i>Degree to which UN-Habitat is viewed as a premier reference centre for urban trends and issues</i>		
<b>Expected Accomplishments</b>	1 Improved awareness of sustainable urbanization issues at the national and global levels	2 Habitat Agenda partners (HAP) actively participate in the formulation of sustainable urbanization policy	3 Monitoring of sustainable urbanization conditions and trends improved
<u>Indicators</u>	a) <i>Number of media articles and on Flagship reports and World Habitat day</i>  b) <i>Number of downloads from UN-Habitat website</i>  c) <i>Number of countries that celebrate World Habitat Day</i>  d) <i>Number of countries with National Habitat Forums</i>	a) <i>Number of partnerships (by category) contributing to sustainable urbanization</i>	a) <i>Number of operational urban observatories (national/local)</i>
<b>Sub-Expected Accomplishments</b>	1.1 Effective dissemination of evidence-based knowledge on urban issues  1.2 Expanded use of evidence-based knowledge in education	2.1 Improved awareness increase HAP participation  2.2 HAP commit to agreed norms and principles for sustainable urbanisation  2.3 HAP capacity in monitoring government policy and implementation strengthened	3.1 Increased capacity for implementation of urban monitoring systems  3.2 Increased demand for evidence-based knowledge in policy making and practice, including sex- and age disaggregated data

# Focus Area 2

Promotion of Participatory Planning, Management & Governance  
Results framework

<b>Goal</b>		Sustainable urbanization principles drive policy and practice		
<b>Strategic Result</b>		Inclusive urban planning, management and governance (UPMG) improved at national and local levels		
<u>Indicators</u>		a) <i>Number of countries promoting comprehensive UPMG, including the economy, ecology and equity dimensions of sustainable urbanization</i> b) <i>Number of crisis-prone and post-crisis cities in affected countries integrating risk- and vulnerability-reduction programming in UPMG systems</i>		
<b>Expected Accomplishments</b>		1 Improved policies, legislation and strategies support inclusive UPMG	2 Strengthened institutions promote inclusive UPMG	3 Improved implementation of inclusive UPMG
<u>Indicators</u>		a) <i>Number of countries whose policies, legislation and strategies incorporate sustainable urbanization principles</i> b) <i>Number of crisis-prone and post-crisis countries whose UPMG policies, legislation and strategies incorporate urban risk- and vulnerability-reduction measures</i>	a) <i>Number of institutions in targeted countries that actively promote sustainable urbanization dimensions.</i>	a) <i>Number of cities implementing inclusive UPMG</i>
<b>Sub-Expected Accomplishments</b>		1.1 Improved policy analysis 1.2 Policy advocacy improved, including through Campaign (see FA1) 1.3 Increased application of best policy practices 1.4 Effective policies and strategies related to UPMG, including in crisis-prone and post-crisis human settlements contexts	2.1 Strengthened organisational structures and processes for UPMG 2.2 Improved competencies and enhanced base of human resources for UPMG 2.3 Improved development of, access to and application of tools for UPMG	3.1 Improved inclusive action planning 3.2 Enhanced strategic partnerships for UPMG 3.3 Improved management of financial resources for UPMG 3.4 Improved capacity to apply UPMG, including in crisis-prone and post-crisis human settlements contexts

# Focus Area 3

Promotion of pro-poor land and housing  
Results framework

<b>Goal</b>	Sustainable urbanization principles drive policy and practice					
<b>Strategic Result</b>	Improved access to land and housing					
<u>Indicators</u>	a) <i>Increased number of countries implementing policies to improve access to land and housing, including crisis affected countries</i>					
<b>Expected Accomplishments</b>	1	Improved land and housing policies implemented	2	Security of tenure increased	3	Slum improvement and prevention policies promoted
<u>Indicators</u>		<i>Number of countries implementing improved policies</i>	a)	<i>Number of countries implementing policies to improve security of tenure, including measures to reduce forced evictions</i>	a)	<i>Number of countries implementing slum prevention and improvement policies</i>
<b>Sub-Expected Accomplishments</b>	1.1	Govt/HAP knowledge of innovative land and housing policies and programmes improved	2.1	Govt/HAP knowledge of equitable land and housing rights increased	3.1	Govt/HAP knowledge on slum upgrading and prevention improved
	1.2	Govt/HAP capacity to promote hazard-resistant and sustainable housing construction increased	2.2	Govt/HAP capacity to achieve equitable land and housing rights strengthened	3.2	Govt/HAP capacity to develop slum upgrading and prevention policies and strategies strengthened
	1.3	Govt/HAP capacity to implement land and housing policies increased	2.3	Govt/HAP capacity to effectively address housing, land and property in crisis-prone and post-crisis contexts increased	3.3	Govt/HAP supported in implementing slum upgrading and prevention policies and strategies
			2.4	Govt/HAP utilise alternative approaches to forced evictions		

# Focus Area 4

Environmentally sound basic urban infrastructure and services  
Results framework

<b>Goal</b>	Sustainable urbanization principles drive policy and practice		
<b>Strategic Result</b>	Expanded access to environmentally sound basic urban infrastructure services with a special focus on the unserved and underserved populations		
<u>Indicators</u>	a) Numbers of people in target communities with access to environmentally sound basic urban infrastructure services. b) Percentage of institutional stakeholders reporting positive perception of UN-Habitat's contribution to expanded access for the poor to basic urban infrastructure services in selected communities.		
<b>Expected Accomplishments</b>	1 An enabling policy and institutional framework promotes expanded access to environmentally sound urban infrastructure and services	2 Increased institutional efficiency and effectiveness in the provision of basic urban infrastructure services	3 Enhanced consumer demand for efficient and environmentally sustainable basic urban infrastructure and services
<u>Indicators</u>	a) Number of countries progressively adopting relevant policies that aim to expand access to environmentally sound urban infrastructure and services b) Number of institutions in target countries progressively adopting institutional mechanisms that expand access to environmentally sound urban infrastructure and services	a) Percentage of service providers recovering at least operation and maintenance cost of services b) Percentage of consumers of UN-HABITAT partner service provider organizations reporting satisfaction with services provided	a) Percentage of consumers ranking basic urban infrastructure services in the first three of their priority of needs b) Percentage difference in the price of basic urban infrastructure services paid by the poor vis-à-vis the rest of consumers in selected communities
<b>Sub-Expected Accomplishments</b>	2.1 Strengthened service-provider capacity  2.2 Improved service delivery monitoring mechanisms inform decisions  2.3 Enhanced capacity of service providers to address climate change	3.1 Environmentally sound standards and practices in place  3.2 Enhanced knowledge of consumers on their rights to basic urban infrastructure and services  3.3 Sustainable consumption practices utilised	



# Focus Area 5

Strengthened human settlements finance systems  
Results framework

<b>Goal</b>	Sustainable urbanization principles drive policy and practice	
<b>Strategic Result</b>	Increased sustainable financing for affordable and social housing and infrastructure	
<u>Indicators</u>	a) <i>Increased financing for sustainable and inclusive cities</i> b) <i>Increased number of households with improved housing and infrastructure</i>	
<b>Expected Accomplishments</b>	1 Financing raised for and increases recorded in affordable and social housing stock and related infrastructure	2 Increase in activities in municipal finance and affordable housing finance (globally, excluding OECD countries)
<u>Indicators</u>	a) <i>Value of commercial loans, government subsidies and donor grants made available for projects financing affordable housing, upgrading and basic infrastructure in targeted countries and communities</i>  b) <i>% of housing loans by domestic banks and micro-finance institutions going to lower-income deciles and / or people with informal incomes</i>	a) <i>Level of municipal finance sector activity</i> b) <i>Level of affordable housing finance sector activity</i>
<b>Sub-Expected Accomplishments</b>	1.1 Established sustainable revolving credit and loan facilities  1.2 Local Finance Facilities to facilitate slum upgrading through blended commercial and community finance and partnerships between government, communities and the private sector  1.3 Effective mechanisms for technical assistance to Banks, Microfinance Institutions and community groups in housing finance	2.1 Targeted government programmes to support affordable housing and slum upgrading  2.2 Effective consumer education and protection systems in housing finance  2.3 Catalyzing local Institutions to provide access to financial services and financing of basic infrastructure

**Goal** Sustainable urbanization principles drive public policy and practice

**Strategic Result** UN-HABITAT delivers MTSIP planned results effectively and efficiently

Indicators

- a) *Score on organizational efficiency and effectiveness from staff survey*
- b) *Score on organizational performance from external evaluations*

<b>Expected Accomplishments</b>	1 Staff are empowered to achieve planned results	2 Institution aligned to deliver MTSIP results	3 RBM principles applied	4 Financial resources to deliver MTSIP results available
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<u>Indicators</u>	<ul style="list-style-type: none"> <li>a) <i>Percentage of staff whose skills set are aligned with their MTSIP compliant job description</i></li> <li>b) <i>Reduction in time spent on completion of selected business processes</i></li> <li>c) <i>Percentage of staff reporting improved knowledge and information sharing</i></li> </ul>	<ul style="list-style-type: none"> <li>a) <i>Number of key restructuring decisions implemented as recommended by organizational review</i></li> <li>b) <i>Percentage of staff reporting increased horizontal collaboration</i></li> </ul>	<ul style="list-style-type: none"> <li>a) <i>Percentage of programmes and projects that are contributing to focus area results</i></li> <li>b) <i>Percentage of staff reporting willingness to be held accountable for MTSIP results</i></li> </ul>	<ul style="list-style-type: none"> <li>a) <i>Degree to which resource targets for non-earmarked and earmarked funding are met</i></li> <li>b) <i>Percentage of (earmarked/non-earmarked) resources allocated to MTSIP focus area priorities</i></li> <li>c) <i>Percentage of staff reporting transparency in resource allocation decisions</i></li> </ul>
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<b>Sub-Expected Accomplishments</b>	1.1 Strengthened staff competencies related to the MTSIP 1.2 Knowledge management systems effectively utilised 1.3 Incentive structure for performance in place 1.4 Delegation of authority within an accountability framework 1.5 Efficient business processes applied	2.1 Rationalised organisational structure 2.2 MTSIP focus area result delivery system operational	3.1 Programmes derived from MTSIP results 3.2 Performance measurement and evaluation informs decision-making and programming 3.3 Quality standards consistently applied in the achievement of planned results	4.1 Effective mobilisation of resources to achieve MTSIP results 4.2 Allocation of resources to MTSIP priority results
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