Evaluation of UN-Habitat's
CITY PLANNING
& DESIGN STRATEGY
2012 - 2016

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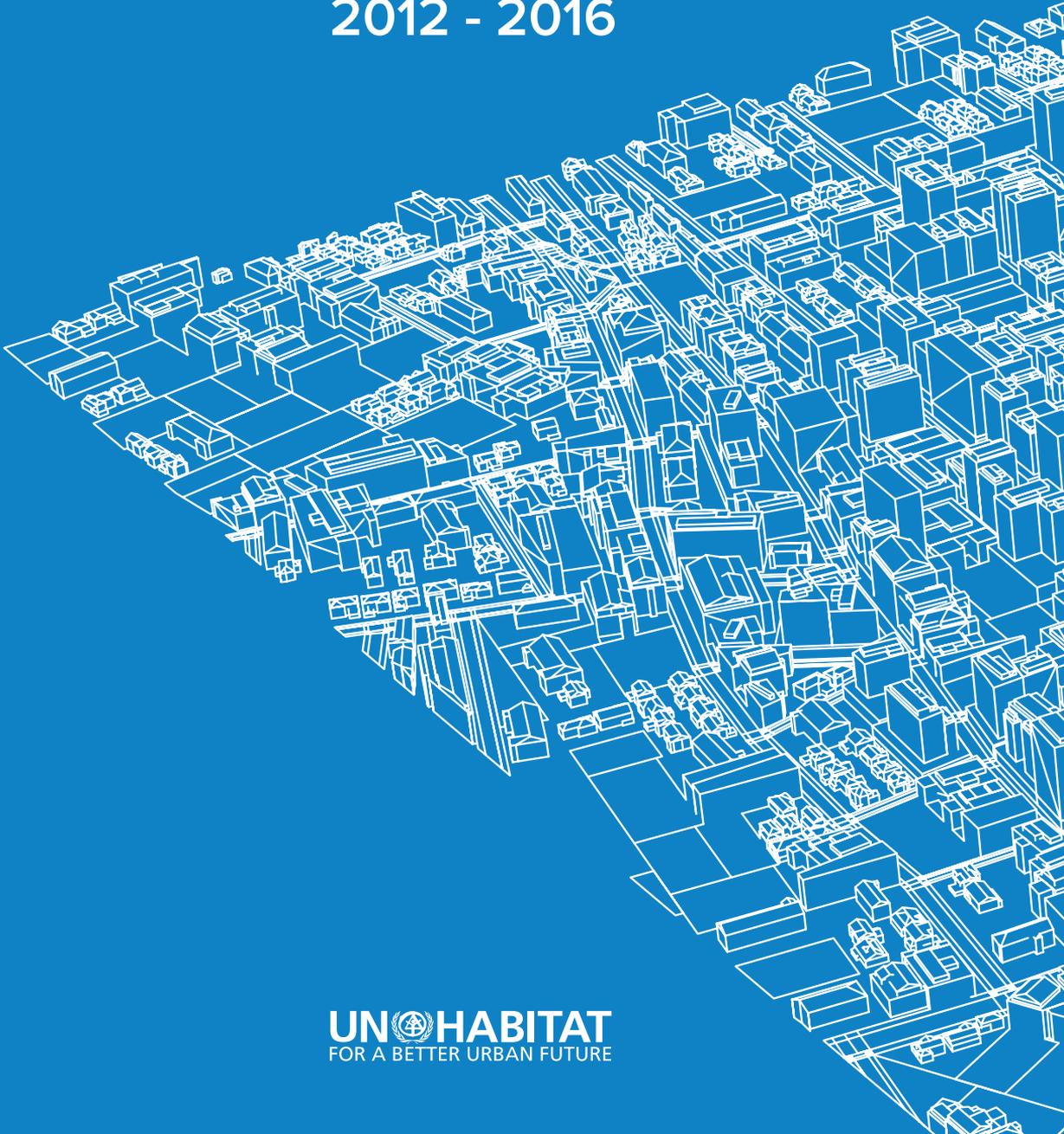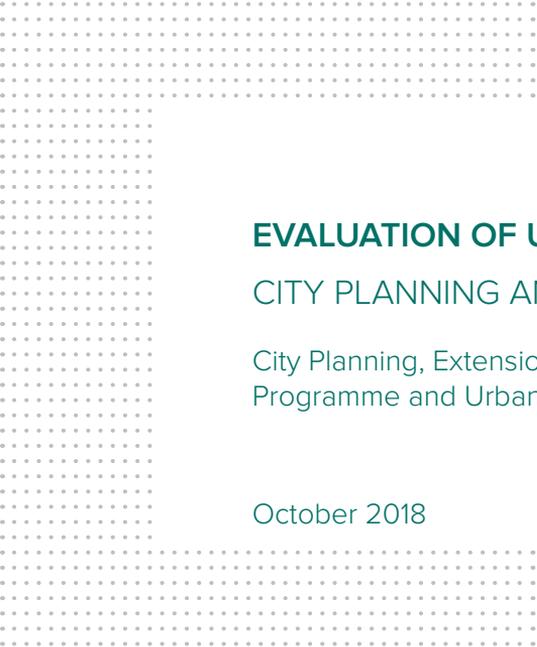
EVALUATION OF UN-HABITAT'S

CITY PLANNING AND DESIGN STRATEGY (2012 - 2016)

City Planning, Extension and Design Unit and its Public Space
Programme and Urban Planning and Design Lab

October 2018

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FOR A BETTER URBAN FUTURE

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ACKNOWLEDGEMENTS

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ACRONYMS AND ABBREVIATIONS

AFD	Agence Française de Développement
ASUD	Achieving Sustainable Urban Development
CAP	Commonwealth Association of Planners
BWP	Budget and Work Plan
CB-KMP	Capacity Building for the Kenya Municipal Programme
CCCI	Cities and Climate Change Initiative
CCPU	Climate Change Planning Unit
CIAT	Comité Interministériel d'Aménagement du Territoire (Haïti)
CIUD	Centre for Integrated Urban Development
CO	Country Office
CPEDU	City Planning, Extension and Design Unit
CPI	City Prosperity Initiative
CRPP	City Resilience Profiling Programme
CUF	Caribbean Urban Forum
EA	Expected Accomplishment / Expected Achievement
ED	Executive Director
EGM	Expert Group Meeting
FA	Focus Area
FG	Focus Group
GPN	Global Planners Network
GPSP	Global Public Space Programme
GC	Governing Council
HLE	High level Panel Evaluation (2017)
HPF	Habitat Professionals Forum
HSUB	Housing and Slum Upgrading Branch
HQ	UN-Habitat Headquarters
IFHP	International Federation for Housing and Planning
IG-UTP	International Guidelines on Urban and Territorial Planning
IHA	In House Agreement
IMDIS	Integrated Monitoring and Documentation Information System
INU	Istituto Nazionale di Urbanistica (Rome)
ISOCARP	International Society of City and Regional Planners
ISUD	Integrated Strategic Urban Development
JICA	Japan International Cooperation Agency
JKUAT	Jomo Kenyatta University of Science and Technology
KII	Key Informant Interview
KMP	Kenya Municipal Programme
KSA	Kingdom of Saudi Arabia
LAB	Urban Planning and Design Lab
LAC	Latin America and the Caribbean

M&E	Monitoring and Evaluation
MESN	Mumbai Environment and Social Network
MOU	Memorandum of Understanding
MTSIP	Medium Term Strategic and Institutional Plan
NUA	New Urban Agenda
NUP	National Urban Policy
PAAS	Project Accrual and Accountability System
PCE	Planned City Extension
PSUP	Participatory Slum Upgrading Programme
RBM	Results Based Monitoring
RCDB	Research and Capacity Development Branch
RMPU	Regional and Metropolitan Planning Unit
RO	Regional Office
ROAF	Regional Office for Africa
ROAP	Regional Office for Asia-Pacific
ROAS	Regional Office for Arab States
ROLAC	Regional Office for Latin America and the Caribbean
RPP	Rapid Planning Project
RRRB	Risk Reduction and Rehabilitation Branch
RUSPS	Rapid Urban Sector Profiling for Sustainability
SIDA	Swedish International Development Cooperation Agency
SP	Strategic Plan
SDG	Sustainable Development Goal
SUD-Net	Sustainable Urban Development Network
ToC	Theory of Change
ToR	Terms of Reference
UBSB	Urban Basic Services Branch
UCLG	United Cities and Local Governments
UEB	Urban Economy Branch
ULLGB	Urban Legislation, Land and Governance Branch
UNDAF	The United Nations Development Assistance Framework
UNHCR	United Nations High Commissioner for Refugees
UNDP	United Nations Development Program
UPCL	Urban Planning for City Leaders
UPDB	Urban Planning and Design Branch
UTC	Urban Thinkers Campus
UTI	Urban Training Institute
WB	World Bank
WUC	World Urban Campaign
WUF	World Urban Forum

EXECUTIVE SUMMARY

This evaluation appraises the city planning and design strategy of UN-Habitat's City Planning, Extension and Design Unit (CPEDU), including the Global Public Space Programme (GPSP) and the Urban Planning and Design Lab (LAB). The Unit is responsible for meeting the Expected Accomplishment (EA.2.2) of Focus Area 2 (FA 2), which is part of UN-Habitat's current Strategic Plan 2014-2019. EA.2.2 seeks to attain "Improved policies, plans and designs for compact, integrated and connected cities and neighbourhoods adopted by partner cities."

The overall goal of this evaluation is to provide a forward looking assessment of CPEDU's work in the key arenas of city planning and design and public space, as well as the normative and operational capacity of the Unit, and identifying CPEDU's progress and its potential in the implementation of the New Urban Agenda (NUA) and the Sustainable Development Goals (SDGs), more specifically SDG11. The evaluation aims to contribute to the formulation of CPEDU's strategy in the forthcoming Strategic Plan 2020-2025. The assessment addresses both completed and ongoing activities and reflects on the outcomes and impacts of the Unit's activities since its creation in 2012 until 2016. Key documents for the evaluation assessment are the Medium Term Strategic and Institutional Plan (MTSIP) 2008-2013 and the Strategic Plan (SP) 2014-2019.

The evaluation provides feedback, strategic inputs and learning opportunities for the project team and their partners. It also seeks to contribute to the dissemination of lessons and achievements to all project stakeholders: target beneficiaries, government bodies, donors, partners, project teams, UN-Habitat management and colleagues, as well as any other interested parties.

The approach employs multiple methods to benefit from the triangulation of results. These include review of project documents and selected normative outputs, key informant interviews, online surveys and field visits to projects in several continents. It covers a wide sample of CPEDU's work across the five categories of outputs (normative material, pilot projects, advisory services, capacity building, communication and advocacy). A matrix of 73 questions was organised around six main evaluation criteria and one additional benchmark: 1. Relevance, 2. Effectiveness, 3. Efficiency, 4. Impact outlook, 5. Sustainability, and 6. Partnerships, and Cross cutting issues.

The evaluation process encountered certain limitations such as how to assess impact since field interventions are relatively recent, attributing observable effects exclusively to CPEDU given that the intervention system of a city is relatively complex, or evaluating the period between 2012-2013 as clear targets and indicators were lacking in the MTSIP 2009-2013.

MAIN FINDINGS

Level of achievement

The evaluation found that CPEDU has achieved the Expected Accomplishment EA2.2 in the specified evaluation period and is on target for attaining the biannual target for 12/2017. By the end of 2016 at least 40 partner cities had adopted policies, plans and designs towards sustainable urban development. It is highly likely that, by the end of 2017, the target of 50 would have been reached. In the period 2012-2017, a total of 290 outputs have been realized. They include:

(1) Field projects, including support to Kalobeyei Refugee Settlement, Johannesburg Spatial Development Framework, Planned City Extension in Ghana (Ningo Pram Pram), Myanmar, Philippines among others, Urban Restructuring of Caanan settlement in Haiti, support to 17 cities in Saudi Arabia, Kisumu Lakefront Development, Public space interventions in Nairobi, Nepal, Mumbai, Haiti, South Africa, Indonesia etc.

(2) Advisory services in support of planning processes and plan development in Myanmar (development of guidelines), Nairobi (planning policy development), Egypt (new town), Zambia (planned extension), Rwanda (guidelines and intermediate cities planning), Ethiopia (public space), etc.

(3) Technical materials and Non recurrent publications such as Urban Planning for City Leaders, Public Space Toolkit, LAB methodology, Five Principles of Sustainable Neighbourhood Planning booklet, etc.

(4) Expert Group Meetings, Training courses and Special event, including regional training in Asia and in the Caribbean, seminars and training on public space in the Arab Region and at WUF, EGMs on densification, on Planning Lab and on Public Space Toolkit, local level training in Kenya for planners and elected leaders, etc

There is evidence that the Unit is increasingly achieving the two Sub Expected Achievements. Challenges have been identified pertaining to the Assessment Framework of the Strategic Plan 2014-2019 itself such as the lack of reporting of the higher level results at branch level and the absence of specific targets for the LAB and the GPSP.

There is an overall highly satisfactory result on the issue of relevance. The findings reveal that city planning and design strategy and the related approaches are highly relevant to the target groups (national and local government partners and local community beneficiaries), to UN-Habitat's strategy and goals, and to overarching policy frameworks and agendas for achieving sustainable urban development.

The uniqueness of CPEDU's contributions is characterised by its city planning and design approach that is integrated and participatory, while applying the five principles grounded in the New Urban Agenda (compact, connected, integrated, inclusive, resilient), addressing the significant role of public space, and focusing on implementation. In short, CPEDU's work is consistent with the overall mandate and strategy of UN-Habitat, especially in the focus on "implementation", "integrative approaches" and "building on partnerships"

CPEDU's capacity and experience in the implementation of field projects, in integrative methods and in partnerships is of specific relevance for the agency and beyond. The LAB enjoys a reputation of being highly knowledgeable, timely and professional on city planning and design processes and techniques. The GPSP is especially recognized for innovation and high expertise in integration across thematic issues, in participatory design, in quality normative and operational knowledge, and proficiency in working with beneficiaries and target groups, especially women and youth. The advisory services and field projects by CPEDU and its components have succeeded in promoting sustainable urban planning and design in diverse contexts. A potential risk is that CPEDU's proactive approach assumes that positive effects of urban planning and design will "somehow" trickle down "leaving no one behind." However, given the long time frames and complexities of urban planning and design interventions, risks and externalities should be given more attention from the outset.

For CPEDU, capacity building is not a stand alone activity but rather an integrated component in all its operational and normative activities. From Expert Group Meetings, to participatory planning and design processes in field projects, to training, to close supervision, CPEDU outputs enjoy a high reputation for their ability to identify relevant topics, to address diverse target groups, and link knowledge to practice.

The findings indicate a high potential for CPEDU to lead in the promotion of sustainable urban planning and design as well as in the coordination of the implementation of the NUA and the urban SDGs. For that it needs to target a strategic balance between operational and normative work, to be supported by enabling organisational systems and mechanisms, and to reinforce 'learning' as an activity that requires time and resources.

Effectiveness

The evaluation indicates that the extent to which the city planning and design strategy effectively attained its objectives (outputs and outcomes) is satisfactory. Overall, 270 out of 290 outputs (from 2012 to 2017 targets) had been attained by December 2016. A steep rise of GPSP field projects, combined with a continuously growing number of LAB projects led to a 457% increase in operational outputs from 2015 to 2016 (from 38 to 174). However, the declining share of normative outputs poses a potential challenge to the normative mandate of CPEDU, mirroring similar challenges at UN-Habitat. At the same time, it is not clear whether and how the growth of operational outputs can be sustainably maintained.

The appropriateness and feasibility of CPEDU's approach based on the SP 2014-2019 (including a 2017 update) is only partially satisfactory. The assessment deems the extent to which the LAB, has successfully tackled the attainment of results as partially satisfactory. GPSP's intervention accomplishes "implementation" but its attempts to establish "adoption" and then "transformation" were only partially satisfactory. The effectiveness of field projects and advisory planning services, while strong on advocacy and demonstration to partners, are not as strong in regulating and ensuring impact, and on promoting learning (such as feeding into normative and capacity building outputs).

The LAB and GPSP are increasingly addressing certain shortcomings but progress is not yet evident. At the same time, while there is evidence that CPEDU is addressing the two Expected Sub Accomplishments on increased policy dialogue, on the relevance of new and innovative approaches, and on capacity building of city institutions across all of its five types of activities, clear measures for these sub accomplishments are absent.

The factors supporting or constraining effective achievements of results are complex, context dependent and relate to the fact that CPEDU works in an organisational framework necessitating interlinkages and cooperation with other branches and units. It is clearly visible that CPEDU is most fruitful where it works with partners that have been selected through criteria that ensure their shared objectives and commitment and that minimise the larger political risks. Additionally,

strong cooperation with regional and country offices provides it with situated knowledge and expertise. The success is also more likely where CPEDU is a partner of larger projects and initiatives, or fitting in priority Country Programmes, with more financial and political momentum.

Nonetheless various challenges exist. Notable gaps include lack of a strategy on global scaling up, on exiting, and on some relevant issues such as reviewing of existing structures or learning processes. Some challenges arise from ambiguities, such as the qualifiers of a "partner city," the varying scenarios of "adoption," or the measure of "strengthened capacity" and "improved policy."

Challenges also exist related to the overall approach and CPEDU's implicit Theory of Change, especially at the higher levels that are beyond CPEDU's line of control. These require impact monitoring (which CPEDU can start now that several projects have been completed), more focus on medium and long-term operation; a better understanding on local dimensions of institutional planning processes, political economy of planning and dynamics of externalities.

Efficiency

This evaluation observes satisfactory levels of efficiency regarding CPEDU's outputs in general. The efficiency level of delivered products is partially satisfactory while the internal level of organisational efficiency is very high given the resources.

Product efficiency depends on the perspective (efficiency for whom?) and on the time frame, so that observed efficiency can be high in the short term, but more problematic in the medium and long-term. Partnerships and a coherent degree of integration among activities and issues are identified as vital factors of high product efficiency, yet many of CPEDU's activities and outputs, lack consolidation into coherent, high quality normative outputs that would increase visibility, global impact, and the possibility of more core funding.

The efficiency of advocacy, training material and normative tools can be improved by adopting highest quality standards, integration of external knowledge, and the enhanced utilisation of media (website, videos, online courses). Trainings and Expert Group Meetings (EGMs)

have high levels of significance, but could develop further into collaborative knowledge exchange formats.

Planning and advisory services, as well as field projects, present the contrast between high internal efficiency within the unit, and problematic perspectives in the medium and long-term. There are gaps in capturing lessons learnt learning and problematic cooperation with other UN-Habitat branches and programmes, even those working in the same location. At the same time the capacity to fulfil normative mandates is weakened through a deficiency in appropriate funds and human resources.

The internal levels of organisational efficiency are high and CPEDU copes well with systemic constrains such as high levels of bureaucracy and increased levels of non earmarked funding. CPEDU's operational activities are "booming" and its resources and human capacities, while growing, are not growing proportionally. This is addressed through increased organisational efficiency, but also challenging for the team.

Engaging a high number of young consultants promotes cost efficiency, but in the long-term, high turnover rates of staff are costly especially through lost knowledge. CPEDU's methodological knowledge and competences to support an evidence based, context sensitive planning and design process and quality of normative outputs are thus undermined. Knowledge management and learning processes are key to bridging the operational and normative mandates but need organisational support from higher management.

Impact outlook

The finding on impact outlook is satisfactory. CPEDU's activities have achieved, (or are on track to achieving) their results to satisfactory levels. Achievements are still more valid within the boundaries of their own projects, while attaining largescale global impact remains hard to measure. It was too early to demonstrate substantial effects related to urban transformations. Moreover, impact monitoring and discerning lessons learnt are a challenge, as requisite long-term commitment and the respective resources are currently not available. An exceptional global impact that cannot be overstressed is the contribution CPEDU made to the formulation of the NUA

and the SDGs on the role of city planning and design and on public space and its significance.

A large majority of beneficiaries from the samples studied were highly satisfied with the results. It is evident that in many instances the catalytic approach worked and that it led to a change in mindsets, and increasingly in strategies and policies. A large number of beneficiaries have been empowered.

Government officials exhibited higher levels of knowledge and awareness, and community members were enabled to communicate with their governments and planned to share the knowledge with other communities. The majority of the implemented public space projects indicate a potential to generate a higher quality of life. The number of beneficiaries depends on the type of activity. Considering the snowball effect reported in this study, EGMs have likely reached several hundred partners and beneficiaries, while workshops and training events may have reached several thousand beneficiaries.

A large share of local government representatives was engaged in capacity building as a core target group. Training participants most appreciated the new knowledge and EGM participants benefited from the networking opportunities. The field projects could be assumed to have reached several hundred direct beneficiaries and indirectly entire neighbourhoods and city populations. Involving local NGOs and CBOs can be improved as they have high potential in impact monitoring provided vested interests are addressed.

Except for the Urban Planning for City Leaders (UCPL) publication, the small number of downloads for most of CPEDU's online publications, indicates an underutilised opportunity to mainstream the CPEDU city planning and design approach. Furthermore, the opportunity of mainstreaming through a NUA and SDG lens is also not sufficiently exploited. This necessitates more effort in consolidating CPEDU's approach, making more visible its relevance and contribution to the implementation of the NUA and SDG 11, and building the cumulative knowledge, the networks and global platforms into a robust dissemination strategy.

Sustainability

CPEDU's level of achievement on sustainability is partially satisfactory. The strength of the city planning and design approach lies in the ability to implicitly integrate social, economic and environmental aspects, leading to results that are more than the sum of their parts. Sustainability can be linked to success in promoting investments. However, attention is also needed on the potential negative effects of the investments that have been made or that are planned.

An important factor contributing to project sustainability is that beneficiaries are treated as partners. The identification of dedicated and motivated key partners, whether from government or civil society, is a key factor of success. High levels of engagement among the beneficiaries demonstrated by enthusiasm, commitment, motivation and trust, may have succeeded in establishing a sense of ownership. However, the "short contact time," and the reliance on this initial ownership to sustain positive results is contested.

The LAB often succeeded in engaging partner governments and networks of experts, while the GPSP frequently thrived on engaging grass roots beneficiaries. In both cases, there was always an expressed demand for continuity of engagement. A strong role of Regional Offices and Country Offices proved to be vital in promoting sustainability. Effective MoUs and longer, deeper direct supervision and guidance is also proving to be essential.

Substantial scaling up and replication is still in its initial stages, but is increasingly occurring, usually on a foundation of strong partnerships with close support from GPSP and the LAB. The challenge on replication is that autonomous implementation (without CPEDU) of the city planning and design approach has not yet been achieved, and the demand for the kind of services CPEDU offers continues to grow.

The cooperation with universities and members of social movements offers untapped potential in that respect. The LAB has developed and tested an innovative business model that is based on demand from the ground and on

project based funding that has large potential for scaling up and replication. A more challenging area so far has been reaching a critical mass of local experts and diverse partners from civil society. At the same time the GPSP's ability to generate commitment of local government partners varies and requires addressing necessary regulatory changes before exiting a project.

Partnerships and cooperation

The evaluation revealed that CPEDU, the LAB and the GPSP address partnerships at a highly satisfactory level. The experiences on partnerships made in the last four years by CPEDU offer many valuable lessons to UN-Habitat as an agency.

Partnerships, as genuine cooperation without direct financial reimbursement, play a vital role in CPEDU's success. The issue is also embedded in EA2.2 that aims at an increased number of partner cities that adopt plans and policies following UN-Habitat's city planning and design approach. It was observed that CPEDU generally work with their partner cities within a long-term vision, allowing core partners to function as advocates of UN-Habitat's and CPEDU's approach.

Likewise, the evaluation found evidence that CPEDU effectively contributed to strengthening UN-Habitat's ties with national, regional and global professional institutes or associations of urban and regional planners as stipulated by the Strategic Plan.

The partnership related outputs during 2012-2016 have been substantial, achieving and surpassing the targets. Future outputs on supporting partnerships for a global platform on public space and on supporting the global network of planning labs linked to NUA and SDG implementation are highly relevant.

The evaluation examined various types of partnerships and cooperation: intra unit; intra branch; intra UN-Habitat; intra UN; with international multilateral agencies; governments at various levels and their organisations; international NGOs; local CBOs; universities and research institutions, the private sector and donors. Most of these partnerships have achieved satisfactory to highly satisfactory results.

There are a few exceptions where cooperation is not supported by adequate organisational systems, or where there is a misalignment in development philosophies, or poor definition of roles. Partnering with other entities within UN-Habitat is essential for CPEDU to fulfil its integrative approach and strategy. Regional and country offices also play vital roles in generation and dissemination of knowledge, in the coordination and management of interventions, and in acquiring new projects and funds.

Cooperation with other United Nations agencies and aid organisations is effective in some cases, but strong partnerships are still to be forged. Incentives and strategies for cooperation are unclear and, in several instances, coordination among different bodies and agencies that work in the same place is deficient.

The overall successful partnerships with governments still present risks related to political change and to local capacity. In some instances, the GPSP and the LAB work with intermediary organisations, for example, GPSP's partnerships with United Cities and Local Governments.

Partnering with local NGOs and CBOs is vital as they bridge the gap between local government and the community in order to enhance effectiveness, efficiency and sustainability. Most of the NGO's value the partnerships at highest levels, although some criticised the slow reaction time of UN-Habitat's headquarters.

Many good practices, but also further opportunities exist on partnering. The global platform on public space and a global network of urban planning and design labs are proceeding, but both initiatives require more momentum, and high level political and government support.

Partnerships with private sector partners play a unique role, and in many cases the type of partners are also donors. Cooperation with companies such as Projects for Public Space (USA), Arcadis (NL), Mojang (Sweden) and Booyoung (South Korea) contributed to CPEDU's exceptional growth and success. Indeed, the particular experience of CPEDU on private sector partnerships provides an opportunity for learning for the entire agency. Not least, the evaluation observed a rising pertinence of multi-stakeholder partnerships and consortia that may be the trend of the future.

Cross-cutting issues

The evaluation noticed that CPEDU activities handle the cross-cutting issues of gender equality, youth inclusion, human rights and climate change at satisfactory levels, with growing emphasis on climate change. Moreover, the LAB and the GPSP have complementary strengths. GPSP successfully addresses issues of gender equality and youth and LAB addresses the issues of climate change among other the environment issues.

Opportunities comprise: a better definition of human rights issues (including a well defined approach of leaving no one behind), training activities and workshops that include a better gender balance, and more joint projects and publications on city planning and design in combination with one or several of the crosscutting issues.

CONCLUSIONS

Issues of significance – Ten dialectic pairs

A number of issues that are at the centre of CPEDU's work emerge from the evaluation process. These are presented as ten dialectic pairs, not to be understood as alternatives but as connected nodes delineating a strategic space and the zones of negotiation and navigation that continuously help define and organize work, from the project, to the UN level.

1. **Local – Global:** CPEDU generates universal solutions on city planning and design promoting urban sustainability principles that are universal and that can be broadly applied. However, their interventions also need to suit the situation on the ground and be interpreted to suit local contexts. There are significant opportunities for CPEDU to refine their solutions and to contribute to policies and guidelines on a planning and design practice that is adaptive, based on local needs, social cultural values, economic and political context and environmental conditions.

2. **Normative – Operational:** The normative and operational pair presents UN-Habitat's strategy, mandate (and value added) to balance the local and global, so that in an optimal scenario the two sides, normative and operational, nurture each other. However, due to a decline of non earmarked funding, balancing the two sides becomes an increasing challenge. New strategies are needed that promote "closing the loop" through learning.

3. **Specialised – Integrated:** This relates to the productive tension between the need for specialised expertise in order to promote effectiveness and efficiency, versus the need for thematic integration, as the majority of problems require multidisciplinary solutions. It leads to the question what the most optimal blend of specialisation and integration is.

4. **Competition – Cooperation:** Whereas specialisation and integration referred to problem solving skills and themes, the pair of competition and cooperation addresses the organisation of work, promoting effectiveness, efficiency, inspiration and innovation. The issue is pertinent for CPEDU as significant levels of turf struggles and "contest" within the branch, in the agency, and in the field exist, leading to noteworthy levels of inefficiency and fragmentation. The question of whether these reflect a compromise to be made in order to balance effectiveness and innovation, needs to be internally reflected. The same discussion is valid for the issue of coordination, which can be considered the "glue" between the two dialectic pairs above.

5. **Improvisation – Routine:** This refers to the transition from the improvisation and experimentation phase of the initial years towards more consolidation and routine. For example, when project numbers grow the implementation of international frameworks such as the NUA and the SDG comes to dominate the strategy. But the pair also refers to a continuous challenge in city planning and design, namely the need to balance standardised methods with explorative, learning by doing approaches in order to tackle new problems.

6. **Form – Process:** The set of form and process refers to CPEDU's challenge of how to optimally balance plans and designs with the promotion of capacities and skills on the corresponding processes and principles so that autonomous implementation is gradually attained.

7. **Experiment – Mass implementation:** This pair refers to the need for a reasonable balance of demonstration projects and activities to promote learning and innovation, as well as the increasing requirement for global mainstreaming and massive scaling up.

8. **Pro-active – Re-active:** The core concept of the city planning and design strategy is proactive. It suggests that the steering of urbanisation to sustainable, equitable and resilient ends, will solve problems such as poverty, inequality, access to services, waste of resources, and vulnerability to climate change. But at the same time it is a core

mandate of UN-Habitat, and practice of CPEDU, to respond to urgent problems such as crises and disasters and to concentrate on the most vulnerable and poor. Long-term prevention and short-term relief still need a strategic combination.

9. **Quick effect – Persistent system change.** The fact that CPEDU is working from global headquarters with limited resources promotes quick and catalytic field operations. To endorse long term improvements, a local context is preferred that is strong on its own and where supportive partners exist. It is still unclear how to approach less favourable, weaker and fragile environments and how largescale global transformations can be achieved.

10. **Networks – Frameworks:** This set refers to the need to channel the enthusiasm generated by high levels of engagement and the transformational energy of partners through formal arrangements, such as MoUs and contracts. Likewise, it is necessary to secure "unofficial" ideas, plans and designs by providing these with a statutory rank and promoting a wider support through formal policies and legislation. CPEDU has a wide ranging focus on partnerships including regulations that frame mutual engagements and that offer wider learning opportunities. At the same time its track record on formalising plans and designs and on reviewing statutory systems entails further opportunities.

Summary of evaluation conclusions

Category	Assessment
OR 1. Level of achievement CPEDU has achieved the Expected Achievement EA2.2 in the evaluation period and is on track for attaining the biannual target for 12/2017. By the end of 2016 at least 40 partner cities have adopted policies, plans and design towards sustainable urban development. It is highly likely that by the end of 2017 the target of 50 will be reached.	Achieved
There is evidence that the Unit has also achieved the two Sub Expected Achievements.	
The delivery of outputs in the evaluation period has been highly satisfactory.	
OR 2. Relevance The overall result on relevance is highly satisfactory. The city planning and design approach including public space and the related activities are highly relevant to the target groups and local needs, to UN-Habitat's strategy and goals, and to overarching policy frameworks and agendas in achieving sustainable urban development.	Highly satisfactory
Relevance and perceived value	Highly satisfactory
Consistency/ alignment with overall goals and with target beneficiary needs	Highly satisfactory
OR 3. Effectiveness The extent to which the city planning and design approach including public space attained its objectives (outputs and outcomes) is satisfactory.	Satisfactory
Achievement of results and likelihood of achievement	Highly satisfactory
Appropriateness and feasibility of CPEDU's strategy: Factors supporting and constraining; the attainment of results on four levels: planning and design, adoption, implementation, transformation	Partially satisfactory
OR 4. Efficiency The overall level of efficiency in relation to CPEDUs products and its organisational setting and resources is satisfactory.	Satisfactory
Product efficiency	Partially satisfactory
Organisational efficiency	Satisfactory

Category	Assessment
OR 5. Impact outlook CPEDUs, GPSPs and LABs activities have achieved, or are on track to achieve their intended impact to satisfactory levels, (at least within the boundaries of their own projects).	Satisfactory
Number of people reached directly and indirectly	Satisfactory
Impact on the ground	Satisfactory
OR 6. Sustainability CPEDUs, LABs and GPSPs level of achievement on sustainability is partially satisfactory.	Satisfactory
Ownership by target beneficiaries	Satisfactory
Replicability or scaling up of the approaches	Partially satisfactory
OR 7. Partnerships and collaboration CPEDU, the LAB and the GPSP address partnerships at a highly satisfactory level.	Highly Satisfactory
Perceived relevance of partnerships	Highly satisfactory
CPEDU's achievements and outputs on partnerships	Highly satisfactory
Intra agency cooperation and partnerships	Satisfactory
Intra UN cooperation and partnerships	Satisfactory
Cooperation and partnerships with other stakeholders	Highly satisfactory
OR 8. Gender and cross-cutting issues CPEDU addressed issues of gender equality and other crosscutting issues to a satisfactory level.	Satisfactory
Level of alignment with crosscutting issues	Satisfactory
Effectiveness of considering crosscutting issues	Partially Satisfactory

LESSONS LEARNED

This evaluation has identified 14 main lessons. The evaluation understands "lessons" as valuable CPEDU experiences related to various contexts, activities, and results that are deemed as worth sharing more broadly.

1. CPEDU, LAB and GPSP's demand driven work through short term engagements succeeded as attractive entry points that had a catalytic effect in promoting sustainable urban planning and design, requiring supportive local conditions and strong partners for optimal effectiveness and sustainability. CPEDU contributes to the implementation of the NUA and the SDGs, but needs to make this connection more visible.

2. The combination and integration of activities such as field projects, planning and advisory services, tools and technical materials, and capacity building pro-

motes higher levels of efficiency and effectiveness.

3. Multi-disciplinary inhouse cooperation with other UN-Habitat branches and units is essential for CPEDU to attain full scale impact and realise the chain of results in the ToC underlying its Expected Accomplishments (as outlined in the Strategic Plan). It can only proceed beyond plans into adoption and implementation when accompanied by partners who support them in addressing the local context and dynamics, and advise on ways to mitigate political risks.

4. Thematic concentrations, within comprehensive integrated solutions, require input from different fields of expertise. 'Bounded' integration and cooperation in the sense of involving a selected number of themes and partners, tend to produce more relevant and effective results than mono disciplinary teams or even a very large variety of partners.

5. Peer reviewing at the beginning of projects is as significant as peer reviewing towards the end of projects. Involving inhouse colleagues from other branches strengthens the thematic knowledge base of the team at CPEDU and enhances consideration of crosscutting issues. There is potential for extending peer reviewing to international organisations and experts.

6. Regional Offices and Country Offices play an important role in formulation of new projects, mobilisation of funding, facilitation of operational activities (identifying local requirements, engagement of local stakeholders), and coordination at city level with other UN-Habitat activities. They have untapped potential in partnering with CPEDU in impact capture and monitoring, extraction of lessons learnt, contextualisation of global principles to regional and local contexts, and normative outputs. Collaboration with colleagues from ROs, and from COs, increases relevance and effectiveness of outputs.

7. Field project-based operations provide positive impact on UN-Habitat's capacity and global advocacy only when they are adequately balanced with high quality normative outputs. Monitoring and learning activities (extracting lessons learnt and consolidation) can assist to balance the two. Operational activities have immense potential to advance learning and innovation, as well as to develop effective strategies that can be independently implemented by others at a global scale.

8. Organizational systems (reporting, monitoring, administration... etc.) and financial set ups can promote or hinder intra agency integration and cooperation, knowledge building and transfer, and credibility in the eyes of partner cities. Such systems have a crucial effect on the effectiveness, efficiency and visibility of CPEDU's work. Future strategies should consider the complexity, tempo and resources needed to sustain relevance to, and demand from, partner cities.

9. Investments triggered by limited implementation of the city planning and design approach can generate negative effects such as exclusion or forced evictions. These need to be effectively mitigated through implementation mechanisms and regulatory change to ensure, among other things, that equitable distribution of benefits are embedded in project lifecycles. This can be enhanced through an impact monitoring system as well as CPEDU periodic engagement during implementation.

10. Participation can take different forms, leading to diverse results. Selection criteria, continuity and clarity of engagement are critical, and consolidating the channels of communication among stakeholders are key to the sustainability of the initial positive effect of participation.

11. Factors that promote successful partnerships are: shared visions, effective communication, recognition of beneficiaries as partners, clear agreements and contracts, and direct project champions.

12. Local governments and relevant national government institutions are key actors for CPEDU's success. Advancement in the chain of results, i.e. scaling up, to reach policy level aspirations can only occur if projects and operational activities are linked to the priority issues of national and local governments. This encourages ownership and enhances sustainability.

13. Focusing on good governance as well as addressing political risks and other externalities is equally essential. Although this tends to inversely affect short term efficiency, it is a vital component to promoting medium and long-term efficiency and effectiveness.

14. Partners with a high amount of their own resources (including experts, professionals, actors in the private sector and donors) tend to have their own strong visions and agenda, not necessarily aligned to CPEDU's. Suitable agreements, contracts, standards and clear roles for partners have been successful in achieving alignment and high standards.

RECOMMENDATIONS

The findings, lessons learnt, gaps and opportunities of this evaluation lead to ten core strategic recommendations[1].

1. Based on relevance of CPEDU's contribution to international frameworks, the proven global and local pertinence of CPEDU's city planning and design approach and its highly satisfactory record of achievements, it is recommended **to consolidate the gains and keep strengthening CPEDU and their city planning and design approach, to serve the goals of sustainable urban development.** In this context CPEDU should remain a core priority area of UN-Habitat's strategy, funding for high level normative outputs on city planning and design should be further promoted, numbers of core staff should be increased, and the skills set should be broadened.

2. Due to the fact that the City Planning and Design Strategy unfolds beyond the planning document, addressing levels of adoption, implementation, operation and monitoring, it is recommended **to keep fostering, embracing and promoting a comprehensive urban planning and design process.** Here, theory of change models, risk mapping instruments and feasibility assessment techniques need to be included and 'exit' strategies for various contexts developed. In addition, core skills of CPEDU staff on comprehensive planning processes need to be augmented, inhouse coordination and synchronisation advanced and roles and responsibilities on adoption, implementation and operation (including those of regional and country offices) clearly assigned.

3. Given CPEDU's history of providing instrumental input to the NUA and SDGs and given its role and competence in indicator development, reporting, capacity building and implementation the evaluation recommends, **to endorse and support CPEDU's role as a partner of cities on implementing the NUA and SDGs and other relevant frameworks.**

To this end CPEDU's expertise and role: 1) in refining indicators (SDG 11.7, public space) in gathering and reporting of data, 2) as a partner to cities in delivering SDGs and the NUA through urban planning and design, as well as 3) its capacity to convene the core stakeholders in the process needs ongoing acknowledgement and support. Existing tools and guidelines should be revised and adapted to demonstrate their capacity on NUA and SDG implementation and monitoring.

4. Observing that despite the fact that in the last five years, the Global Public Space Programme and the LAB experienced enormous growth and gain in reputation, a formal acknowledgement and consolidation is lacking. It is recommended, **to consolidate GPSP's and LAB's institutional profile as part of CPEDU and to clarify their roles.** The agency's Strategic Plan, as well as project frameworks and designs need to reflect targets and indicators for the LAB and the GPSP.

5. Based on the observation that CPEDU's approach to sustainable urban development through a pro-active city planning and design strategy is open to substantial risks and externalities it is recommended **to further accentuate the "leave no one behind" principle as part of all work.** Therefore, among others, it will be essential to keep mainstreaming propoor aspects in the planning process and to advocate for a diversity of solutions. These would include approaches promoted by civil society organisations, social movements and propoor organisations. Partnerships with civil society can be used for example on a peer review of CPEDUs work.

6. Given the fact that CPEDUs time in the field is intense and short thereby is lacking the means and opportunities for monitoring and learning, it is recommended **to close the learning loop through monitoring impact and discerning lessons and through a new typology of strategic "deep" projects.** These would be a new type of

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[1] A more detailed and substantiated list is part of the main body of the report.

demonstration projects that span an extended period of several years, that include regular engagement and focus on strategic thematic areas. They would feed the learning loop, documenting and verifying change, measuring impact, and producing normative outputs. Relevant activities and capacities of regional and country offices should be incorporated.

7. In light of the need to better understand the dynamics of the systems, challenges, risks and limitations in which CPEDU operates it is recommended, **to establish a) knowledge generation and b) learning as two new supporting activities.** This entails, among others, including this supporting activity in the strategies, work plans and frameworks, to safeguard space for learning, reflection, cooperation and exchange and to support this activity through partnerships i.e. with universities, and community based organisations.

8. Due to the fact that in the last five years, CPEDU has built up an enormous normative knowledge base that is worth sharing and given the aspiration to accomplish the widest possible global impact it is recommended **to reinforce high quality normative outputs.**

   This will comprise, among others, measures such as adopting the highest quality standards, building up respective knowledge and skills to generate and sustain high level normative outputs, mobilising peer review capacities in the agency and beyond,

further clarifying the distinction between various typologies of normative outputs and developing a dissemination strategy.

9. Given that CPEDU's city planning and design approach has evolved in an incremental manner, based on a rich base of projects, activities and highly relevant knowledge modules, and given the need to effectively attract new funding, it is recommended **to summarise and package the UN-Habitat CPEDU's city planning and design approach and to enhance its visibility.** As a core element to achieve this, it is proposed to consolidate CPEDU's city planning and design approach into a consistent, coherent, clear and expandable concept to be promoted, mainstreamed, replicated through internal and external means and to develop a clear communication and dissemination strategy.

10. In light of fruitful experiences of promoting networks in the past and given the current promising initiatives to build up global and regional networks of public space practitioners and interdisciplinary networks of urban labs it is recommended, **to intensify the promotion of networks of knowledge and practice.** Therefore, efforts to promote a global network of regional planning labs and a global network of public space practitioners should be fostered. These networks should not only be seen as dissemination platforms but as space for reciprocal communication, learning and co-creation.

Grand Moroni, Comoros © UN–Habitat/Felix

1   INTRODUCTION

1.1   Background and context

The United Nations Human Settlements Programme (UN-Habitat) is the lead United Nations agency for cities and Human Settlements. It is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all.

This evaluation is assessing the city planning and design strategy of the City Planning, Extension and Design Unit (CPEDU), including the Global Public Space Programme (GPSP) and the Urban Planning and Design Lab (LAB).

The CPEDU including these two components is accountable to realise the Expected Accomplishment (EA.2.2) of Focus Area 2 (FA 2), as part of UN-Habitat's current Strategic Plan 2014-2019, namely to attain "Improved policies, plans and designs for compact, integrated and connected cities and neighbourhoods adopted by partner cities".

This objective is measured by the "Number of partner cities that have adopted policies, plans or designs for compact, integrated and connected, socially inclusive cities and neighbourhoods." (Results Framework of the Strategic Plan 2014-2019)

UN-Habitat's planning and design strategy is delivered through the agency's six year Strategic Plans. Relevant for this evaluation are the Medium Term Strategic and Institutional Plan 2008-2013 (MTSIP) (HSP/GC/21/5 Add.1) and the current Strategic Plan 2014-2019 (SP) (HSP/GC/24/5/Add.2) and all respective budget and work programmes with their strategic frameworks.

In the MTSIP 2008-2013, "Urban Planning" and especially "Design" has been emerging themes and handled rather implicitly. The FA 2 of "Urban Planning Management and Governance" (UPMG) had predominantly covered the topic. The SP 2014-2019 then consolidated "Urban Planning and Design", and with it the unit of CPEDU, into its own sub programme / focus area and a respective branch[2]. It also became one of the priority focus areas of the agency.[3]

The most pertinent global frameworks for CPEDU and the city planning and design approach are the 2030 Agenda for Sustainable Development with its Sustainable Development Goals (SDGs) adopted in 2015 (A/RES/70/1) and the New Urban Agenda (NUA) adopted in 2016 (A/RES/71/256).[4, 5] While the SDGs replace the Millennium Development Goals, the NUA supersedes the Habitat Agenda of Habitat II adopted in 1996 in Istanbul. New is that SDGs and NUA add issues such as climate change and rising inequalities, complementing earlier aspects such as poverty eradication and inadequate housing, thus addressing the global North as well as the South.

Central for CPEDU is that the SDGs and NUA promote urban planning and management as core instruments of sustainable urbanisation (while stipulating to bring in new integrated and participatory approaches). They also bring to the fore the critical importance of urban patterns and form in ensuring sustainable urban development.

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2   The sub-programmes or branches of the SP 2014-2019 are: 1. Urban Legislation, Land and Governance, 2. Urban Planning and Design, 3. Urban Economy, 4. Urban Basic Services, 5. Housing and Slum Upgrading, 6. Risk Reduction and Rehabilitation, 7. Research and Capacity Development. The MTSIP's 2008-2013 focus areas were: 1. Advocacy, monitoring and partnerships, 2. Urban planning, management and governance, 3. Land and housing, 4. Urban infrastructure and services, 5. Human settlements finance systems, and 6. Management.

3   As part of the SP 2014-1019 (i) Urban Legislation, Land and Governance; (ii) Urban Planning and Design; (iii) Urban Economy; and (iv) Urban Basic Services became priority focus areas.

4   UN-Habitat, as the focal point for sustainable urbanisation and human settlements in the UN system, has significantly contributed to the design of the SDG and the NUA.

5   Other central international strategic processes relevant for UN-Habitat's and CPEDU's work are the Paris Agreement, the Sendai Framework for Disaster Risk Reduction 2015-2030, the Addis Ababa Action Agenda of the Third International Conference on Financing for Development, and the 2016 "New York Declaration for Refugees and Migrants" as an outcome of the 2016 high level plenary meeting of the General Assembly on addressing large movements of refugees and migrants.

Of particular relevance to the CPEDU are SDG Goal 11 to "make cities and human settlements inclusive, safe, resilient and sustainable", as well as the target 11.3: "By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries", and target 11.7: "By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities".[6]

The New Urban Agenda focuses on sustainable urbanisation as key to sustainable development. It presents a roadmap for the next 20 years and affirms the role of UN-Habitat "as a focal point for sustainable urbanization and human settlements." The NUA's strong focus on urban planning and design, as well as its recognition of public space as a key element of urban development underline the significance of CPEDU and of the city planning and design approach, and emphasizes the mandate of the unit.[7]

The formulation of an implementation strategy for the NUA[8] and how this strategy can also serve as a tool for SDG implementation[9, 10] remain among the most important challenges for UN-Habitat and CPEDU today. This will also play a vital role in UN-Habitat's formulation of the next six year strategy for the 2020-2026 period.

In addition to NUA and SDGs, the so called "three-pronged approach to planned urbanisation" [1], [2], [3], pp. 54-66] is an essential inhouse methodology that informs CPEDU's strategy. In this context the three elements, namely Urban Legislation, Urban Planning, and Urban Economy, in their combination are seen as key to actively promoting sustainable urbanisation while at the same time preempting its negative impacts.[11]

The method follows the argument that urbanization should be seen as a trend and a pathway to opportunities rather than just as a problem. This is reflected in the SP 2014-2019, the NUA and many external documents.[12]

The Mission statement of the SP 2014-2019 says: "UN-Habitat, in collaboration with relevant stakeholders and other United Nations entities, supports governments and local authorities, in line with the principle of subsidiarity, to respond positively to the opportunities and challenges of urbanization by providing normative or policy advice and technical assistance on transforming cities and other human settlements into inclusive centres of vibrant economic growth, social progress and environmental safety."

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6   Central here is also the proposed indicator of 11.7.1: "Average share of the built-up area of cities that is open space for public use for all, by sex, age and persons with disabilities". (A/RES/70/1).

7   The 26 NUA Articles that are relevant for Planning and Design are listed here: http://nua.unhabitat.org/pillars.asp?PillarId=5&ln=1 , r27.06.2017)

8   Based on resolution 26/8 of the governing council the agency embarked on the development of an action framework for the implementation of the New Urban Agenda (AFINUA), in close consultation with its partners. (See http://nua.unhabitat.org/list1.htm#)

9   UN A/RES/71/256 (2016). Habitat III – New Urban Agenda. Quito, October 2016; item 9 and item 165 respectively.

10 UN-Habitat's 2018 'flagship' World Cities Report will focus on the implementation of the NUA and the SDGs stressing their links and synergies.

11 The combination of place, economy, and people is often described as the urban dividend (Cf. [82])

12 For example, Brugman, Jeb (2009): Welcome to the Urban Revolution – How Cities Are Changing the World, New York City N.Y, Bloomsbury Press.

1.2 Mandate

This evaluation is part of the 2016 UN-Habitat Evaluation Plan and a component of the Budget and Work programme 2016-17 (under 15.65, ii).

1.3 Overall goal

The overall goal of this evaluation is to provide a forward looking assessment of CPEDU's work, as well as of the normative and the operational capacity of CPEDU, identifying CPEDU's progress and potentials in the implementation of the NUA and the SDGs, and contributing to the formulation of CPEDU's strategy in the forth-coming SP 2019-2025.[13]

1.4 Purpose and target groups

The evaluation has four main purposes: a) verification of the results achieved by CPEDU from 2012 to 2016, b) providing strategic input to UN-Habitat and the project teams, including on the models of operation and delivery, c) identifying challenges and gaps and providing learning opportunities to the project teams and their partners, and d) dissemination of findings to all project stakeholders (target beneficiaries, Governing bodies members and donors, partners, project teams, UN-Habitat management and staff).[14]

1.5 Scope of the evaluation

The scope of the evaluation includes the city planning and design strategy, including the Urban Planning Lab (LAB), the Global Public Space Programme (GPSP) as well as the normative and capacity building activities under the purview of the CPEDU under MTSIP 2008-2013 and SP 2014-2019, Sub Programme 2, EA 2.2. It addresses both completed and on going activities and their respective outcomes and effects since the creation of the unit in 2012 up to end of 2016.

1.6 Outline of the report

In line with UN-Habitat's standards, the evaluation report is structured into the following chapters: 1) Introduction; 2) Overview of the Evaluated Intervention, Project or Programme, 3) Evaluation Approach and Methodology, 4) Main Findings, 5) Evaluative Conclusions, 6) Lessons Learned, 7) Recommendations, and 8) Annexes.

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[13] See Terms of reference of this evaluation (Annex 1)

[14] The evaluation may also be of interest to broader audiences who are interested in urban planning and design and UN-Habitat work such as professionals, academics, NGOs, CBOs and government officials and other UN agencies.

2 OVERVIEW OF THE EVALUATED INTERVENTION, PROJECT OR PROGRAMME

2.1 Main characteristics of the strategy including its history and development

The focus of this evaluation is the city planning and design strategy which underpins the work of the City Planning Extension and Design Unit (CPEDU). The unit is located within the Urban Planning and Design Branch (UPDB) under the Sub Programme 2, Urban Planning and Design.

The branch covers Focus Area 2 Urban Planning and Design, which is, together with Urban Legislation Land and Governance, Urban Economy, and Urban Basic Services, a key focal area under the current SP 2014-2019. The UPDB also comprises the Regional and Metropolitan Planning Unit (RMPU) and the Climate Change Planning Unit (CCPU). To realise their targets and outputs, the Units collaborate closely with UN-Habitat Regional and Country Offices.

UN-Habitat established CPEDU in 2012 with the purpose of consolidating the subject of city planning and design. This reflected essential external [15] and internal debates[16], such as the "New Urban Planning" or the discussion of the issues as part of the Global Report on Human Settlements (GRHS) 2009 on "Planning Sustainable Cities."

UN-Habitat's focus on Urban Planning and Design is a story of convergence and specialisation involving several steps: Two key reference documents are the 2006 Vancouver Declaration on Vancouver Declaration on urbanization, development and planning [4] and the 2009 Global Report on Human Settlements: Planning Sustainable Cities [5].

In 2010: one post is established in the Urban Environment Planning Unit [17] in 2010 under the MTSIP 2009-2012. "Stock taking" on urban planning within UN-Habitat is published in 2010 [6].

2011: The new Executive Director Dr. Joan Clos establishes the project "Achieving Sustainable Urban Development" (ASUD) with Urban Planning, Urban Legislation and Urban Economy as the three main pillars.[18] A Governing Council Resolution also endorses the establishment of the Global Public Space Programme[19].

2012-2013: Restructuring of the entire agency results in the establishment of the Urban Planning and Design Branch, the City Planning Extension and Design Unit. However, without an official strategy or funding under the previous strategic plan, operations occur through internal cost sharing arrangements. In 2012 UN-Habitat participates in the United Nations Conference on Sustainable Development Rio+20 with the "Green Economy approach" (and the publication series: Urban Patterns for a Green Economy – four volumes.) The guide "Urban Planning for City Leaders" ([7]) is launched to clarify the "why", "what" and "how" of sustainable urban planning to policy and decision makers. 2013 is a period of transition with old strategic plan and new structure.

2014-2015: Urban Planning and Design operations materialise now under a formal strategy and budget framework, the Urban Planning and Design Lab starts in 2014 and another flagship publication, the International Guidelines on Urban and Territorial Planning, is launched

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[15] Among others, this was a response to the revival of the issue through debates on approaches such as New Urbanism, Smart Growth, Transit Oriented Development (TOD), Land Value Capture, Placemaking and Place led development, City Development Strategies (CDS), Territorial Planning, Walkable Cities, the Right to the City, Social Urbanism, People Centred Planning and Community Action Planning (CAP) and People's Planning Processes. Instrumental have also been the validation of the topic by Habitat II and the endorsement of "New Urban Planning" (Farmer et al, 2006) by the third session of the World Urban Forum in 2006 in Vancouver.

[16] See the discussion of the topic by the Global Report on Human Settlements 2009: Planning Sustainable Cities (UN-Habitat 2009), and the World Cities Report "A City that Plans: Reinventing Urban Planning", p. 212-140 (UN-Habitat 2016). For some specific references See: Charter for the New Urbanism: https://www.cnu.org/whoweare/charternewurbanism (r01.10.2017), TOD: https://www.itdp.org/todstandard/ (r01.10.2017), CDS: http://www.citiesalliance.org/aboutcds (r01.10.2017), Placemaking: https://www.pps.org/reference/what_is_placemaking/ (r01.10.2017), Right to the City: https://www.uclgcisdp.org/en/righttothecity/worldcharteragenda (r01.10.2017), Community Action Planning: http://web.mit.edu/urbanupgrading/upgrading/issuestools/tools/MicroPlanning.html, (r01.10.2017).

[17] The Urban Environment Planning Unit, together with the Governance Unit and the Economy Unit, as well as the Disaster Management Unit were implementing the FA 2.

[18] The Sustainable urban development project was funded by the Government of Spain and aimed to promote an effective combination of normative and operational activities as stipulated by the MTSIP's Enhanced Normative and Operational Framework (ENOF). It focused on three areas (planning, legislation, and economy/ finance) and three types of interventions (planned city infills, planned city extensions, and national urban policies) in five pilot countries (Ruanda, Egypt, Mozambique, The Philippines and Colombia).

[19] C.f. Resolution 23/4 of the 23rd Governing Council on "Sustainable Urban Development through Access to Public Spaces" from April 2011 mandated UN-Habitat to promote and consolidate its work on public space. sustainable urban Development-Net's Phase 1 2008-2011 was instrumental in launching the theme of Public Spaces and establishing fundamental partnerships. (See Project contract sustainable urban development-Net II with SIDA, p.11)

by the UPD-Branch in 2015 (based on GC resolution 24/3 of 19 April 2013). SUD-Net programme ends in 2015, the GPSP becomes an integral part of the branch with new funding arrangements. The GC endorses the LAB to promote a Global Network of Planning Labs as part of resolution GC/25/L.6.

2015-16: CPEDU make substantial contributions to Habitat III and the NUA. This includes preparation of issue papers, inputs to thematic meetings and policy papers.as well as to the Quito Conference.

In late 2016: CPEDU contributes to the revision of the SP 2014-2019, taking into consideration the implementation of the NUA, the SDGs and the three-pronged approach (See Section 1.1).

To fulfil its normative and operational mandate, CPEDU including the LAB and the GPSP develops a combination of five activities: 1. Communication and advocacy, 2. Tools and technical materials, 3. Training, 4. Advisory and planning services and 5. Field projects.[20]

2.1.1 The three components of CPEDU

CPEDU has three components: 1) the Urban Planning and Design Lab, 2) the Global Programme on Public Space as well as 3) "Capacity Building".

1. The Urban Planning and Design Lab
Founded in 2014, the UN-Habitat Urban Planning and Design Lab is considered a key strategic instrument of the agency under the current strategic plan 2014-2019, as point of reference for the demonstration of integrative approaches and core principles in city planning and design. Focusing on local implementation, the LAB is seen as a main instrument for the realisation of the three-pronged approach.[21]

Alone, or in collaboration with partners, the LAB deploys groups of experts in international assignments to provide advice and develop specific planning and design proposals, and it steers a global network of planning labs.

(More under sec. 2.7 on progress and outputs), (See LAB brochure [7])

2. The Global Public Space Programme (GPSP)
The UN-Habitat's Global Programme on Public Space was founded in 2012 based on the GC resolution 24/3. By the end of 2016 the programme worked in more than 30 cities to promote public space as a means of improving the quality of life of urban citizens, as well as for achieving social, economic and environmental benefits.

The three main components of the GPSP comprise of: a) Supporting local and national governments in developing citywide strategies/policies and demonstration projects; b) Developing and advocating for policies, tools and methodologies on public space; and c) Establishing partnerships on public space at the local, regional, national and international levels. (More under sec. 2.7 on progress and outputs) (See to GPSP's Annual Reports 2013-2016)

3. Capacity Building
CPEDU's capacity building component links to the normative mandate of FA2 and the Urban Planning and Design Branch (UPDB). It comprises measures such as Policy Development and Advocacy, Knowledge Management and Tools Development, and Training and Capacity Building.

Under Policy Development and Advocacy, city planning and design policy based on CPEDU's principles is developed and disseminated. Moreover, dialogues between the main stakeholders are fostered. This is aimed at creating awareness of new thinking, policy and methodologies in sustainable urban planning. Internal and external partnerships are vital for the delivery of results.

Knowledge Management and Tools Development refers to establishment of the reference knowledge, such as guidelines and toolkits, for planning and design of sustainable neighbourhoods and cities. It also involves learning and monitoring processes.

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[20] These are consistent with the strategies that the UN-Habitat employs (See BWP 2016-2017, 15.10)

[21] (HSP/GC/25/2, § 12, HSP/GC/26/2, § 1). At the same time the approach of the LAB is derived from the experience of ASUD (Achieving a Sustainable Urban Development) Programme that has applied the three-pronged approach in five countries offering an opportunity for tools development and testing.

The component Training and Capacity Building offers services for policy makers, planners associations and academic partners in the form of trainings and workshops. (More under sec. 2.7 on progress and outputs)

A specific capacity building programme was undertaken by CPEDU in Kenya in conjunction with the World Bank "Kenya Municipal Programme" (KMP). This activity, hereafter referred to as CB-KMP, was formulated in 2010 and funded by the Swedish under the project "Support to the Sustainable Urban Development Sector in Kenya" (SSUDSK).

It supported sustainable urban development and its planning component focused on replicating the Kisumu experience in other counties in Kenya. It was implemented in 11 counties and 13 towns/cities which were part of the World Bank's KMP and focused on the second of the four components of KMP, which were: 1) Institutional strengthening; 2) Participatory strategic urban development planning; 3) Investment in infrastructure and service delivery and; 4) Project management, monitoring and evaluation.[22]

2.2 Chain of results

At the onset of this evaluation no official and generally agreed upon Theory of Change (ToC) existed as a visual model that demonstrated how the city planning and design approach would ideally lead to the fulfilment of the desired short, medium, and long-term goals, and that also mapped the relevant risks and assumptions.[23]

However, both the clients and the evaluators considered a ToC as highly valuable in contributing to a better understanding of the multiplex systems and arrangements in which CPEDU operates. A ToC would also provide opportunities for further optimisation and refinement of the strategy and the operations of the unit. As a consequence, the development of a ToC in several stages serves the purposes of learning and reflection in the evaluation. The evaluators therefore undertook to develop one.

As a start the Figure 1 below illustrates a linear model of change as an interpretation by the evaluators. The model visualises CPEDUs principles, its main Expected Accomplishment, selected outputs and effects. This

Figure 1. Model of change of CPEDU based on initial exchanges

chain from the normative to the operational activities to the projected results is presented in the form of an open loop. More advanced versions are presented and discussed in the section 3.3.1 Theory of Change.

2.3   Strategy

In parallel to the formation of CPEDU (Section 2.1), UN-Habitat undertook the development of the 2014-2019 Strategic Plan, under which CPEDU was tasked with the implementation of Expected Accomplishment 2.2. The establishment of the city planning and design strategy was a step by step process with urban planning (along with urban economy and legislation) becoming one of the key drivers promoting sustainable urbanisation (Section 1.1).

UN-Habitat's strategic plans and frameworks are the main reference point for the city planning and design strategy.[24]

Throughout the 2008-2013 MTSIP, urban planning became a key element of the strategy of the entire agency. In parallel CPEDU's own strategy for city planning and design evolved.[25]

Core elements of CPEDU strategy are presented in the SP 2014-2019 and by the respective bi-annual strategic frameworks and budget and work plans. The qualitative account of the strategy is found in paragraphs 30 and 31 including the strategy statement of the Focus Area 2.

Table 1 below presents the core elements of CPEDU's strategy. It links the vision, mission, goals and strategic results of the entire agency, to the strategic result of the Focus Area 2 and the Expected Accomplishments and Sub Accomplishments of the CPEDU. Complementary aspects of the strategy refer to goals on partnerships, cross-cutting issues, and the relevant targets and indicators of SDG 11 and the NUA.[26]

Table 1. CPEDU Strategy based on SP 2014–2019 and the BWPs

Item	SP 2014-2019
Overall Vision (UN-Habitat)	UN-Habitat promotes the stronger commitment of national and local governments as well as other relevant stakeholders to work towards the realization of a world with economically productive, socially inclusive and environmentally sustainable cities and other human settlements.
Overall Mission (UN-Habitat)	UN-Habitat, in collaboration with relevant stakeholders and other United Nations entities, supports governments and local authorities, in line with the principle of subsidiarity, to respond positively to the opportunities and challenges of urbanization by providing normative or policy advice and technical assistance on transforming cities and other human settlements into inclusive centres of vibrant economic growth, social progress and environmental safety.
Goal (UN-Habitat)	Well-planned, well governed and efficient cities and other human settlements with adequate infrastructure and universal access to employment, land and basic services, including housing, water, sanitation, energy and transport.
Strategic Result (UN-Habitat)	Environmentally, economically and socially sustainable, gender-sensitive, and inclusive urban development policies implemented by national, regional and local authorities have improved the standard of living of the urban poor and enhanced their participation in the socioeconomic life of the city.
Indicator of Strategic Result (UN-Habitat)	[...] (e) Number of city and regional authorities that have implemented sustainable urban plans and designs that are inclusive and respond to urban population growth adequately
Strategic Result (FA 2/ SP2)	FA 2 City, regional and national authorities have implemented policies, plans and designs through a participatory process including all different actors such as civil society and poor people for more compact, better integrated and connected cities that foster equitable sustainable urban development and are resilient to climate change.
Item	SP 2014-2019

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24   Official stand alone Urban Planning Strategy documents do not exist.

25   The MTSIP 2008-2013 has no dedicated strategy for urban planning and design. (E.g. the term "design" is never mentioned). The combination of "integrated urban planning" with urban management and governance (UPMG) is aimed at promoting sustainable urbanisation. Integrated urban planning is also seen as a key element of the MTSIP's Enhanced Operational Framework (ENOF) – through the alignment of normative and operational work (MTSIP: §14). The Strategic Framework 2012-2013 puts planning at the centre of the Sub programme 1 on "Shelter and sustainable human settlements development" (A/66/6 (Sect. 15)

26   As presented in the recent update on the SP and the proposed BWP for 2017-208 biennium.

Indicator – Strategic Result (FA 2)	Number of partner city, regional and national authorities that have implemented urban policies, plans and designs that are derived from best practices
Assumptions	The sub-programme is expected to achieve its objectives and expected accomplishments on the assumption that: (a) there is national commitment to urban policy reform for achieving the objective at sufficient scale; (b) cities have the financial and technical resources necessary to implement plans and policies; and (c) the evolving international mechanisms to address climate change encourage cities to act on climate change mitigation and adaptation.
Expected Accomplishments (CPEDU)	EA 2.2 Improved policies, plans and designs for compact, socially inclusive, integrated and connected cities and neighbourhoods adopted by partner cities
Indicators of achievement (CPEDU)	Number of partner cities, that have adopted policies, plans and designs for compact, integrated and connected cities and neighbourhoods
Sub-Expected Accomplishments (CPEDU)	EA 2.2.a Improved policy dialogue at local, national and global level on innovations in urban planning and design by city authorities EA.2.2.b Strengthened capacities of city institutions to develop plans and designs for compact, socially inclusive, integrated and connected cities and neighbourhoods
Indicators – Sub-Expected Accomplishment (CPEDU)	Number of formal policy dialogue meetings held with engagement of key players, organised by counterparts Number of city institutions producing quality contributions into the planning and design process
(Strategy statement)	30. To address these challenges, UN-Habitat will, through this focus area, provide city and national Governments with a set of tested approaches, guidelines, and tools to support the management of growth and improved sustainability, efficiency and equity of cities through planning and design at different scales, i.e., the slum and neighbourhood, city, regional, national and supranational scales. This will be achieved through: (a) improved policies and legislation regarding urban planning and sustainability, based on the principle of subsidiarity; (b) increased capacities of institutions and stakeholders to undertake and effectively implement, in participatory and inclusive ways, urban planning processes at the most appropriate and adequate scale; and (c) new urban planning and design initiatives in selected cities. 31. The focus area will contribute towards urban planning and design reform in order to make it a more effective tool for governments and local authorities to achieve sustainable urban development. The overall approach will focus on the creation of a spatial structure in cities and larger territories to facilitate sustainable urbanization. Special attention will be paid to promoting, within the context of decentralization and multilevel governance, a number of critical principles, such as optimizing the population and economic density of urban settlements, mixed landuse, diversity and better connectivity in order to take advantage of agglomeration economies and to minimize mobility demand. In particular, the new approach will emphasize the need to plan in advance of urban population growth; the need to plan at the scale of the challenges; the need to plan in phases; and the need to plan for job creation, while respecting locally and regionally defined urban planning and design traditions.
Partnerships (CPEDU)	59... a more systematic approach to partnerships will be developed... 64. In focus area 2, urban planning and design, UN-Habitat will continue to strengthen its ties with national, regional and global professional institutes or associations of urban and regional planners, in particular regional planning associations (such as the African Planning Association), the International Society for City and Regional Planning, the Commonwealth Association of Planners and the Global Planners Network.
Item	**SP 2014-2019**
Cross-cutting issues	... ensure that crosscutting issues [gender, youth, basic human rights, climate change) are integrated in the work of all focus areas, both conceptually and in all operational projects. (SP 14-19. #38)

SDGs (SP update 2017)	SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable Target 2: By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons. Target 3: By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries Target 7: By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities. Target b: 11.b (by 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015–2030, holistic disaster risk management at all levels.
NUA (SP update 2017)	The focus area will contribute to the implementation of the New Urban Agenda in particular, the recommendations of the International Guidelines on Urban and Territorial Planning, as well as the Guiding Principles for City Climate Action Planning, will be promoted in support of the New Urban Agenda. (paragraph 28)

2.4   CPEDU team

Since its foundation in 2012 the CPEDU team has been continually and rapidly growing.[27] While in 2012 about six people worked for the unit, in 2016 the team comprised of 36 people. 12 people (including administrative staff) had regular contracts, 21 worked as consultants, and interns contributed the equivalent to 36 work months (Table 2). In 2017 LAB had a team of 11 people, with support from other projects such as the CB team (including KB-KMP and Kalobeyei) team. Two of the LAB's positions were shared (50%) with the CCPU and the ULU respectively (Table 3).

Table 2. CPEDU Staff from 2012 to 2016 by type of staff

CPEDU Staff	2012	2013	2014	2015	2016
Staff (incl. admin)	3	3	10	10	12
Consultants	2	5	11	14	21
Interns (Work-years)	1	1.5	2.5	3	3
Total	**6**	**9.5**	**23.5**	**27**	**36**

Table 3. CPEDU staff from 2012 to 2017 by "component"

Staff by "Component"	Admin	CPEDU•	LAB	GPSP	CB
In 2017 without interns	4	2.5	11	5.5	10
	12%	7,5%	33%	16,7%	30%

*Including publication consultants at CPEDU level and without interns

Notably the majority of the positions as described above are project based (extra budgetary). In sum, CPEDU has only one position based on regular budget since 2012.[28]

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[28] The core posts already existed before CPEDU was founded in 2012. Thereafter 1.5 positions were added: one general services staff (UN-Habitat Foundation, branch level) and one shared position (P3, 50%) in New York. Until October 2016, CPEDU has also received one third of the Branch Coordinator, at P5/D1 level. But between Oct 2016 and Oct 2017 it was providing 50% of its core staff to act as Branch OIC.

2.5   **Budget and timelines**

CPEDU's income showed a steady growth – from USD 1.3 million in 2012 to USD 5.14 million in 2016. In February 2017, the cumulative income was USD 15 million. Significant funding came from governments such as Sweden (3.3M), Norway (2.2M), Japan (1.8M) and private sector companies such as Mojang/Microsoft (3.1M) and Booyoung, South Korea (1.6M). In the period 2011-2013, the ASUD programme contributed USD 400,000 plus additional funds for specific local projects. Inhouse agreements mainly steered by Regional Offices provided USD 620,000 for the work of the LAB.

36% of CPEDU's 2012-2016 budget was provided by funding from Norway and Sweden (and partially Spain through ASUD), significantly supporting CPEDU's normative work as well as the evolution of the GPSP and the LAB. Mojang was the biggest private sector donor providing approximately 21% of all funding, dedicating its support to the GPSP for the implementation of participatory public space design.[29] Japan earmarked its resources for a pilot project on post disaster reconstruction in northern Kenya making up 12% of the total Unit's funds in 2012-2016. The remaining funds tend to address more focused measures such as resources for

Figure 2. Evolution of CPEDU Budget (2012–2016)
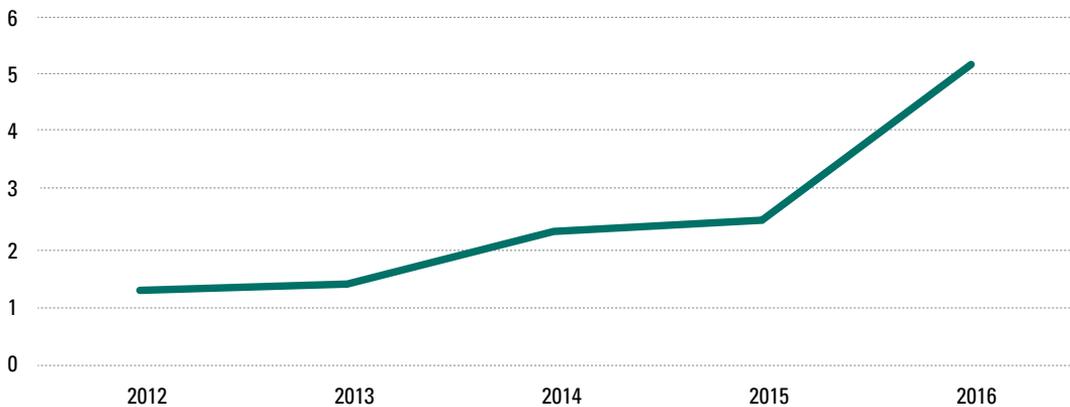
Figure 3. CPEDU main funding sources (01/2012–02/2017)
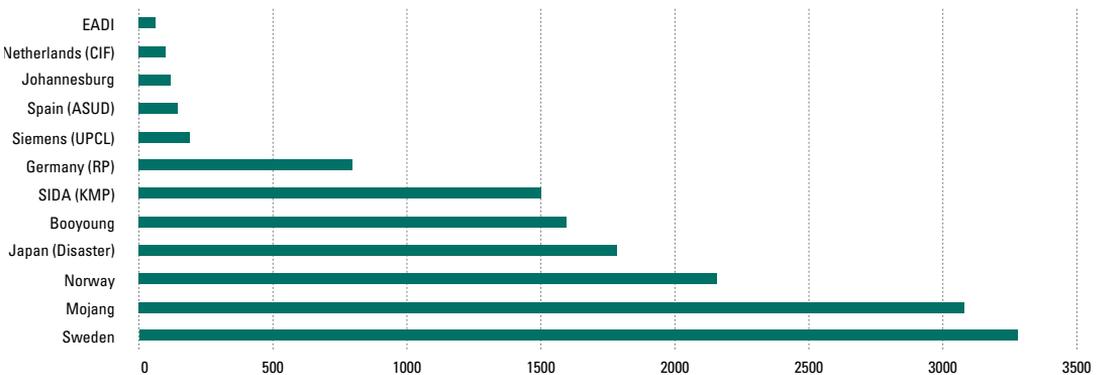
a "Partnership for Urban Planning in Africa" by Booyoung, the funding for supporting activities for the Kenya Municipal Programme by the Embassy of Sweden, or the development of the Urban Planning for City Leaders Toolkit with the support of Siemens. The funds from the In House Agreements have also been significant for the work of the LAB.

2.6   Partners

To deliver its normative and operational mandate and accomplish a holistic and integrated planning approach, CPEDUs collaborates with internal and external partners[30] and considers target groups and stakeholders as partners as well.

CPEDU's cooperates internally with other units within the same branch, namely the Climate Change Planning (CCPU) and Regional Metropolitan Planning (RMPU). There is also close cooperation with the Urban Legislation (ULU) and Urban Economy (UEB) units as they are of special strategic importance in the context of the implementation of the three-pronged approach.[31] Most operational work and some specific normative work is implemented through the regional and country offices.

Cooperation with other UN-Agencies (such as UNHCR, UNESCO, UNICEF; UNEP, UN Women) also occurs increasingly. Governments, and especially city level governments, are considered partners, though mainly target groups.

The same applies to organisations such as United Cities and Local Governments (UCLG) or CITYNET, they are among the partners as well as the target groups. A strategic peer group for CPEDU are professional planning associations (on global, regional and local scales) such as ISOCARP, the African Planning Association and the Caribbean planning Association.

Other partners, depending on specific project context, are institutions of research and higher education (such as Jomo Kenyatta University of Agriculture and Technology (JKUAT) in Nairobi, and Centre for Liveable Cities in Singapore), Non Governmental Organisations, and private sector partners that provide specialised expertise. Not least, the residents, the communities and their organisations, especially those of the vulnerable and urban poor are a stakeholder and partner.

2.7   Progress made and key outputs delivered

2.7.1   Progress on the EAs

CPEDU made a steady progress between its foundation in 2012 and 2016, either as a part of the team[32] implementing FA 2 in 2012-2013 or as its own unit in the Urban Planning and Design Branch (2014-2016, and beyond). The advancement is not only reflected by the growth in budget and staff, as discussed in the previous two sections, but also by the achievements of its planned results (See Section 4.1 Assessment of the Achievements).

Between 2012 and 2013/2014 the unit, together with other entities, significantly contributed to the realisation of MTSIP's FA 2 "Participatory Urban Planning, Management and Governance" with the Expected Achievements (See Section 4.1).

During the present SP 2014-2019 progress was made towards improving policies, plans and designs for compact, integrated and connected cities and neighbourhoods. The number of partner cities that have adopted policies, plans or designs for compact, integrated and connected, socially inclusive cities and neighbourhoods has continually increased from 10 in 2012-13, to 30 in 2014-15 to 40 by the end of 2016 and 52 by the end of 2017.

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29   There is also a growing amount of resources that comes from local government's themselves (and this is not quantified reports on funding sources). Many projects in Asia rely on local government funding (China, Indonesia, etc.).

30   The value of Partnerships has been mainstreamed by the UN-Habitat's strategic documents (MTSIP, SP, UN-Habitat 2011) the UN system (United Nations 2006), by SDG17 and within the NUA and promoted by core projects such as SIDA's SUD-Net, as crucial for precondition for effective, efficient and sustainable operations.

31   Among others, Housing and Slum Upgrading (HSUB), the Gender and the Youth Units and the Safer Cities Programme are of particular relevance for the GPSP, while the CCPU, ULLGB and the RRRB key LAB partners.

32   It was the Urban Environment Planning Unit which together with the Governance Unit and the Economy Unit, as well as the Disaster Management Unit were implementing the FA 2.

2.7.2   Key outputs delivered

Table 4 presents a summary of key outputs as targeted by the three budget and work plans that are pertinent for this study 2012-2013, 2014-2015, and 2016-2017. These belong to three categories (Servicing of intergovern mental and expert bodies, Other substantial activities and Technical cooperation) and seven types Expert Group Meetings (EGMs), Non Recurrent Publications, Technical materials, Special events, Advisory Services, Training courses, and Field Projects).

In total there have been 290 outputs (12 on regular budget, 178 extra budgetary); the numbers in all categories have been steadily growing; there was a greater focus on advisory services (88) field projects (88) and training activities (58). There has been a dramatic rise in outputs on Technical Cooperation from, 21 2014-15 to 175 in 2016-17 (while staff numbers have not grown correspondingly). At the same time the normative outputs have moderately grown from 7 to 20. This demonstrates a strong focus on the operational side.

Table 4. Summary of targeted outputs of CPEDU (2012–2017)[33]

Category	Type	Output	2012/13	2014/15	2016/17	Total
Regular Budget	Servicing...	EGMs (EGMs on PCI, PCE, public space and networks etc.)	/	1	11	12
Extra Budgetary	Other Subst. Act.	Non Recurrent Publications LAB Publication	/	2	2	4
Extra Budgetary	Other Subst. Act.	Booklets, Factsheets UPCLs, Africa Planning report, Street Patterns, etc.	6	/	/	6
Extra Budgetary	Other Subst. Act.	Special Events including at WUFs	1	4	/	5
Extra Budgetary	Other Subst. Act.	Technical Material, Toolkit for the New Urban Agenda, including on PS: indicators and legislation, Building urban safety through public spaces etc.	10	1	18	29
Extra Budgetary	Technical Coop.	Advisory Services On PCE, PCI, PSs etc., Platforms and Networks	8	8	72	88
Extra Budgetary	Technical Coop.	Training Courses UPCL, IG-UTP, Minecraft Workshops, LABs,	13 (t25-30p)	6 (n.t)	39 (n.t.)	58
Extra Budgetary	Technical Coop.	Field Projects LABs and GPSPs projects	/	24	64	88
			38	**46**	**206**	**290**

Abbreviations   EGM: Expert Group Meeting; PCE: Planned City Extension; PCI: Planned City Infill,
GTPS: Global Toolkit on Public Space; PS: Public Space; WUF: World Urban Forum)

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33   The data in this table is from IMDIS and therefore may be missing some information, for example, events at Habitat III in Quito are not reflected.

Between 2012 and 2016 the CPEDU, including the GPSP and the LAB, produced a range of key outputs briefly summarised in the following:

CPEDU's "Capacity building outputs range from broad global guidelines, to task specific instruments, to localised guidelines. Examples include: Urban Planning for City Leaders [8], the co-development of the International Guidelines for Urban and Territorial Planning [9], a Rapid Planning Training/ Studio Toolkit (2016, internal); and a Methodology of the Three-pronged Approach to Planning (UN-Habitat 2014, UN-Habitat 2017).

The outputs also include a three-step training package for policy makers with: a) The Urban Planning for City Leaders module, b) Rapid Planning Studios and Charrettes and c) Participatory Design training. Moreover, institutional capacity building was offered where planners' associations and academic partners were supported through joint curricula development and internship programmes.

Not least, the CB-KMP activities comprised of technical advisory services on Integrated Strategic Urban Development (ISUD) capacity building through target specific workshops. CB-KMP also produced four publications on "UN-Habitat Support to Sustainable Urban Development in Kenya".

By the end of 2016 the LAB facility served 39 cities and 25 countries globally (UN-Habitat: Annual Progress Report 2016). Its outputs addressed technical, advisory, planning and demonstration projects on: citywide strategies, planned city extensions and new towns, urban infill, urban renewal, urban transformation, urban densification and planning in post conflict and post disaster contexts. It also developed planning guidelines and capacity on climate change and urban planning. A notable output was also the inception of and support for the Global Network of Planning and Design LABs to enhance learning and exchange and to upscale and mainstream its work in 2016. According to the 2016 progress report, 14 Labs existed in 2016[34].

Among the technical cooperation projects as listed above (Table 4), the LAB assisted the development of the Johannesburg's Spatial Development Framework 2040 in 2015 and prepared concept plans for planned city extensions for Silay, Iloilo and Cagayan de Oro in the Philippines, Santa Marta (Colombia), Kisumu (Kenya), Ningo Prampram (Ghana), Cannan (Haiti) and the Kalobeyei refugee settlement in Kenya.

The GPSP has contributed to the implementation of numerous field projects and the preparation of several city-wide assessments and strategies with key strategic partners [10]. By the end of 2016 the GPSP had worked on 37 projects in 23 countries.[35] In cooperation with government partners through UN-Habitat's regional and country offices, a number of regional and local public space strategies are being developed. Globally, the GPSP has steered multi-stakeholder networks that play a key role in advocating for the SDG 11.7 on public space. Establishing networks and partnerships, for example with the local government partners, or organisations such as United Cities and Local Governments (UCLG), played a fundamental strategic role in efficient delivery and mainstreaming for sustainability. Other key outputs of GPSP were: The Global Public Space Toolkit [11], the Using Minecraft for Community Participation Manual [12] and the Public Space Assessment Tool (GPSP 2016, internal).

Some of CPEDU's planned outputs for 2017 are: a communication strategy, NUA implementation concept notes, a strategy on urban planning and digital technologies, a "training box" combining the UPCL, PSUP, RUSP, IG-UTP etc., a second edition of the "Toolkit on Public Spaces"; a capacity development concept; New Town Guidelines, and a technical note on low cost street planning.

Table 5 summarises CPEDU's level of achievement on outputs for the two biennia 2012/13, 2014/15 and for 2016. It is visible that the output targets have been generally achieved. A significant rise in the categories of Advisory Services, Training Courses and Field Projects can be observed. A detailed discussion and critique is part of the effectiveness section 4.2.2.

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[34] Some of those were potential setups with local technical expertise supposed to grow into a Lab, but not all materialized according to the empirical study conducted for this evaluation.

[35] Initiatives on public space were completed in nine cities: Jeevanje Gardens (Nairobi, Kenya); Dey Pukhu (Kirtipur, Nepal); Lotus Garden (Mumbai, India); Place de la Paix (Haiti); Medellin (Colombia); Buenos Aires (Argentina), Quito (Ecuador), Surabaya and Sidjoarjo (Indonesia).

Table 5. CPEDU Outputs and Level of Achievement 2012–2017 (x: years and y: outputs)

Legend:
- EGMs
- Non-Recurrent Publications
- Booklets, Factsheets
- Technical Material
- Training Courses
- Special Events
- Advisory Services
- Field Projects
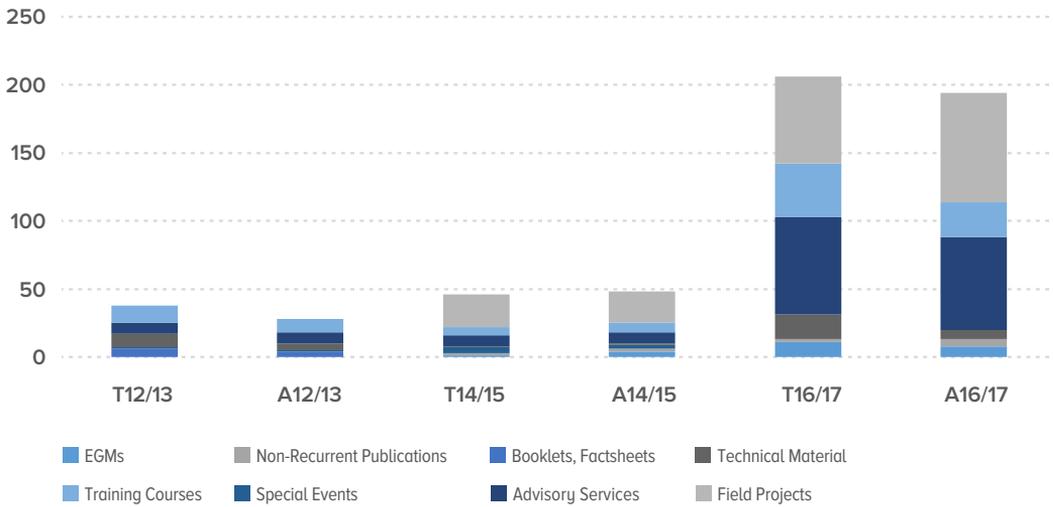
2.8 Evaluation context

2.8.1 Transformational setting

This evaluation occurs in a context of dynamic transformation of UN-Habitat that also demarcates the focus and significance of this evaluation (See Sections 1.1, 2.1, 3.1):

- The adoption in late 2016 of the New Urban Agenda and in 2015 of the SDGs and in particular SDG 11 on Sustainable Cities and Communities

- UN-Habitat is seeking to refine its positioning as the lead United Nations programme on sustainable urbanization and substantiate its mandate and elaborate its role in the implementation of global frameworks such as the SDGs, the NUA and the COP21,

- The agency has undergone substantial restructuring started in 2011 and implemented under the SP 2014-2019, with a new format of seven sub programmes (or focus areas) and corresponding branches, a matrix approach to inhouse cooperation, and the designation of Urban Planning and Design as one key priority area (along with Urban Legislation and Urban Economy). (See Sec. 1.1 and 2.1) At the same time, a new strategic framework and work plan for 2020-2025 is being prepared.

- It experienced a "dramatic" decline in nonearmarked (regular, general purpose) funding that has challenged the delivery of the agency's core functions such as producing state of the art normative outputs and forging partner networks, (See MOPAN Evaluation 2017, Revised SP 2014-2019).[36]

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[36] Non earmarked funding went down from 22 Million in 2008 to 2.5 Million in 2016. (Office of management)

On the other hand, a parallel rise of earmarked resources (special purpose, technical cooperation) provides many opportunities for demonstration projects.

- A high level independent assessment of UN-Habitat [13] mandated by the NUA was prepared in 2017 and its eminent strategic importance for the agency's future [14, p. 3], has also resulted in a state of uncertainty pending final decisions to be made.

- UN-Habitat, the UPB and CPEDU have also been the focus of other recent evaluations. Some of these addressed higher levels e.g. MOPAN [15] , MTSIP 2008-2013 Evaluation [16], SP 2014-2019 Midterm Evaluation [17], OIOS [18] [19], UN-Habitat's Biennial Evaluation Report [20]. Others focused on specific issues and programs (CCPU [21], CB-KMP

[22], Sweden/SUD-Net [23], ROAS [24]. In general, these have affirmed, a high degree of relevance of urban planning and design and the importance of partnerships in delivering effective results[37] and they have attested to high levels of performance and progress of CPEDU.

 They have also pointed to overarching and operational issues such as: deficient core funding affecting human resources and the delivery of normative results, the scope for a redefined role of the Regional Offices, weaknesses in organisational integration and alignment, weak knowledge management and sharing of information, challenges in mechanisms of monitoring learning and capturing impact and a deficient formalisation of partnerships.

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[37] The recent midterm evaluation of the SP 2014-2019 strongly underlined the significance of partnerships with local leaders and other implementing partners.

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3 EVALUATION APPROACH AND METHODOLOGY

The following section outlines the setting of the evaluation and the rationale. It clarifies the evaluation design, along with the means of data collection and analysis and explains the differences of design and methodology in the Terms of Reference and the inception report. Furthermore, the evaluation criteria and evaluation questions are presented, and the handling of cross-cutting issues is described.

The evaluation was carried out in the course of 2017 by two experts in urban planning and design, from Germany and Egypt. It was implemented through a combination of desk review and a series of field missions. The main parameters demarcating the approach of this evaluation and its implementation design are defined by the evaluation's main objectives, the scope of work covered by CPEDU, as well as the capacities of the evaluators and the time and resources available to them. In this vein the evaluation needed to take into account: a combination of summative (results oriented) and formative (strategic) goals, a time span of four years and a global spread of activities (approximately 280 outputs) with a focus on Asia, Africa, Central America and the Arab States. At the same time other evaluations existed, such as MOPAN, Sweden (SUD-Net) that provided insights on CPEDU's basic achievements and on overarching operational aspects (See 2.7, 2.8).

3.1 Approach, design and justification

The consideration of the above mentioned factors, in combination with the time, resources and capacities available, resulted in a multidata collection (see below) and triangulation approach to assess all outputs related to CPEDU, the LAB and the GPSP, and to combine a broad and global sample with "deep" probes. To address the diversity of CPEDU's work and the wide ranging list of evaluation criteria and questions (See below), a qualitative approach utilising a mix of methods (document analyses,

interviews, site observations etc.) was employed with triangulation of findings as a means of verification and clarification. Other UN-Habitat evaluations also provided insights on operations and performance leading to the emphasis in this evaluation on forward-looking (formative) aspects.

Not least, the approach was participatory as learning was a central objective of the evaluation aiming at ensuring that information gathered can empower all stakeholders and partners.[38] Briefing and debriefing sessions for the discussion of the Inception Report and for review of the final report with CPEDU and their team provided opportunities for refining the evaluation approach, for mainstreaming the results, and especially for engagement and learning.

3.2 Data collection and data analysis

This evaluation employed six main instruments for the collection and appraisal of the data (Annex 7)[39, 40] :

- Firstly, an analysis of project documents, reports and external studies (approximately 150 documents of various format and scope) was employed (Annex 5). This was done incrementally as needed during the evaluation process and was factored into the reporting of results. It also included a detailed assessment of the project attainments and outputs based on IMDIS data, annual reports and budgets (Annex 6).

- Secondly, a detailed review of 10 selected normative outputs (publications) produced by CPEDU was implemented through a specifically developed document assessment tool (Annex 3).[41] A review of CPEDU's draft of a "Plan and Design Assessment Checklist" was also accomplished using a narrative review format.

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[38] The participatory approach relates to the UN Evaluation standard 3.11: "The evaluation approach must consider learning and participation opportunities (e.g. workshops, learning groups, debriefing, participation in the field visits) to ensure that key stakeholders are fully integrated into the evaluation learning process. "(See UNEG 2005)

[39] In general, approximately two thirds of the data gathering were divided between the two consultants and one third has been jointly completed. A continuous process of a discursive reflection and refinement of findings and results was central.

[40] The documentation of all results from all steps from interview transcripts to coding and tabulation across evaluations criteria to the interpretation into opportunities challenges, weaknesses and strengths is documented in tables allowing for external verification and follow up if needed.

[41] The four main assessment criteria were: 1) Clarity of Structure and comprehension; 2) Quality of Contents: Relevance and adaptability to different urban contexts; 3) Alignment with UN-Habitat's criteria on sustainable urban development (compact, integrated, connected, inclusive, resilient), the NUA, SDGs, consideration of crosscutting issues such as gender, youth and human rights; and 5) Usability by target audiences.

- Thirdly, 104 semistructured key informant interviews (with individuals and groups) and 13 focus group discussions with UN-Habitat staff, partners and target beneficiaries were conducted (See Annex 2) constituting a central data gathering tool. A tabulation and assessment tool was developed to analyse the interview data.[42]

- Fourthly, two online surveys, one with participants of trainings and workshops, and one with those of EGM's were implemented. A total of 215 responded from a total of 514 who were reached based on contacts provided by CPEDU. The data was collected, organised and appraised through a moderated process using the Lime Survey online tool.[43] (Annex 8 and 9)

- Fifthly, site visits and observations to Belize, Haiti, Kenya, Ethiopia, Myanmar, India, and Nepal (combined with some of the interviews and focus groups) covering all major working regions (Annex 4) were undertaken. The destinations of the field visits were selected by criteria such as "maximum variation", "richcase" sampling techniques, and feasibility.

- Sixthly, a Theory of Change (ToC) approach was employed as an approach complementing the other data assessment tools providing further insights into the change models, impact mechanisms, assumptions and risks of the system/s that CPEDUs work addresses; it was especially valuable for assessment of organisational approaches and strategies, that is, the formative level of the evaluation. As an explicit ToC did not exist prior to the evaluation, the very process of development of a ToC as part of the evaluation process, was an important tool for mutual reflection, learning and critique to explore change and how it happens – and what that means for the part organisations play in a particular context, sector and/or group of people [25] [26]. See the next subsection (3.3.1).

3.2.1   Theory of Change

An official CPEDU ToC does not exist. The implicit models that CPEDU tends to use are guided by a predisposition to sustainable urbanization that promotes economic opportunity. Planning is aimed "to guide rational investment, which is environmentally conscious, and which provides benefits for the whole community." (UN-Habitat 2010: 8). The model addresses issues such as poverty and social inclusion in a proactive manner.

Figure 4, presents a first version of the ToC as of June 2017, laying out the approach and format so that the ToC could become an effective instrument and learning lens, also beyond the evaluation process. The model presents a step-by-step sequence of change events working backwards from the desired results, the intended effects, the long, medium, and short-term outcomes, to outputs and activities. It sets these in the context of the Strategic Goals and Expected Achievements stipulated through pertinent frameworks and policies, such as the SP 2014-2019 and by the SDG 11.

This ToC version consists of two parts:

1. The upper level depicts a general sequence of step by step change that is addressed by urban planning and design as outlined in the strategy but that is subject to various factors. It comprises the overall desired result and three outcome levels of 1) realised/institutionalised, 2) implemented, 3) adopted "policies, plans and designs for compact, integrated, and connected, socially inclusive cities and neighbourhoods".

2. The lower part delineates CPEDU's city planning and design approach with its direct sphere of operations including specific inputs, activities, outputs and the context of policies, partners and mechanisms. In a central pentagon CPEDU's five main activities are connected by a set of principles central

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[42] Sampling frames included lists of partners provided by CPEDU for KIIs but the evaluators went further and also applied snowball sampling to build upon relevant key informants met during missions.

[43] Lists of EGM participants and Training and Capacity Building workshop participants were entirely addressed by the two surveys and no sampling was applied.

to the approach, with monitoring and learning being at the core. The output level aiming at EA2 preparing and improving "policies, plans and designs for compact, integrated, and connected, socially inclusive cities and neighbourhoods" initiates the outcome chain outlined in the upper part of the diagram.

Accordingly, the power to trigger direct changes increases when moving downwards in the scheme and the line between outputs and outcomes demarcates the sphere of complete control. Moreover, the four output and outcome levels have a distinct set of risks and assumptions. A more detailed version of the ToC (made available to CPEDU) includes a list of the risks and assumptions elaborating on the prerequisite conditions to move up the chain to the desired goal. Further adaptations were used to map out the LAB and the GPSP interventions serving to illustrate the different paths pertaining to each component.

Figure 4. Proposed ToC for CPEDU

Desired Result
"Improvement in the standard of living of the urban poor and enhanced their participation in the socio-economic life of the city" (as per SP 2014-2019)
SOG11: "making cites and human settlements inclusive, safe, resilient and sustainable"

Beneficiaries
Urban populations "leaving no one out" Women, Youth, Marginalised, Poor

OUTCOMES

ASSUMPTIONS

RISKS

Long-term Outcome — Environmentally, economically and socially sustainable, gender-sensitive, and inclusive urban development policies implemented by national, regional and local authorities - (as per SP 2014-2019) and **EA2.2b**

a) Enforcement of social and minority interests
b) Sufficient public revenues
c) Sustainable reinvestments
d) Socially equitable redistribution of benefits

a) Lacking political support (micro, meso, and macro)
b) Weak civic values
c) Disaster and climate change risks

Intermediate Outcome — Improved policies, plans and designs **implemented**

a) Inclusion and commitment of the crucial stakeholders
b) Adequate resources, knowledge and skills
c) Appropriate regulations and their enforcement
d) Coordination across institutional structures

a) Disinvestment
b) 'Speculation'
c) Overconsumption

Short-term Outcome — Improved policies, plans and designs **adopted - EA2.2**

a) Political will, consensus and commitment
b) Participation and good representation
c) Embedding of appropriate regulations
d) Alignment of objectives of actors

a) Political insecurity
b) 'Red tape'
c) Lacking mandates

OUTPUTs — Improved policies, plans and designs **prepared**

a) Good knowledge of context
b) Adequate resources, high capacities and skills
c) Relevant integration (issues, processes, scales)
d) Localised principles

a) Insufficient resources
b) Inappropriate policy/ strategy

EA2.2a improved **policy dialogue** at local, national and global level on innovations in urban planning and design by city authorities.

EA2.2b Strengthened **capacities of city institutions** to develop plans and designs for compact, socially inclusive, integrated and connected cites and neighbourhoods

EA2.2 improved policies, plans and designs for compact, integrated and connected, socially inclusive cites and neighbourhoods **adopted** by partner cities
EA 2.2

Target groups
Gov. Officials, Decision makers, Experts, Professionals

ACTIVITIES

Internal Partners
UPDB Sub-units
Other branches
and Sub-units

External Partners
Other UN agencies
Other int. organisations
NGOs
Private Sector
CSOs

Mechanisms
IHA,
Project Contracts

Field Projects
3 Pronged Approach
Cross-Cuthing issues
Advisory and Planning Services
Tools and Materials
M&E and Learning
Participatory Planning
Partnership Strategy
Training
Communication and Advocacy
NUA

CPEDU
INPUTS: Funding. •. Institutional Culture. •. Talented Staff. •. Normative knowledge. •. Infrastructure and Technology

3.3 Evaluation criteria and evaluation questions

The evaluation uses six main criteria and in addition cross-cutting issues. Five of these are based on UN-Habitat's Evaluation Policy [27, p. 3] and the so called DAC criteria [28]. These comprise: Relevance, Effectiveness, Efficiency, Impact outlook, and Sustainability. The sixth dimension is "Partnerships" and was added for the high significance of the issue in the UN System [29], for UN-Habitat [30] and for the evaluated unit CPEDU.

Along the six criteria, a list of 73 questions has been established (largely based on the ToR (Annex 1). This was then organised through a "question matrix" into 12 "sub

categories", 34 "main questions", 39 "sub questions" and the respective "means of verification". The questions were a basis for the development of an interview guide for the key informant interviews with five variations to suit the main types of project stakeholders[44] as well as for the development of the surveys. Moreover, it has implicitly guided all the other data gathering activities[45] including document assessment, and indirectly reflected during the field visits and observations.

Table 6 provides an overview of the six main and 13 sub-categories. This defined the way the findings are reported in section 4.2, through a further disaggregation into CPEDU's, LAB's and GPSP's project components.

Table 6. Summary of the six main and the 18 subcategories (also reporting structure)

Relevance	Relevance and appropriateness
	Consistency with overall goals and with target beneficiary needs
Effectiveness and Impact Outlook	Achievement of results and likelihood of achievement
	Number of beneficiaries of the strategy and effectiveness to attain it
	Achieved and likely changes on the ground
	Appropriateness and feasibility of CPEDU's strategy based on the SP 2014
	Factors supporting and constraining the effective achievement of results
Efficiency	Product efficiency
	Organisational efficiency
Sustainability	Ownership by target beneficiaries
	Replicability
Partnerships	Perceived relevance
	Achievements and outputs
	Intra agency cooperation
	Intra UN cooperation
	Cooperation with other stakeholder groups
Cross-cutting issues	Alignment
	Effectiveness

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[44] 1) Planning partners, Donors and Experts, 2) Training participants, 3) HQ staff within CPEDU, 4) HQ staff outside CPEDU, 5) staff in RO's and CO's.

[45] In relation to covering the main criteria, the KII interviews covered background context data, project specific data, roles and stakeholders, CPEDU perceived added value, gaps and obstacles, opportunities, assessment of model of delivery and recommendations.

The evaluation has considered the four UN-Habitat crosscutting issues: 1) Gender; 2) Human Rights; 3) Climate Change; and 4) Youth as fostered in the SP 2014-2019 [31, p. 12]. Crosscutting issues have been qualitatively explored in all the activities subject to this evaluation, as well as in respect to the evaluation instruments and process itself. For example, attention was given to the representation of women, youth and vulnerable groups among the respondents and target groups. (See Reporting in section 4.3)

3.4 Deviation from Terms of Reference and Inception Report

The approach and design of this evaluation is inline with the proposals of the ToR and the detailed methodology as set out in the Inception Report [32] while several of the evaluation instruments and processes have been further developed and customised.

Concerning instruments, the interview guides and survey questions were refined, a review of Planning and Design assessment checklist was added to the evaluation and the locations of field visits were confirmed. The ToC was significantly developed, and the definition of the city planning and design strategy was further clarified together with the clients.

In the process roughly twice as many Key Informant Interviews (KIIs) and Focus Group (FG) discussions have been conducted as planned (approximately 100 instead of 50)[46], leading to a prolonged data analysis period.

3.5 Limitations of the evaluation

The setting, the scope and the approach of the evaluation had some limitations most important of which are:

Limited impact assessment: The fact that CPEDU's activities are relatively young while many of the outputs and outcomes need many years to unfold in an urban context means that impact monitoring is a challenge.

This limitation was addressed by focusing on the "impact outlook" that speaks to the intended and likely outcomes and effects (Ch.4.2.4), as well through the critical and discursive work on the Theory of Change model.

Restricted attribution of effects to distinct measures: CPEDU works in an urban setting with many stakeholders, trends and change factors. These constitute a complex system with intricate cause and effect relations and are context specific. As a consequence, a demarcation of direct attribution was not feasible. In this situation successful work means the augmentation of probabilities.

Constrained ability to generate evidence based findings through quantitative data: Not least, the global scope of CPEDU's work in combination with the time and resources available to the evaluation restricted the room for the generation of rigorous evidence based results. Accordingly, the findings that are reported need to be understood as grounded hypotheses.

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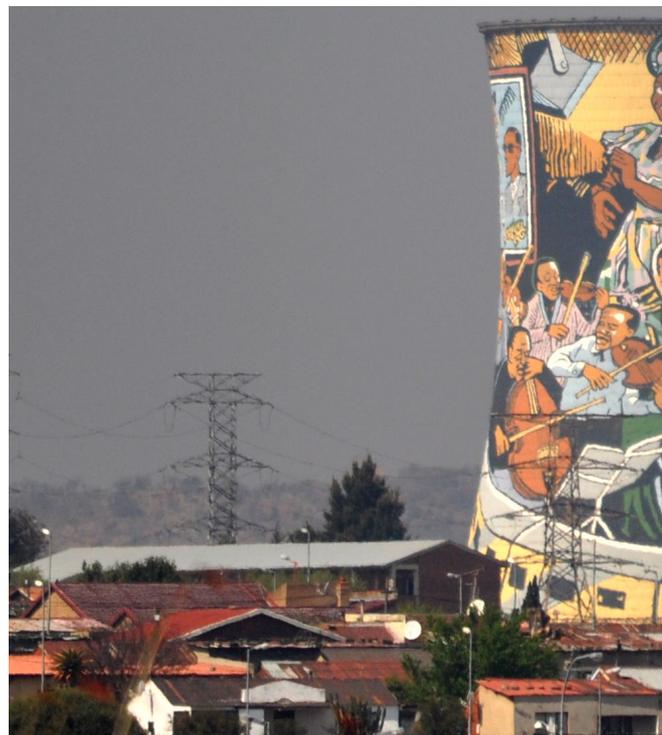
[46] 56 of the interviews have been conducted with UN-Habitat staff in the headquarters and approximately 50% of these with members of Regional and Country Offices.

Bounded ability to assess large number of activities and projects: The fact that the evaluation focused on assessing the city planning and design strategy through a representative sample of CPEDU's activities and projects excluded a majority of CPEDU's activities and so also the understanding of their respective virtues and challenges.

Confined capacity to assess the substantive content of normative outputs: The review of eleven of CPEDU's key normative outputs focused on criteria of formal quality, clarity and coherence, alignment with key policies and frameworks, crosscutting issues and appropriateness for the target groups (See 3.3). A critique of the substantive content was not provided as the necessary time and resources to reflect on the contemporary state-of-art in city planning and design were not available and as the related debates tend to have a high degree of ideological contestation.

Reduced ability to evaluate CPEDU's achievements and outputs in 2012-2013. Due to the fact that CPEDU's strategy and output framework were inadequately identifiable as part of the MTSIP 2009-2013 and as part of the Biannual work plan 2012-2013 (See section 2.1) the reporting of outputs and achievements for this period is incomplete.[47]

Possible positive bias of staff members and of project beneficiaries (who received free services) and possible negative bias of "competitors". There is an increased probability that staff members as well as project beneficiaries (including the survey respondents who had received free trainings, or free travel and per diems as part of EGMs) were more enthusiastic and that they reported better results that exist on the ground. Likewise, an augmented likelihood of competitors towards negative responses can be assumed. The evaluators sought to address this problem through the use of mixed methods and triangulation.

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[47] As CPEDU worked with other entities on the realisation of the achievements and outputs related to the former FA2 and under the UPMG branch, it was difficult to attribute CPEDU's role for many of the results.

Skyline of Soweto, Johannesburg, South Africa © John Karwoski

4   MAIN FINDINGS

4.1   Assessment of level of achievement

This section presents the results of this evaluation and is organised around the five evaluation criteria as well as partnerships and crosscutting issues. It addresses all questions that were proposed in the ToR. and triangulates the results from all six data collection methods. In each section, the analysis is summarised and colour coded to highlight Lessons Learned (in yellow), Gaps (in blue), and Opportunities (in green).

4.1.1   Level of achievement, accomplishment

Based on CPEDU's progress presented in Section 2.7.1 this section presents an assessment of the level of Achievements (MTSIP) and Accomplishments (SP 2014-2019). The agency's own internal progress reports, external evaluations,[48] as well as the findings of this evaluation reveal that the unit has fully attained practically all of the expected achievements (and sub achievements) and that they are on target (2016-2017). Some of the targets have been exceeded, and one was partially achieved (due to a strategic decision).

Table 7 presents CPEDU's progress by Expected Achievements for the first period as part of this evaluation, when the Unit was contributing to the UPMG focus area. Based on discussions with the clients, the evaluation presumes that CPEDU, together with the other entities in UN-Habitat equally contributed to the achievements of UPMG.

Table 7. 2013 Progress assessment of FA 2 UPMG – MITSIP 2009–2013 (Input of CPEDU assumed as spread)

Focus Area 2. UPMG		Actual 2011	Actual 2012	Target 2013	Actual 2013	Assessment
EA 2.1: Improved policies, legislation and strategies support inclusive urban planning, management and governance.	EA2.1i Number of countries whose legislation, policies and strategies incorporate urban planning, management and governance with UN-Habitat support	39	56	56	63	Achieved
	EA2.1.ii Number of crisis prone and post crisis countries whose policies, legislation and strategies incorporate urban risk and vulnerability reduction measures	11	11	11	14	Achieved
EA2.2: Strengthened institutions promoting inclusive UPMG	EA2.2i Number of strengthened institutions promoting Urban Planning, Management and Governance	53	55	60	78	Achieved
EA2.3: Cities implementing inclusive UPMG	EA2.3i The number of cities and municipalities in targeted countries that actively promote sustainable urbanization dimensions	147	169	209	173*	Achieved*

Sources: Annual Progress Report 2013: 27, BWP 2016–2017

* Goal EA 2.3 was deliberately internally reduced as a result of strategic change towards more depth and focus (See 2.7). Is reported as partly achieved by the respective Annual Report. However, this evaluation deems the goals as achieved. The problem lies at a system of reporting that was not adjusted in time.

Table 8 documents CPDEUs progress in Expected Accomplishments and Expected Sub Accomplishments for the SP 2014-2018. However, what is reported only pertains to the achievement of EA2.2 in its totality and not the Sub Expected Accomplishments EA2.2i and EA2.2ii. Also, there are no disaggregated indicators/reporting on the achievement level for the LAB or the GPSP and for CPEDU's "Capacity Building".

Table 8. 2016 Progress assessment table of FA 2

Focus Area 2 UPD		Base 2013	Actual 2014	Actual 2015	Target 12/2017	Actual 2016	Assessment
EA 2.2: Improved policies, plans and designs for compact, integrated and connected cities and neighbourhoods adopted by partner cities	Increased number of partner cities that have adopted and implemented policies, plans or designs for compact, integrated and connected, socially inclusive cities and neighbourhoods	10	25	30	50	40	Achieved

Input of CPEDU under EA2.2) (Source: Annual Progress Report 2016: 31

CPEDU has achieved the Expected Accomplishment EA2.2 in the evaluation period and is on target for attaining the biannual target for 12/2017. By the end of 2016 at least 40 partner cities have adopted policies, plans and design towards sustainable urban development. It is highly likely that, by the end of 2017, the target of 50 will be reached.

There is proof that by December 2016, ninety one partner cities had adopted improved policies, plans and designs and that CPEDU contributed 40 to this list.

Likewise, is it highly likely that CPEDUs outputs (such as 12 EGM, five special events) have successfully addressed EA.2.2i, and that many of CPEDUs activities and respective outputs contributed to EA.2ii (e.g. the LABs Workshops and the Urban Planning and Design

Guidelines for the Republic of Myanmar [33]). Interview respondents from partner cities reported that they highly valued the establishment of dialogue between stakeholders. However, monitoring is lacking, especially for outcomes and impacts. It is also evident that all the LAB, the GPSP and CPEDUs activities (normative materials, trainings, advisory services and field projects) have substantially contributed to the achievement of the EA2.2 through the entire range of outputs. For example, in December 2016 the LAB cooperated with city partners in 25 countries (39 cities) and the GPSP worked in 23 countries (37 public space projects), all these aiming to strengthen the capacities of their city-partners.[49] Nonetheless the evaluation found that there are gaps, namely of a formal nature, and that these gaps could have been avoided if targets were better articulated, set and reported.

G 1.	The formulation of SG FA2 in the SP 2014-2019 does not capture a higher synergetic level of results at branch level and so does not encourage a higher level of cooperation and integration between the units within the branch.
G 2.	Comprehensive reporting at the branch level towards the strategic results of FA2 (quantitative and qualitative) is rather weak.
G 3.	Numerical and qualifying operationalization of targets had not been well defined for the two Sub Expected Achievements affecting reporting.
O 1.	With the cumulative knowledge developed by CPEDU with its established components LAB and GPSP, it can disaggregate indicators/targets of accomplishments in the new Strategic Plan for each one of the components.

G = gaps; O = opportunities

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[48] Evaluation of the Implementation of UN-Habitat's Medium Term Strategic and Institutional Plan 2008-2013 (UN-Habitat 2012), Evaluation of the Cooperation Agreement between UN-Habitat and Sweden 2012-2015 (UN-Habitat 2016), Evaluation of the Implementation of UN-Habitat's Strategic Plan, 2014-2019 (UN-Habitat 2017).

[49] A further and more critical assessment of the frameworks and the respective goals, indicators and targets is presented in section 4.2.2. Effectiveness.

4.2 Assessment of evaluation criteria

4.2.1 Relevance

Relevance and appropriateness

What is the relevance and value added of the city planning and design strategy (unique selling point)?

The findings of this evaluation reflect a high degree of relevance and unique value of the city planning and design strategy and CPEDU's work towards Sustainable Urban Development.[50] This is mainly due to the combination of the unique significance and quality of city planning and design, the specific setting and approach of CPEDU, and the distinctive characteristics of UN-Habitat as a UN organization.

UN-Habitat has significantly contributed to the reinvigoration and renewal of urban planning in the international development community and beyond. This new urban planning is process based, integrated, and participatory. CPEDU was established as UN-Habitat's arm to test and implement this approach. It refined it further through the three-pronged approach combining planning with economy and legislation, which included the aspect of urban design. It identified five qualifiers: compactness, integration, connectedness, social inclusion, and climate resilience to achieve improved policies, plans and designs[51].

CPEDU is a UN body promoting credibility, validity, convening power, political neutrality, and with mandate to set global policies and guidelines, the ability to analyse data at a global level, to combine policy with practice and to address local governments. The findings of this evaluation (interviews, survey responses, observations) largely confirm these unique and value adding qualities, CPEDU's catalytic role, and mandate towards sustainable urban development.

Many of the interviewed partners and survey respondents attest to CPEDU having very high levels of target, system, and operational knowledge, responsiveness and progressive content and innovative capacities. The majority of the respondents affirmed the relevance of city planning and design as a development instrument and of public space as an ingredient of sustainable urban development[52].

The LAB enjoys a reputation of being highly knowledgeable and professional on city planning and design processes and techniques[53], as well as being responsive, agile, and effective (able to convene high level experts in a short time), to transfer and adapt knowledge from other places, to generate quick, catalytic projects that are responsive, to an extent, to local conditions, and capable of the integration of issues, especially between spatial planning and the environment. Its plan of setting up a global network of planning labs was deemed as highly relevant. Some respondents pointed out that despite the participatory process, the LAB tends to over emphasise the physical plan rather than a more comprehensive spatial planning and design approach, and that it only indirectly addresses the vulnerable and the poor.

The GPSP is especially recognized for innovation and expertise in process based and in participatory design, high levels of normative and operational knowledge and expertise, its ability to link academia, policy and practice, its aptitude to address and to integrate diverse stakeholders, its high quality partnerships and efficient networks, and not least, its focus of working with the beneficiaries and target groups, especially women and youth. Among the few criticisms of the GPSP is that it does not target enhancing public space planning and design capacities in partner cities, but focuses more on advocacy for public space and participatory methods[54].

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[50] Some mentioned aspects pertain to the entire UN-Habitat organization and naturally reflect upon CPEDU

[51] These elements make up the strategic goal of the FA2

[52] In the opinion of the evaluators, the relevance of public space and of a new approach to planning and design is even higher in contexts where these issues are not part of institutional/cultural legacies (such as for example South Africa).

[53] Some of the results of the survey that was part of this evaluation affirm the relevance of the LABs work. For example, the highest priority city problems identified by participants were 'urban sprawl' 'traffic congestion' and 'rapid growth'. Poor access to 'basic services' and 'infrastructure' and 'lacking human scale and walkability' came second in rank. (See Survey. Question 10)

[54] Several respondents also missed a diversity of participatory tools, a broader view of PS types beyond parks and playgrounds, and pointed out some preconceived recipes of how PS should be used that is grounded in the EU experience.

CPEDU's normative outputs (such as EGMs, UPCL, CB-KMP activities) enjoy a high reputation for their specific value and relevance which lies in their ability to identify high priority topics, to address diverse target groups, and to bridge research and practice. Nevertheless, a

significant disparity in the relevance and quality of the guidelines, policy reposts, and toolkits was observed, reflecting the declining resources and capacities for these purposes. (See 4.2.3 Review of selected documents).

L 1.	Establishing venues of communication between stakeholders within different levels of government and across sectors with private sector and local communities is as valuable as the LAB's and GPSP's more concrete outputs whether a plan or an implemented public space.
L 2.	Advancement in the chain of results, i.e. scaling up, to reach policy level aspirations can only occur if projects and operational activities are linked to the priority issues of the city such as safety (Nairobi, Johannesburg), environment (Belmopan), refugees (Sudan, Kalobeyei), and heritage preservation (Nepal).
G 4.	LABs strategy to transfer knowledge to local partners through "learning by doing" needs to be strengthened by engaging local practitioners in the planning and design field more.
O 2.	GPSP can easily widen the scope of its normative knowledge to wider cultural interpretations of functions, meanings and types of public spaces, adapting its strength in universal design principles to guide more actively (beyond participation) the design of more context specific spaces.
L= lessons; G = gaps; O = opportunities	

Consistency/ alignment with overall goals and with target beneficiary needs

To what extent is the implementation strategy anticipating/accommodating towards SDGs, the New Urban Agenda and the three-pronged approach?

CPEDU's, the LAB's, and the GPSP's goals and their work are more than adequately aligned with the goals of the SDGs, the NUA and the three-pronged approach. A main factor here is that UN-Habitat (with CPEDU and its predecessors) was among the main drivers of establishing the SDG 11, the NUA and also the three-pronged approach as an in house strategy.

Sustainable urban development, through a renewed city planning and design, has an impact on all SDGs. The LAB's work is particularly aligned with SDG 11.3 ("By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries") and the GPSP's work with SDG 11.7 ("By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and

children, older persons and persons with disabilities").

Examples of NUA alignment include GPSP's alignment with NUA principle 100 on public space planning and design and the LAB's affiliation with principle 98. Also, CPEDU's training and normative core publications are aligned with SDG 11 and the NUA, with significant emphasis on the 3-PA.

The evaluation observed that CPEDU is well aware and active in shaping and contributing to the process of SDG and NUA implementation and the need to define its own role[55]. Findings from Key Informant Interviews highly advise the LAB and GPSP to put more effort into the interpretation and adaptation of the NUA principles and SDGs and avoid falling into the trap of standardised solutions.[56] The following quote by one of the survey respondents supports the assessment on the pertinence of NUA and the SDG implementation and a key role of CPEDU as a part of the UN in the process.

> ***"NUA implementation is central. ... Everybody is working on NUA implementation, but not everybody is a reference organisation" (Planning Expert)***

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[55] CPEDU efforts in the elaboration and further refinement of SDG indicators is highly relevant and needed

[56] The LAB, for example, should explore more than the grid street pattern to achieve connectivity, or one housing typology (the walk up) to fulfil the advisable densities. Similarly, GPSP should avoid narrow definitions of functions in public space; leisure activity programs that may be appropriate for Latin America could be alien to other regions. Promoting accessibility to all and all inclusive public space should be achieved relative to and adapted to local cultures.

L 3.	The role of CPEDU that sets it apart from others adopting the proactive approach to steer urbanisation through planning and design, is that they balance the three-pronged, implementation oriented approach with other goals such as "leaving no one behind" of the Agenda 2030. What should be reenforced is factoring into projects the equitable distribution of benefits as well as into policies and regulations.
L 4.	The LAB and the GPSP exemplify that thematic concentrations within comprehensive integrated solutions require input from various experts in different fields of expertise.
G 5.	A latent weakness of the LAB lies in its expertise and orientation on people including considering the vulnerable, gender equality and the youth (SDG, NUA), and in its adaptation of global standards to different local contexts and lifestyles (NUA); the latter applies to the GPSP as well. The NUA should not be operationalized as standards.
O 3.	The GPSP still suffers a relatively undeveloped three-pronged approach[57] but can quickly benefit from the advances and synergies formed in this regard between the LAB and the two respective branches, legislation and finance.
L= lessons; G = gaps; O = opportunities	

To what extent are the objectives and implementation strategy consistent with UN-Habitat's overall strategies

CPEDU's work is consistent with the overall strategy of UN-Habitat, especially in the focus on "implementation", "integrative approaches" and "building on partnerships."

The philosophy and work of CPEDU is in line with the goals of MTSIP 1009-2013 "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"

and of the SP 2004-2019 "Well planned, well governed and efficient cities and other human settlements with adequate infrastructure and universal access to employment, land and basic services, including housing, water, sanitation, energy and transport." CPEDU's philosophy is that a new approach to city planning and design is a crucial instrument to achieve sustainable urban development, and that will prevent more slums, inequalities, and resource inefficiencies, etc. CPEDU's capacity and experience on the implementation of field projects, on integrative methods and on partnerships (especially with the private sector) is of specific relevance for the agency.

L 5.	CPEDU's work is an advocate that convinced governments at different levels of governance that city planning and design is a crucial instrument to achieve sustainable urban development.
G 6.	An implicit assumption that positive effects of the city planning and design approach will "somehow" trickle down to the poor is not sufficient. The mechanisms that produce poverty and exclusion are still inadequately addressed.
O 4.	Lessons learnt from implementation and demonstration projects are most valuable for inhouse transfer of knowledge and for normative outputs to partners, however, they have not been sufficiently supported as such, captured and shared so far, so there should be resources (time, funds and expertise) set aside just for that task within CPEDU.
L= lessons; G = gaps; O = opportunities	

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[57] GPSP has potential to apply the three-pronged approach with clear legal and financing tools at the city wide strategy level and at the individual public space project level, yet the work on value capture mechanisms and how to embed those in city regulations is still in progress.

Alignment with regional, national and local policies

While the needs of governments from various regions and countries are diverse, the unit has developed an approach that addresses a common interest shared by most governments. In the centre of this success is a close cooperation with regional and country offices, partner cities and other local partners (See Partnership section).[58] In contrast to urban planning, public space policies are rarely part of national policies. To this end a new initiative on public spaces as part of NUPs between the GPSP and the RMPU is highly relevant.

Overcoming the challenge of using universal knowledge and solutions in a diversity of local contexts is still in progress, and more work remains to be done. Key Informant Interviews also identified work to be done on guidelines for the implementation of the three-pronged approach and expressed that in general global policies and norms needed to be sufficiently interpreted to suit specific local contexts. Many local experts and colleagues in UN-Habitat pointed out that the city planning and design approach needs to be more sensitive to social and cultural aspects, "the place of cultural differentiation is not sufficiently considered" one expert explained.

L 6.	The three-pronged approach is always a welcome approach to governments in different contexts because they all value 'implementability' of plans and the intervener, and CPEDU uses it as leverage to introduce other principles of city planning and design and the implementation of the NUA and the SDGs.
L 7.	Collaboration and coordination with ROs and COs serve two main purposes, that the unit's work is better accepted within the national and local policies, and that UN-Habitat is perceived as an integrated well coordinated body; for city's respond better when they are not confused by fragmented uncoordinated interventions.
O 5.	Focusing more on providing the service of 'reviewing urban plans and policies with respect to the city planning and design approach of UN-Habitat instead of doing directly. Engaging local planning and design firms in the process, although challenging, can enhance dissemination, alignment, and implementation of the NUA and the SDGs', while at the same time achieving the aspired two way knowledge transfer.
L= lessons, O = opportunities	

Alignment with the needs and priorities of target beneficiaries

Based on the documents and interviews with key staff conducted in this evaluation, UN-Habitat's target beneficiaries are mainly representatives of the local governments. All other partners and stakeholders affected by CPEDU's activities are also important. (See 4.2.6)

The evaluation affirms that CPEDU, including both the GPSP and the LAB are well aligned with the needs of local government officials in partner cities. The fact that the unit works on a needs basis and employs efficient criteria for suitable partners ensures high demand and relevance. A particularly popular output is the UPCL combination of guideline and trainings.

The LAB's country guidelines on sustainable urban development and Urban Planning and Design (Sudan, Myanmar) and its workshops and charrettes are other successful examples aimed at training government officials. The learning process and the produced plan function as demonstration cases. Most often these activities generate highly positive feedback and regular requests for more (CB-KMP paved the way for projects in several counties in Kenya). Although local community representatives also participate, the selection of the participants needs more attention to balance the powers within local communities. This would ensure that local needs are better addressed.

In the case of GPSP's demonstration projects on public space design, the main target beneficiaries are the communities and their organisations. The most important

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[58]   Still the relevance of CPEDU outputs to national policies and priorities is different for each CPEDU component.

lesson lies in the demonstration of how a participatory process works and how urban space is co produced. The government partners are central stakeholders who learn through the co implementation and "observation" of the processes and the results. However, an overemphasis on green spaces, and the focus on leisure as the main function, is rooted in definitions of public or open space in the legislation of many countries and cities, limiting the potential relevance the topic could have in local policy.

The NUA considers streets as public space and one of its many gains, and GPSP should therefore build upon that and address the rich and diverse meanings and types of public spaces.

"The lab focuses on providing 'quality plans' more than transferring knowledge to do them." (Key Informant Interview respondent)

L 8.	The LAB can best identify the local requirements and engage local stakeholders in meaningful participation processes when local COs, or in some cases ROs or local champions are well connected and understand the political, social and institutional set up as well as the culturally acceptable ways of engagement.
G 7.	GPSP's knowledge needs to grow in the understanding of the diversity of urban typologies and patterns of urban lifestyles, of public space use and dynamics (including streets as public space), in addition to the financial and legislative aspects (three-pronged approach).
O 6.	Plans and spatial planning strategies at city level are highly relevant (and effective) outputs of both the LAB (Johannesburg) and GPSP (Nairobi, Addis Ababa) and should be given priority, more articulation and support in the forthcoming 6 year strategic plan.
O 7.	Most of CPEDU's operational activities generate new local demand for more, deeper and longer support (for example on more specific local standards, on finance, or implementation tools). While an opportunity, it is also a challenge for the EA2.2ii aims for the capacity building of cities to be more independent; UN-Habitat "works towards being less needed."

L= lessons; G = gaps; O = opportunities

4.2.2   Effectiveness

Achievement of results and likelihood of achievement

To what extent has the city planning and design strategy achieved its intended results (outputs and outcomes)?

Section 2.7 presented CPEDUs progress made since its creation in 2012 and the key outputs delivered, while section 4.1 portrayed the level of numerical achievement of CPEDUs with very good marks on the numerical outcomes. From what was presented one could see that CPEDU achieved the planned outputs and it is on track of achieving the planned targets for 2017, with operational activities (Technical cooperation) steeply increasing between 14/15 and 16/17 from 38 to 174 of realised outputs and respective targets likely to be outperformed by 125% by Dec. 2017.

At the same time the share of "extra budgetary" normative outputs in the total number of outputs has steadily fallen from zero eight in 2012/13 to zero eleven in 2016/17.

Moreover, the majority of the outputs that are planned or in progress are highly pertinent to promoting effectiveness (for example the "Urban planning toolkit and training modules").

This section outlines the findings on effectiveness of CPEDUs work, including the assessment of the outputs, a reflection on the design and reporting of the city planning and design approach and EAs (based on the (SP 2014-2019) the outcomes (based on the BWBs). Furthermore, the approach and outcomes based on the ToC especially on the LAB and the GPSP that are not specifically covered by the project frameworks are discussed.

G 8.	The declining share of normative outputs poses a potential challenge given the normative mandate of CPEDU (as part of UN-Habitat), while strategies and support to balance of operational and normative activities are lacking.

Appropriateness and feasibility of CPEDU's strategy: Factors supporting and constraining the effective attainment of results on four levels design, adoption, implantation, transformation.

This section discusses the appropriateness and feasibility of CPEDUs strategy and change philosophy as stated and embedded in SP 2014-2019.

In light of the assessment of the outcomes based on the investigation in this evaluation study the following are some critical aspects that can enhance CPEDU's already high achievements. They involve certain qualitative and technical issues that could be addressed in the next strategic plan:

- **Quantitative emphasis:** a systematic bias towards what is easier to measure is directing indicators and measures of success in the UN-Habitat strategy towards numbers that do not serve the assessment of results beyond the short-term outputs and outcomes. This is also negatively affecting the visibility of CPEDU's work which includes a rich experience of positive outcomes, promising impact as well as standing challenges and pitfalls to learn from.

- **Pros and Cons of 2017 update:** Most of the new elements added during the 2017-2018 revision of the SP 2014-2019 are highly relevant (especially on participation, inclusion as part SG FA2 of the poor, SDG and NUA and on prioritising upgrading and renewal before new schemes). Some others are not operationalized enough (e.g. "gender responsive", "territorial", "urban rural" etc.) and while originating in the NUA need to be better reflected in CPEDU's city planning and design approach.

- **Neglected issues:** The strategy and its targets and qualifiers are weak on the role of: adaptability and local appropriateness, different forms and typologies of public spaces, relevance of urban transformation and regional urbanisation instead of only growth and sprawl, the integration of scales, relation to urban management, the importance of reviews of existing plans and processes.

- **Vague qualifiers:** A high number of the elements describing the qualifiers that are used tend to be unspecific and vague. Terms such as "partner" city, "adoption" of plans, even "strengthened" capacity, "improved" policy, can be understood to mean different things and thus lead to inconsistent reporting. The terms are not sufficiently operationalised and need indicators, for example, to identify "adoption" of a plan; does it mean that it was approved by a mayor, funds were allocated according to it, implementation took place... all different measures of adoption. In the same vein the verification of the numbers that are reported is not clear. This promotes reporting of "success" but hinders a meaningful reporting and learning processes on quality achievements and results.

- **Absence of joint results:** Despite an indicator no "joint" results are reported for SG FA2, but the three units report their individual outputs and achievements separately. The situation does not enforce branch level cooperation in monitoring and delivery, and often results in CPEDU carrying the burden of the entire urban planning process beyond the spatial planning and design dimension which is the special expertise this unit has within UN-Habitat.

- **Learning, Monitoring and Evaluation:** Lacks indicators and targets on learning or impact monitoring, or organisational efficiency.

G 9.	Capacities and resources for monitoring and learning are too scarce reflecting the weak emphasis on learning and knowledge transfer in the current strategy as well as the reporting systems.
O 8.	CPEDU can and should be more involved in carving a place for itself in the new strategic plan, in the design of the documentation and monitoring system that applies to UN-Habitat, and finally in the refinement of the indicators of the NUA and the SDGs it contributes in achieving.
O 9.	The potential of field projects to produce local impact and to extract lessons is underutilised as long as reporting is only focusing on numerical achievement of outputs and outcomes.
G = gaps; O = opportunities	

The subsequent part discusses the main elements that support, or constrain an effective attainment of results for CPEDU, the LAB and the GPSP based on the ToC instrument that was developed as part of this evaluation (Sec. 3.3.1). The section discusses the outputs level of "design" and the outcome levels "adoption", "implementation" and "transformation". It is noteworthy however that the cycle of urban transformation and development planning needs implementation and support by many and that CPEDU also works in a complex organization with division of tasks within UN-Habitat. It is obvious that CPEDU would not be alone in addressing this entire cycle and needs cooperation and partnerships to deal with every step of the development process in a comprehensive way. It is important to note that the factors supporting and constraining effective achievements of short, medium and long-term results are complex and most importantly context dependent.

Kids presenting their ideas during the block by block workshop in Izmir, Turkey © Abdullah Özden

*Supporting and constraining factors at
planning and design level (output)*

CPEDUs factors of success at the level of planning and design are: the strong mandate of planning and design (including by the SDGs and NUA), a robust reputation for relevance and excellence, experienced leaders with a diverse set of skills, a set of strong values, principles and instruments on sustainable urban development, dedicated staff, a history of support by donor partners, a track record of partnerships with professional organisations at regional and global levels, a rising funding base of earmarked projects, experiences through the CB-KMP programme, a series of renowned "flagship products" such as the UPCL and also the combined and partially complementary strengths of the LAB and the GPSP.

Factors limiting efficiency are a decreasing funding base for non earmarked activities, stagnating permanent staff numbers, shortcomings related to the understanding of institutional urban planning processes, governance dynamics, the political economy and stakeholder dynamics of urban development, of cultural processes and local lifestyles, gaps on understanding negative externalities and on mitigation mechanisms, challenges related to administration and bureaucracy of the organisation and the UN System (well described by other evaluations).

The LAB shares CPEDU's attributes. Additionally it brings in the following strengths: can operate on a needs basis in areas where planning and design are most needed (i.e. post disaster contexts), a catalytic approach combined with strong technical skills in planning and design, speed in responsiveness, iterative and integrated planning and design potential, the SDG 11.3 and a "mandate" to implement through the three-pronged approach, the shared legal and climate change expertise, effective partnerships with professional networks (ISO-CARP), donor partners (Arcadis) and governments.

At the same time the challenges and risks comprise: a limited capacity to adapt principles locally, a relatively high share of consultant experts with high turnover rates and therefore low levels of institutional memory, an inclination to focus more on plans and designs instead of on the process of transferring the knowledge to recipient partners, reliance on earmarked projects (slowly being minimised by the amount of resources that local governments themselves started contributing), and exposure to donor bias.

The elements promoting effectiveness on GPSPs side are: a catalytic approach to demonstration of participatory design, a needs based approach driven by the beneficiaries, the SDG 11.7 mandate, strong partners and partners' selection criteria (esp. at grassroots, international networks and donor level), the ability to capitalise on complementary issues (safety, gender, heritage etc.). One important challenge and risk (in addition to the ones mentioned in the context of CPEDU above) is that GPSP does not play a role in guiding professional design of public space and relies on the outputs of the participatory process and local design experts.

*Supporting and constraining factors at
adoption level (short term outcome)*

Adoption of plans, design and policies lies beyond CPEDUs direct line of control. CPEDU can only contribute to this outcome (to increase its probability). Among effective avenues to achieve this are competent and convinced policy makers, informed and supportive stakeholders in the context of effective governing settings, administrative, legislative systems and political stability. There is evidence that CPEDU is effective at individual and institutional level through increased policy dialogue (EA2.2i) and capacity building of city institutions (EA2.2ii) on the relevance of new and innovative approaches in city planning and design.[59]

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[59] From the perspective of the survey respondents (Q.13) the main obstacles on the design of plans and policies were 1. Insufficient technical knowledge and skills (51%), Weak institutional and management structures (51%), Low financial resources (40%). Apparently CPEDU is mainly focusing on the first issue but without focusing on transferring the knowledge, while also addressing the other ones, for example finance through the three-pronged approach and institutional and management aspects through the two Sub-EAs.

Moreover, the mandate of implementing the SDGs is an eminent factor supporting the adoption of plans and designs by local governments. CPEDU is most productive where it works with partners that have been selected through criteria that ensure their shared objectives and commitment and that minimise the larger political risks. Strong cooperation with ROs and COs with their presence and expertise, boosts success especially where CPEDU is a partner of larger initiatives with more financial and political momentum such as in the case of the KMP support programme.

In the case of the LAB the additional factors supporting effective adoption are the quality of the plans, a demand and revenue based selection strategy of the projects, strong relevance and location in post disaster and least developed countries. The Global Network of LABs is a relevant model to increase global presence and context competency.

Elements constraining adoption are the short "contractual scope" that provides little or no time for an adequate understanding of local governance settings and planning cultures. This makes it impossible to attain a broadbased consensus and support that would outlive sensitised individuals.

In the context of political instability, a sustainable future of many of the plans and policies and designs is highly uncertain. Adoption of project documents is also related to making documents (legally and politically) acceptable. ROs and COs have a role in this.

GPSP main elements promoting adoption (in addition to other factors mentioned above at CPEDU level) are its strong partner selection criteria ensuring that its interventions are demand based, and that adoption and implementation are planned, its reliance on participation and a broad stakeholder engagement especially at grass roots levels.

The demonstration effect of the workshops and interventions, and a close cooperation with local governments are also key. Constraining factors are the short contact times (as in the LAB), a lacking capacity/abil ity to produce and to support statutory plans (i.e. on a city wide level) and hesitation to integrate public space policies into the regulatory frameworks. A deficient knowledge of operational processes and dynamics of public spaces after they are built, and low capacity to transfer public space planning and design knowledge to partners are also noted.

The survey results greatly affirmed the vital importance of governance related factors such as adequate management capacities at national levels (Table 9) coordination between departments and capacities at local levels. The "absence of Quality plans" was perceived as a much less important factor (Table 10). Both tables assert that CPEDU cannot and should not be working alone and that the close collaboration of other units and branches is necessary, such as Governance.

Table 9. EGM Selected survey results on obstacles to adoption at national level

(Q.13, 3 Answers were possible per respondent)

Answer	%
Weak institutional and management structures	62%
Lacking political will	49%
Lacking political consensus	38%
Low financial resources	32%

Table 10. Selected EGM survey results on obstacles to adoption at local level

(Q.14, 3 Answers were possible per respondent)

Answer	%
1. Lacking coordination between sectors and/or departments and units in charge	38%
2. Lacking capacities	32%
3. Corruption	27%
9. Absence of quality urban plans	16%

G 10.	There is a lacking focus on medium and long term management and operation that should be embedded in the outputs and not an afterthought.
G 11.	There is too little attention given to institutional planning processes, the political economy of planning, dynamics of externalities (e.g. social exclusion) and their mitigation.

Supporting and constraining factors at implementation level (medium term outcome)

Effective mechanisms through which CPEDUs seeks to positively influence the implementation of improved policies, plans and designs are products such as the International Guidelines on Urban and territorial Planning (IG-UTPs) (seeking to promote organisational knowledge, capacities and coordination)[60], the three-pronged approach (and local champions, as well as capacity building of local stakeholders (including decision makers, as in the case of Capacity Building Kenya Municipal Programme).

Moreover, if developed properly, the guidelines for implementation of the NUA and SDGs will be a significant means to affect implementation in the future. Significant potential would also come from the more systematic use of IG-UTP. Equally relevant, instruments such as policy reviews as well as city wide, regional and national approaches, as well as specific financing and legal frameworks for implementation are potentially very effective to promote implementation. These are also addressed by other units and branches within UN-Habitat. Therefore, collaboration with the respective entities is key.

The survey respondents pointed to political, financial and administrational constrains as the main factors effecting the implementation of plans and policies at national and local levels (instead for example the quality of the plans and policies, or technical skills)[61] (See Table 11).

Table 11. EGM Survey results on the obstacles in the implementation of plans/ policies at national and local level (Q.14, 3 Answers were possible per respondent)

Answer	%
Weak institutional and management structures	68%
Low financial resources	43%
Lacking political will	38%

A survey respondent addressed the gap emerging as a result of the above observation, stating that:

> *"CPEDU lacks to address the links between the 'good' urban plan/design and the coordination and local capacity needed to see it through…" (Q.16b)*

Other survey answers pointed at the importance of adaptation of global solutions (such as the 5 principles) to the local context and needs and the pertinence of partnerships in this context. For example, one response indicated that:

> *"UN-Habitat team should spend more time in understanding /documenting this diversity and develop appropriate communications to various regions. It should partner with regional studies/ universities/academics to develop and share such information" (Q.16b)*

The effectiveness of field projects is strongest in advocating the city planning and design approach including public space. They are highly effective as entry points (LAB on demand basis, and GPSP upon application) and demonstrate well to partners the importance of city planning and design.

Their effectiveness is weaker in regulating implementation, sustainability of initial results, monitoring impact and in promoting learning. In general, the minimal "contact times", and the fact that field projects need a

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[60] Two experiences of using IG were implemented – in Belarus, to work on planning systems and looking at principles (IG), their more specific spatial dimensions (UPCL) and outcomes (with LAB approach). The combination of these three tools and approaches has been very innovative. However, it is not documented nor replicated for lack of interest in a joint product between the two Units. In Sri Lanka, an assessment of the Colombo Plan was developed based on the IG-UTP principles, and used as a basis for discussing implementation and how that could be guided – (Interview, CPEDU staff member).

[61] Interestingly the aspect of "legislation (16%), or rather lack of certain legislative tools (land for example 18%) was hardly considered as an obstacle.

significant period to unfold in an urban context, hamper the ability to understand the outcomes and effects on the ground and to extract lessons learned. Typically, the respective resources and capacities for local monitoring and evaluation do not exist. The focus on medium and long-term management and operation and project lifecycle, combined with selective implementation of

parts, raises the probability that the capital projects deteriorate leading to wasted resources and/or negative reflection on UN-Habitat's image and reputation. The factors mentioned apply to both GPSP as well as the LAB with the difference that the LAB's line of control does not include implementation.

L 9.	While the LAB mainly works on an operational level, the main supporting factor is its credibility, expertise, training capacity and its efforts to conceptualise and accomplish "bankable" projects, it can only proceed beyond plans into adoption and implementation when accompanied by partners who can understand the local political dynamics of cities and stakeholders, of markets and dynamics of land and housing, on the integration of various levels of government and on the enforcement of regulations and engage with more stakeholders including private sector to be able to mitigate political risks.

Supporting and constraining factors at the transformation level (long term outcome)

CPEDU managed to trigger substantial, long term transformation through its impact on UN approaches and policies such as NUA and the SDGs, through a significant impact on networks and communication platforms of practitioners, policy and decision makers and professionals in the field as well as a high quality of work. More opportunities for triggering effective transformation include addressing the dynamics of developers and banks and at the same time an even stronger lobby for

human rights. Also, normative work of highest quality corresponding to the status of an authority and thought leader in the field is essential (See Sec. 4.2.3)

One can conclude that the extent to which CPEDU, attains results on four levels of the urban planning process is partially satisfactory. Nonetheless, it is important to emphasise the dependence on others and therefore CPEDU needs to focus much attention on how city planning and design connects to the other necessary dimensions.

Structuring road being built in Canaan, Port au Prince, Haiti © UN-Habitat

L 10.	Success in effective adoption largely relies on CPEDU's partner cities and that good governance and political support are essential for success in adoption and implementation.
L 11.	ROs, COs and/or local partners have a crucial role in realising the targets of demonstration projects; this role should be acknowledged and clear in the agency's strategy based on the existing good practices.
L 12.	Design can have strengths in certain aspects but could still be 'inappropriate' i.e. of the wrong qualities and standards with respect to the sociocultural context and user lifestyle patterns.
L 13.	Sustaining participation and 'handholding' takes time and effort, but is in high demand, and projects effectiveness and efficiency are jeopardised when the inclination is to avoid it and assume it is solely the responsibility of the local stakeholders (national and local government institutions on the one hand and local community representatives on the other).
G 12.	In general, the quality of planning and design is high, yet in some cases, even if it is high, it can be inappropriate to local conditions, and / or does not sufficiently address the local capacities of those who will implement, operate and manage it.
G 13.	CPEDU needs to be capacitated to monitor impact and monitor changes on the ground of implemented projects (case of GPSP), or adoption and implementation of plans (case of LAB), or what capacity building recipients do with the acquired capacity.
O 10.	Potential synergies between the respective strengths of GPSP and the LAB are starting to be explored as well as regulated collaboration with internal partners increasingly through IHA mechanism (too soon to be evaluated fully in this study).
O 11.	To learn from the ground, based on the experiences of implementation especially in regard to administrative and governmental dynamics is yet to be explored and requires support in resources and reporting mechanisms from higher management within UN-Habitat.
O 12.	Restoring the learning loop would enhance visibility and capacity of CPEDU and help it rise to become the global reference point on Urban Planning and Design policy towards sustainable urban development, and the leader in the implementation of the spatial planning and design aspects of the NUA and the SDGs.
L= lessons; G = gaps; O = opportunities	

4.2.3   Efficiency

This section examines the efficiency of CPEDUs products and the role that the organisational context and capacities play in generating these, in other words product efficiency and organisational efficiency. The "product" review includes: a review of normative outputs (advocacy materials, technical documents, guidelines, instruments and toolkits), of trainings and EGMs, of the advisory and planning services, and of the field projects. The discussion of the organisational aspects examines governance/administration, resources, and communication and learning, and considers the dimension of the LAB and the GPSP.

Review of "Product efficiency"

Review of normative and technical materials (Product efficiency)

Of specific relevance for CPEDUs success is the efficiency (and effectiveness) of its normative and technical materials. Only if these materials are of highest quality can the organisation maintain its role as a global reference point.

Review of selected documents

The results indicate a generally satisfactory rating, with one document rated as "highly satisfactory", six documents assessed as satisfactory and three documents marked as partially satisfactory. The small sample size still reveals the variety of purpose of documents produced by CPEDU and its components. The fact that they are all treated equally with regard to dissemination poses a problem.

The document that received the highest score[62] in all aspects was authored by another branch in cooperation with CPEDU and the LAB. Most of the documents scored highly satisfactory on their alignment with overarching goals and principles and satisfactory for form and content. At the same time most have addressed the cross-cutting issues at partially satisfactory levels.

The relevance of all of the publications was highly satisfactory. However, the majority of the publications did not meet highest standards of policy and technical outputs that would be expected from an agency such as UN-Habitat. They are more project and need driven documents than deliberately planned. Therefore, while appropriate on some occasions as project technical documents, or training manuals in a specific city, they lose points if judged as generalizable normative outputs.

Categories of publications could be fewer and clearer to readers. Furthermore, even in the project based technical documents, certain improvements could benefit the output. These include more consistency in statements, references that would provide evidence to the arguments made and which would also enable the readers to access further knowledge and data. Appropriate integration and contextualisation in diverse state of art knowledge and practice is also needed (currently there are too many European examples).

L 14.	The value of deliberate, collaborative, interdisciplinary work seems to be higher as compared to outputs that focus only on one topic, similarly focused guidelines and manuals would be more effective (have a higher global impact) and efficient if generalised beyond the case study they initially emerged for.
L 15.	Normative documents and technical guidelines can only be highly efficient (have global impact) and comply to UN-Habitat's position if they meet highest possible standards.
G 14.	There is an apparent lack of policy driving normative and technical outputs: and as a result, documents produced for specific projects are published without distinction from the global and deliberate, normative publications.
O 13.	The product efficiency of selected normative outputs issued from local projects is partially satisfactory if judged as generalizable and deliberate UN-Habitat normative outputs but can easily be consolidated (more than one project) or generalised (as is the case with the Nairobi Public Space assessment Tool) and raised to the standard of UN-Habitat high quality publications.
L= lessons; G = gaps; O = opportunities	

Review of Plan Assessment Checklist/ Tool

The tool is highly relevant, and its potential is very high, but its product efficiency (and effectiveness) are only partially satisfactory at the moment. This is a draft tool[63] that is being developed by CPEDU to facilitate the assessment of various types of plans and design.[64] The tool uses UN-Habitat/CPEDUs five criteria for

city planning and design approach plus crosscutting issues (compactness, connectedness, integration, social inclusiveness, climate change, gender, youth and human rights). The main criticism of the tool is that while its potential effectiveness to promote SG FA2 is extremely high, it lacks an explicit relation to SDG and NUA dimensions that are relevant for CPEDU. The level

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[62] See Supplementary material: "Document review summary"

[63] Based on a format developed by the Assessment Framework for the Strategic Result of Sub-Programme (UN-Habitat 2015)

[64] CWP=City Wide Plan, PCE = Planned City Extension, PCI = Planned City Infill, NP= Neighbourhood Plan, PSP=Public Space Plan

of clarity of definitions can be improved, otherwise it can be misunderstood to promote blanket standardisation and stereotyping. For example, many of the rating scales suggest that "more" is always better, but this is not necessarily the case, as there are also limits to density, connectedness, mixed use, integration etc. as many urban locations in the world demonstrate. Using optimal ranges might be better.

Initially used to review plans for self assessment, and reporting, the tool has the potential to be used to review plans of third parties for engagement in improvement, for advocacy, or for review of plans for pedagogic purpose

O 14.	The plan assessment checklist can consider SDGs and NUA factors more directly and quantitative measures can be presented as ranges to accommodate variety of contexts and always be linked to qualitative measures to avoid standardisation.

Efficiency of other advocacy and technical means and materials (website)

The presence of CPEDU's city planning and design approach in media and on UN-Habitat's platforms (UN-Habitat Website, Urban Gateway) can be greatly improved to be more recognisable and clear. For example, on the UN-Habitat website CPEDU, the LAB and the GPSP are featured under different headers. (i.e. Urban Themes: "Planning & Design"; Urban Initiatives: GPSP, PCEs, LAB. The global network of LABs and the main page is not a one stop shop on UN-Habitats approach on Urban Planning and Design. It is difficult for the reader to capture the "essence" of the city planning and design approach, including the main principles, tools and the three-pronged approach, etc. Adequate definitions are lacking Urban Design and Urban Planning and links to SDGs, NUA, and cross-cutting issues are not sufficiently clear.

The "Urban Gateway" has an Urban Planning and Design theme, and a network on the GPSP. But, here as well the presence of UN-Habitats' approach to Urban Planning and Design including the five categories as set out by SG FA2, or the central approaches such as the three-pronged approach is relatively low.

O 15.	The visibility, usability, and clarity of the City Planning and Design approach on the UN-Habitat website, the Urban Gateway platform and other platforms, can be easily improved.

Trainings and EGMs

Expert Group Meetings and trainings are a central means of CPEDU's, the GPSP's and the LAB's communication, advocacy, training and capacity building activities.[65] Typically activities directly involve partners and target beneficiaries, and so entailing a direct transfer of knowledge. The survey on trainings and EGMs in respect to efficiency (and effectiveness) points to the following main issues.[66]

- **Composition of participants:** The variety of institutions represented at EGMs and trainings was satisfactory. Nonetheless the evaluation deems the share of national government at the EGMs and of NGO and CBOs at the trainings as too low, as these also belong to important target beneficiary and partners groups[67,68].

- **Follow-up:** significant numbers of participants (EGM: 46% Q53), indicated that they had not been informed about the results in the follow up of the activity, while substantial numbers (EGM: 25%, Trainings 53%, Q28) in both categories, would like to in touch with UN-Habitat. The demand implies high relevance but sustainability of effectiveness beyond the training or meeting is still a challenge.

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[65] The main purpose of EGMs is to obtain knowledge input from experts and to promote cooperation on new solutions to eminent questions (for example the generation of the UPCL guidelines, or the refinement of SDG Indicators). An indirect purpose is to advocate and mainstream UN-Habitat's normative knowledge and to link up and network with various stakeholders and partners. The main objective of trainings is to disseminate knowledge and solutions on Planning, Design and sustainable urban development to target beneficiaries and partners, while networking and advocacy are also relevant. (In the case of CPEDU trainings can take diverse formats, from the GPSP's Minecraft workshops, to the LABs planning charrettes, to CPEDUs UPCL dissemination events.)

[66] Two surveys in combination with key informant interviews (See Sec. 3.3) have been the main means for assessing the efficiency (and effectiveness) of CPEDUs EGMs and training activities.

[67] The share of representatives of national government that participated in the EGMs was relatively low (3%) as compared to other participant groups such as academics (25%) and local government officials (16%). (Q3-EGM survey)

[68] A sufficient share of local governments (49%), but a relatively low share of local NGOs (6%) and CBOs (2%) (Q3- training survey).

- **Value of the activity:** Most of the participants were satisfied with the events. However, approximately one fifth to one third (EGM: 22% and T: 29%, Q.38) were not.

- **Format of the activity:** Various respondents, especially training participants, indicated that the information flow was too mono directional, and that sufficient room for mutual dialogue and sharing of experiences and local perspectives was missing. Others noted that the activities were too short and that they would not reach enough beneficiaries.

The following are some comments from respondents:

"Please provide regular updates. Include me in your circulation." Respondent ID90.

"three days are insufficient to cover the prominent aspects of the subject matter." (...) "The participants should also be given opportunity to share their best practices, experiences, issues and problems so that at the end of the workshop some solution may be possible." Respondent ID83.

[provide] "Follow up workshops of similar nature to ensure skills and knowledge transferred and acquired is actually being put to use." Respondent ID115.

G 15.	The aim of one EGM may differ from another and even trainings, so they require clearer expression of their purpose and objective in the reporting system which would then make them distinguishable and assessed better.
G 16.	Deficiency in resources to follow up and in learning, monitoring and evaluation measures of EGMs and Trainings.

Efficiency of advisory and planning services, and field projects

Advisory and planning services are among the LAB's main activities. They are also a growing activity for the GPSP. Based on the Key Informant Interviews, and evaluators' observations, the important factors that promote the efficiency of the LAB's advisory and planning services encompass an agile and flexible team where staff from different components within the unit, collaborate without strictly observed distinction lines (CB-KMP and LAB, LAB and GPSP), effective partnerships with external expertise, growing expertise in intervening in least developed, post disaster contexts, and intense contact time in the field.

Most of the factors related to the success of field projects have been discussed in the effectiveness section above most important for efficiency is UN-Habitat's and CPEDU's credibility that gives them the capacity to convene various stakeholders in the field.

At the same time, as observed elsewhere, the main elements obstructing CPEDU's efficiency, especially the LAB's, are bureaucratic administrative system within the agency, weak levels of cooperation and coordination among different branches, dependence on personal relations and good will of the teams, the relatively low numbers of target beneficiaries who have been trained to

do it themselves, and political risks on the ground.

"Sometimes we work in the same country, in the same city, but in parallel" (Key Informant Interview respondent)

GPSP has a strong focus on field projects for demonstration. In addition to the factors mentioned above, the efficiency of the GPSP's field projects and planning and advisory services is enhanced by the methodological focus (i.e. Minecraft), a widening of the human and financial resources through strong partnerships, effective selection criteria for partners and for beneficiaries, a high level of local ownership, and a high level of thematic integration. Factors constraining efficiency are the lack of a continuous engagement, and the monitoring of effects. In the medium and long term this can be considered low efficiency if the desired effects are not sustained.

A complicated factor is that in many instances UN-Habitat's approach of implementing spatial planning and design (especially that adopted by the LAB) has an inclination towards achieving efficiency at the expense of capacity building of local government partners, practitioners and decision makers to do it themselves. Furthermore, the handling of negative externalities and unplanned effects of the field projects needs more

attention and currently it is perceived solely as project partner responsibility. This poses a serious risk for the overall medium and long-term project success (including waste of resources). On the other hand, some project partners agree with the view that adopting, implementing and managing the plan is appropriately the responsibility of the partner city. It can be stated that the approach to the field projects still lacks some vital components in order to realise maximal potential; to become true demonstration projects.

However, it needs to be acknowledged that the shortcoming is also caused by the trends of earmarked funding and project based work with limited timelines and budgets. Indeed, both the LAB and the GPSP actively seek to address this dilemma, for example, through a newly emerging focus on the management of public spaces in the recent (09/2017) call for proposals on Small Public Space implementation projects. The LABs increasing IHA with other branches to assist achieving the chain results of the ToC is another approach.

L 16.	The same approach can be successful in one place and problematic in another. Conditions promoting project efficiency can vary from place to place, country to country, and region to region. Therefore, adaptable local strategies are vital.
G 17.	Continuous growth of short-term field projects takes up time and resources and is not sufficient to achieve global impact,
G 18.	CPEDU should address the risk of negative externalities and unplanned effects of the field projects.
G 19.	Short interventions related to earmarked, project based funding has its problems. It tends to lead to an inherent concentration on plans and designs (LAB) and implementation of one space (GPSP), at the expense of organisational and thematic integration, and to hinder capacity building of those who should do it themselves without CPEDU intervention (cities, practitioners, private sector and community organisations all together).
O 16.	The high relevance and advocacy achieved by the projects and advisory services are an effective entry point to build upon so that, with the collaboration of other units and branches (and other relevant stakeholders inside and outside the UN system), CPEDU can address the need for longer term hand holding and capacity building.
O 17.	The field projects can realize their full potential to become true demonstration projects, with some revisions in the organisational and financial settings related to earmarked funding and project based work as well as the adoption of integration promoting organisational setups.
L= lessons; G = gaps; O = opportunities	

The role of partnership criteria in promoting project efficiency

CPEDUs partnering approach has been highly successful in fostering the efficiency of projects. Suitable partnership selection criteria have been a vital component of this success. Expert partners regularly contribute through financial and/or human resources and/or through knowledge inputs. The evaluation found that most of CPEDU's partners are satisfied with the quality of the cooperation and are engaged. This is true for all levels, from donor-partners such as Arcadis Shelter or Ericsson, most of the partner cities (e.g. Johannesburg in South Africa, or Belmopan in Belize), national level partners such as in Haiti, and local organisations and CBOs (Mumbai Environment and Social Network and Centre for Integrated Development in Nepal). A vital success factor

here is the implicit and explicit partner selection criteria. More detailed findings are presented and discussed in the sections 4.2.4 Impact and 4.2.6 Partnerships. The following concentrates on the discussion of the partner selection criteria.

The GPSP selection criteria of engagement with partners on public space projects are addressed at city partners level and contain several elements of relevance for project efficiency e.g. the requirement of a clear ownership right on the project area and a lead role of the local government agency. Prioritisation of cities that have already received other UN-Habitat projects is also a consideration (Box 1). Other relevant criteria put forward by the GPSP project selection committee and the Mojang/Block by Block board focus on various types of implementing organisations and consider additional

quality aspects. These include social mix and integration, crosscutting issues (e.g. gender, youth, safety, inclusion), the profile of the partner organisation (including its experiences and track record), a contribution in cash or in kind. A partner declaration form (and later a fully fledged partnership agreement) is required.

Box 1. UN–Habitat's' criteria of engagement with city partners on public space projects (GPSP Annual Report 2016:47)

The GPSP considers the following criteria before engaging with a city

Public space pilot site/s have already been identified by the local government (and background information received by UN-Habitat);

Ownership and rights over the proposed site/s is clear;

The local authority or relevant government agency as the project owner and cooperation partner of UN-Habitat;

UN-Habitat can provide financing resources for technical services and one or two pilot/demonstration project, but the government/local authority counterpart has to be committed to deliver other public space sites as a means of scaling up;

The public space project has to take a citywide approach and have a city-wide impact, such as through a policy or strategy input; technical inputs to the master or structural plan for the city; through production of public space design, planning, implementation and management guidelines; through capacity building of local institutions, etc.

The opportunity to consolidate with a recent or ongoing UN-Habitat programme in the same city will be prioritized as a means for ensuring citywide impact.

L 17.	A less visible, but important partnering criterion, is the degree of commitment and dedication of the partners and the likelihood that they become project champions.
L 18.	The engagement of local governments tends to inversely affect short-term efficiency; however, it is a vital component to promote medium and long-term efficiency, effectiveness and sustainability of the field intervention. Therefore, it is vital to include and engage the local government.
G 20.	GPSP field projects rarely include financial, regulatory and urban management plans beyond the scale of implementation of the public space itself.
O 18.	The GPSP and LAB projects are deemed attractive by local government and could be made better use of in engaging the local government in medium and long-term plans and measures for the interventions to be more sustainable and have a larger impact.
L= lessons; G = gaps; O = opportunities	

Integration of activities and project efficiency

CPEDU, the LAB and the GPSP promote project efficiency through combining the respective activities discussed above. This integration between advocacy, training, field projects and advisory services and CPEDU's successful internal coordination builds upon the attractive entry points that GPSP and the LAB's work provide and promotes efficiency. For example, the LAB offered a combination of advisory and planning services, trainings, tools and guidelines to the government of Myanmar and at the same time it mainstreamed the results at various international conferences and events. Similarly, the GPSP offered demonstration projects, planning studies, and trainings on public space in Nepal, while mainstreaming some of the results as part of advocacy materials, technical manuals and guidelines. Increasingly, the LAB and GPSP are exploring collaborative projects. In Belmopan the LAB was engaged first and then integrated the GPSP in an innovative manner at city planning level with the green and blue corridor concept, and at the public space level. Nonetheless more project efficiency could be achieved in the long-term by focussing on the aspects of learning, impact monitoring, implementation and sustainability.

L 19.	The combination and integration of activities such as field projects, planning and advisory services, tools and technical materials, capacity building promotes higher levels of efficiency (and effectiveness).
L 20.	Partner and beneficiary selection criteria become more of a central factor when efficiency through integration of activities is the case; the criticality of who is capacitated highly affects the effectiveness of the activities and the sustainability of their impact.
G 21.	There is still a gap in capturing the learning that is resulting from the successful integration within CPEDU to make it transferable to colleagues and future members.
O 19.	If learning, monitoring and impact assessment are sufficiently integrated across all activities, cumulative knowledge acquisition (and dissemination) would reinforce and increase the capacity of CPEDU and partner branches at UN-Habitat.
L= lessons; G = gaps; O = opportunities	

Efficiency of organisational means and capacities

The findings of the evaluation in relation to organisational constrains largely correspond with those of previous evaluations. Given the constrains of the system they operate in, CPEDU, LAB, GPSP are highly productive, agile, and innovative. Cost efficiency is promoted through a cost recovery mode of operations, working with short term consultants and young professionals, relatively short "contact time" in the field and effective partnerships. However, this organisational approach also has its limitations.

Previous evaluations include UN-Habitat's High Level Assessment, OIOS and MOPAN evaluations 2016, the SPs 2014-2019 midterm evaluation and more specific evaluations of SUD-Net, ROAS 2016, and the CCPU's 2012 midterm evaluation. All have reported on the core trends, challenges and opportunities on efficiency of organisational means and capacities of UN-Habitat, also partially including the branch level (UPDB).

An on-going decline of core and non earmarked funds (affecting core normative mandates) and a concurrent rise of ear marked funds geared at operational (technical cooperation) projects are among the most important trends and challenges for the organisation at present (See Sections 2.8.1).

CPEDU echoes these trends: project funds have risen from USD 1.3 M in 2012 to 5.1M in 2016, with private sector donors, such as Mojang, Booyoung, and Siemens, having a rising role. At the same time the positions based on core funding stagnated, while the number of consultants on time limited contracts has risen from two in 2012 to twenty two in 2016 (Sec. 2.4). The growth and transformation was matched by rising numbers of outputs (from 38 in 2012 to 206 in 2016) but also by a decline of the normative category, from 80% of outputs in 2012 to approximately 10% by the end of 2016 (Sec. 4.2.2).

The above figures and trends imply that CPEDU has adequate capacities to realise its operational goals. The professional, motivated and hardworking personnel, with most of its members at the beginning of their professional career, augments CPEDUs agility and cost efficiency.

Many young staff see the time at UN-Habitat as an "investment" into their career. Further internal efficiency is provided by the project oriented operations including the cost recovery mode and the mode of competition among the various "teams" in the agency that these produce (See 4.6 Partnership).

On the other hand, UN-Habitat's organisational (bureaucratic) setting challenges the effectiveness, agility and response times, such as spending a significant time of the staff on communication and administrative tasks.[69]

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[69] Staff, including young project staff, reported that they spend up to 50% of their work time on communication (e-mails) and administration (reporting etc.).

Hiring new staff can take many weeks or months, and consultant contracts are limited to a maximum of 24 months over 36 months.

The existing staff members often take on immense workloads to fill the gaps that emerge between some of the contracts.[70] The reliance on unpaid interns promotes bias towards staff of rich backgrounds (those who can afford to selfsustain themselves for six months or come from countries that provide support for such educational experience). All the above threatens to produce a continuous turnover of human resources that translates to a steady loss of acquired skills, experience and institutional memory for the organisation which ultimately suffers in quality and consumes resources. Moreover, a combination of these factors leads to substantial gaps on the normative side making it difficult to maintain a meaningful balance with operational tasks.

The capacities, knowledge and resources for producing first class tools and technical materials (See foregoing document review) are weakened as research, writing and training skills are fragile. Moreover, organisational systems, knowledge and resources to efficiently achieve knowledge management and promote the learning process (which would contribute to bridging the operative and normative activities) are barely functional. Despite the criticism of the quality of normative work, the evaluation also observed that CPEDU has been aware of most of the shortcomings and that it has been striving to make the best out of the challenging situation.

Examples of excellent normative outputs include the "Urban Planning for City Leaders (UPCL), and the "Global Public Space Toolkit". The efficiency in producing normative outputs was also addressed by appointing external consultants to author policy papers and technical materials. Decentralisation and working with partners on this aspect has not reached its full potential. The role of ROs in closing the learning loop and contributing to the localisation of global principles is underdeveloped.

Organisational efficiency and the LAB

The LAB manifests the above described trends and challenges in the most "intense" manner.[71] It has the highest share of relatively young consultants within CPEDU (12 in 2016, See Sec. 2.4) with only one project staff, the director. One element promoting efficiency is the fact that the LAB is promoting a relatively standardised interpretation of the values (five principles and three-pronged approach... etc.) such as the grid street pattern to achieve connectivity or the land valorisation in fulfilment of the three-pronged approach, replicable methods of participation (charrettes, rapid planning studios), and activities (plans, trainings... etc.).

On the other hand, sufficient time, resources and the right approaches are lacking to familiarise new staff, especially young consultants and interns, with vital operational and institutional knowledge (including other branches). There is no clear policy on using internal expertise across branches. As a consequence, a learning-by-doing approach prevails, leading to duplicated (and at times contradictory) efforts. This setting constrains the development of a momentum on emergent knowledge and learning and their efficient (and effective) transfer into high quality normative products and context-sensitive planning services.

While the global network of planning LABs is intended to boost efficiency and (effectiveness) i.e. through resource decentralisation, the network is not fully operational and sustainable yet. Mandates, resources and local initiatives seem to be lacking and so a critical mass of fully engaged partners has not been built up.

Organisational efficiency and the GPSP

The GPSP operates through a smaller team, with two professionals and two to three consultants (who focus on technical cooperation). A strong replicable concept of promoting the participatory design approach through gaming in combination with significant capital funding has been stimulating a highly efficient delivery of short-term outputs.

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[70] The work overload applies to both the consultant and permanent positions. While the branch leaders position remained vacant for many months, it was covered by CPEDU's Leader, weakening especially the strategic and normative capacities of the branch and the unit. At the same time there were cases of consultants carrying on work, while still waiting for their new contract to arrive.

[71] This is mainly related to its operative mandate i.e. to serve as an instrument to implement the three-pronged approach.

The normative outputs seem to be sufficiently resourced and balanced with the operational activities. Short "contact time" in the field, in combination with effective partnerships (see earlier discussion of project efficiency and partnerships) have been fostering efficiency further. Also, the fact that the team size has barely increased, despite rapidly growing project numbers (see section 2.7) was very cost effective. On the other hand, work overload of the small team and a high reliance on external consultants produce inefficiencies, namely delays in responding to partners.

One successful attempt at decentralisation has been to appoint a public space focal point staff member in a RO (ROAS has pioneered this). However, although much was delegated to the member, the bottleneck at CPEDU remains. For a discussion on organisational efficiency of partnerships and cooperation see section 4.6.

L 21.	Efficiency is a reciprocal measure and should be assessed from different perspectives and a balance struck according to priorities. Firstly, the results can vary depending on the system; efficiency for whom? (CPEDU, UPDB, UN-Habitat, UN System, partners and target beneficiaries). Secondly, they vary relative to timespan; what is deemed efficient in the short-term can be regarded as inefficient with respect to medium and long-term results.
L 22.	CPEDU's ear-marked funding has been efficiently utilised to develop and produce normative outputs that serve advocacy, tool development and capacity building beyond the advisory service and project scope. This minimises the dependence on (shrinking) core funding to meet the normative mandate. However, to avoid the risks posed by outputs of inconsistent quality, effort should be done, and complementary resources should be targeted and put to effect at organisational, branch and unit levels.
L 23.	Working with young, agile teams adopting a learning by doing approach has its benefits but needs to be balanced with mandates, resources and mechanisms to enable cumulative learning, consolidation of knowledge and knowledge transfer.
G 22.	The UN organisational context constrains efficiency of project based operations especially for the type of advisory services and projects that CPEDU delivers. It has not adapted as yet to the new conditions of "project inflation" and project based human resources upon demand.
G 23.	Deficient core funding obstructs the delivery of normative outputs and should be increased. One way is by increasing the visibility of the association of CPEDU's outputs to "funding magnets" such as assisting partners in the implementation of the NUA and SDGs.
G 24.	Methodological knowledge and competences and the value of learning to support an evidence based planning and design process and quality of normative outputs are undermined. More can be done on staff training and development (especially for new staff recruits).
O 20.	Project oriented operations tend to provoke more competition which can be positive, if countered with incentives and organisational measures that encourage cooperation and collaborative work within this financial setup. This needs clear internal policy.
O 21.	Staff turnover drains away knowledge, and therefore organisationally not efficient in promoting institutional knowledge and memory, which reflects negatively on normative results. However, it brings cost efficiency, agility, and the ability to adapt to changing contexts with new energies and ideas. Enhancing capacities to bridge the operational and normative mandates through knowledge management and learning processes, increasing core staff, would promote building up a substantive coherent knowledge base and sharing it through normative outputs.
O 22.	The potential of the international network of LABS is insufficiently activated and should become a priority in the future strategic plan.
L= lessons; G = gaps; O = opportunities	

4.2.4   Impact outlook

Considering impact when planning and implementing activities and reporting on the 'changes made on the ground' is an issue of high relevance for the entire agency and CPEDU. It is also crucial for reporting project success and further raising credibility.[72] The following section reports on impact outlook considering the achieved or likely to be achieved changes on the ground [28], [27]. The review focused on the "impact outlook" as medium and long-term outcomes as impact takes many years to unfold while CPEDU, the LAB and the GPSP exist for only four years.[73]

Therefore the evaluation considers the probability of intended impact and presents examples of short and medium term effects related to CPEDU's, LAB's and GPSP's various activities. The findings in this evaluation are based on its own data collection and analysis; since a systematic impact monitoring and tracking of beneficiaries does not exist.[74] As the results are equally valid for CPEDU, the LAB and GPSP, a differentiation of reporting was deemed as not needed.

L 24.	Monitoring impact is resource and time intensive, especially concerning the results of urban planning and design featuring high levels of complexity of intertwined processes and stakeholders taking many years to unfold and there are many risks along the way.
G 25.	Impact monitoring is still not done routinely and not factored into most of the projects.
O 23.	The inputs CPEDU made on the role of urban planning and design and on public space in the NUA and the SDGs are among CPEDUs outstanding achievements with impact on a global scale. However, direct large scale global impact related to their implementation remains to be assessed and made visible.
L= lessons; G = gaps; O = opportunities	

Number of people reached directly and indirectly

Based on data reported as part of output reporting and monitoring (i.e. IMDIS) as well as data provided by CPEDU for the survey that was part of this evaluation, an estimation on the range of beneficiaries reached by CPEDU, LAB and GPSP activities and outputs during the period evaluated[75] indicated that:

- More than two hundred partners and beneficiaries have been directly reached through EGMs. As the participants usually are significant "multipliers of knowledge and information, it can be estimated that number of indirect beneficiaries is five to ten times higher (hence 1000-2000),

- Hundred thousand and more readers are reached through online publications on UN-Habitat's webpage[76]. The results indicate that for CPEDU's online publications the download numbers are relatively limited compared for example to the IG-UTP, that stands out with more than 108,000 downloads probably having the most significant indirect impact on the role of urban planning and design.

- CPEDU, LAB and GPSP special events such as the WUF, Habitat III, UCTs and/or conferences e.g. FoP[77], ISOCARP) reached several thousand beneficiaries. (Because these also are multipliers the number of additional beneficiaries will be higher, as in the case of the EGMs)

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[72] The need is stressed by UN-Habitat's strategic frameworks (Strategic Plan 2014-2019 and its revisions) and many other evaluations: OIOS 2016 (UN-Habitat Audit); UN-Habitat 2016 (Cooperation with Sweden) etc. UN-Habitat echoes the demand through refined reporting procedures (PAAS), and in its evaluation, reporting, and communication strategies such as a new series of Impact Newsletters or various Projects and Annual reports and catalogues such its biannual Global Activities Reports for the GCC, or the 21 Project Compendium on "Implementing the New Urban Agenda" (UN-Habitat 2016). Urban Planning and Design is well represented here.

[73] The UN-Habitat 2016 evaluation on Cooperation with Sweden estimates that the effectiveness of pilot interventions is not likely before four years and that it might take 10-15 years until the long-term impact of work is visible on the ground. The fact that changes are mostly produced through a combination of various interventions complicates attribution.

[74] Nonetheless the entire agency is increasingly aware on the pertinence of impact reporting and there is a rising number of products covering the issue, including newsletters and Global Activity Reports.

[75] Overall CPEDU does not track the number of all beneficiaries that have been reached on the ground level, however, certain numbers, such as EGM and training participants, and download numbers for publications and videos (automatically recorded on UN-Habitat's home page) are tracked. For other categories such as special events, advisory services and field projects, the numbers of missions, plans are used for reporting rather than the number of beneficiaries. But these allow for a general approximation.

[76] It needs to be acknowledged that the number of actual readers and viewers is probably significantly lower than the download number, and the number of citations is even much lower. (For example, the IG-UTP has been downloaded more than 100T times while, according to Google Scholar it has been cited only 12 times.)

[77] The series of Future of Place conferences that was organized between 2013 and 2015, have converged a global community of experts and practitioners on public space, and provided an important platform for networking and exchange of ideas, leading to a substantial momentum of advocating for the role of public space as part of the SDG and the NUA. All interviews and observations revealed that a likeminded platform is highly needed today.

- Advisory services have reached an estimated one to two thousand direct beneficiaries (approximately 70 outputs multiplied by an estimated 10-20 direct beneficiaries from partner governments and civil society organizations). Moreover, all residents of the neighborhoods, cities and regions can be considered beneficiaries.

- Training courses (including planning charrettes and workshops) may have reached at least 1,000 direct beneficiaries and an estimated two five times of indirectly engaged (33 events reported according to IM-DIS). While the numbers have been consistently tracked and reported, the share of female participants, hardly exceeding 25%, was relatively low.

- GPSP and LAB field projects, most of which remain under development, potentially affect the entire populations (including future populations) of the respective areas (for example 60,000 future residents of the Kalobeyei refugee settlement in Kenya (under implementation), or over 20,000 residents who have has benefitted from GPSP's (and their partner MESN) scheme of the Lotus Garden Gautam Nagar Park in Mumbai)[78].

G 26.	Indicators tracking partners as beneficiaries and multipliers are missing.
O 24.	Generally, the potential of mainstreaming of CPEDU's city planning and design approach through a NUA (SDG) lens is not fully realized. More overt association to the NUA and SDGs must be incorporated and consolidated in all normative outputs, online contents, and maybe even consider offering certified online classes.

Impact on the ground

The impact on the ground is assessed through the results of the two surveys as well as on the interviews and the evaluators interactions with target beneficiaries and partners during the field visits.

Impact related to Trainings and EGMs

The results reported in this section are mostly based on the two surveys conducted as part of this evaluation. Those who responded to the survey[79], indicates highly satisfactory levels of success on outcome and impact level. Networking and cooperation were most useful for EGM participants where the main purpose of these meetings was to bring together external experts from a specific field to explore state of the art research and analysis, identify good practices and lessons learned and develop recommendations. For training recipients, the new technical knowledge and better institutional capacities was foremost in significance. A large majority of respondents reported that they share the new knowledge in their daily work. More than half reported secondary changes and also further investments as a result of the activities.

Responses of EGM participants indicate that they value most the aspect of collaboration and networking (54%) followed by new technical knowledge (27%); 83% state that they have applied and 97% state that they have shared the knowledge, while 44% planned follow up activities. The largest portion of EGM participants were academics (25%) while very few came from national governments (3%), and no one came from CBOs. To what extent is changing mindsets a target of EGMs, and why not augment their impact with better planned follow up activities to serve multiple functions is a consideration that was brought up in several expert interviews. Building upon the momentum EGMs create for collective activities and outputs, helping sustain sequel events and target changing mindsets could contribute to more and better impact (See also section on effectiveness above).

The workshop and training survey's responses revealed that in general, 90% found the training activity very useful or useful, while 55% of the respondents reported that the "new technical knowledge" was what they gained most, with "collaboration and networking" coming second (24%), before "change of mindset" (16%). In capacity building whether the factor "change of mindset" should play a bigger role and how, should be addressed more.

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[78] http://www.mesn.org/placemakingproject1.aspx (r01.12.2017)
[79] 96/227 (42%) of EGM participants and 119/180 (66%) of training participants

These results resonated in the institutional added value of the training or workshop, where 63% considered "better capacity" as the most important result, 45% named "partnership and networking," followed by more or less equal ranking of "change of mindset," "substantive knowledge" and "innovative and efficient policies."

As far as impact, 97% of the respondents indicated that they apply the new knowledge in their daily work, 98% specify that they shared it with their colleagues, and 80% stated that they planned to have followup activities[80].

These numbers indicate high rates of positive effect, at least in the short-term. More significantly for medium and long-term, impact, is the fact that almost half of the respondents indicated that the workshop or training led to: changes in policy in his/ her home country (51%); changes in planning practices (53%), was replicated (47%), and that it has led to increased investments (57%).

Another note is that a large majority of training and workshop participants (approximately 70%) were senior level professionals, probably important for immediate effectiveness (especially if in relation to a project or advisory planning service). A higher share of young, future leaders might help to augment impact. This observation was also supported by several of the Key Informant Interviews. Note that, only a small share of the participants was from NGOs (six percent) and CBOs (two percent). Box 2 presents some feedback of training and EGM participants on impact.

Box 2. Selected comments of survey participants demonstrating enhanced awareness and verifying confident change

> *"I must confess that I was not aware how important and significant role the public spaces play and how very necessary it is to take into account the issues of human rights, inclusiveness, gender, ecology in urban planning not just for the sake of the SDG but for the sustenance of the quality life as a matter of course."* (ID103, Training)
>
> *"... there were a wide range of valuable visions and cultural perspectives, also the organization team was very proactive, supportive and could properly integrate the diversity of discussed topics and dimensions... this experience was very significant to me and for my organization."* (ID90, EGM)
>
> *"An important service that creates positive change."* (ID64, Training)

L 25.	The primary direct value of capacity building is still perceived by recipients to be "new technical knowledge", the highest 'indirect' value remains "networking" and the opportunity to forge "partnerships."
L 26.	The opportunity to increase the share of local NGO and CBO representatives at the training events is available and internal partners such as ROs and COs can play a major role in that. Given the fact that in many instances these are crucial agents of bridging the gap between governments and residents this is considered an untapped huge opportunity to promote impact.

Impact related to advisory planning services and field projects

The results reported in this section are mostly based on the Key Informant Interviews and field visits to selected projects and partner cities conducted as part of this evaluation.

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80 It should be noted though that some of the trainings were in contexts where LAB advisory planning services and/or GPSP projects were already planned to be implemented (see integration of activities and project efficiency).

Changes related to GPSP's field projects

In the majority of instances, it was evident that the projects successfully demonstrated that change can be made (Mumbai, Kirtipur, Nairobi). This was generally reflected by higher level of awareness on the relevance of public spaces, broad consensus, changed mindsets and acceptance of the approach and project by the population.

It is important to note that in many instances the effects should be seen as the result of combined efforts by various initiatives (for example safer public spaces work in Nairobi paving the ground for successful projects in Dandora). Persistent advocacy and lobby work by CPEDU staff and their partners in the country offices, would firstly change mindsets and secondly target changing strategies and policies, (for example in Ethiopia on participatory urban renewal and the role of public space). Most of the government officials and leaders displayed a changed mindset (for example, in the Arab States a broad change of attitude and awareness on gender issues in public space, and in Africa an awareness that streets are important publics spaces). Another change of mindset has occurred with numerous government officials who now appreciate broader participation.

The second part pertaining to changing strategies and policies is still in its growing stage. In Nairobi, for example, while institutional change involved creating a new position for a public space official within the city, the reform of planning and zoning regulations to acknowledge and address public place as it is advocated by the GPSP is still in process. However, significant snowball effect has also been achieved through active and motivated partners mainstreaming CPEDU's city

planning and design approach such as Surabaya's mayor Tri Rismahari, or the UCLG network.

Gains at the level of the specific project beneficiaries were numerous and mainly associated with the participatory process adopted by GPSP:

- Most people involved demonstrated a better capacity to communicate with local government;

- Most of the government partners felt empowered and informed, as they now have base data and knowledge and an appreciation of having communication skills to engage local communities;

- There was a broad visibility of engagement and ownership (e.g. Dandora, Johannesburg, Kirtipur) with many people talking about their projects, ideas and activities;

- In most instances (e.g. Mumbai, Nairobi, Kosovo, Palestine) an improved quality of life was perceived and was attributed to new or improved public spaces;

- In several cases (e.g. Gautam Nagar, Kirtipur) beneficiaries planned to share the approach and the lessons with "neighbours" and other organizations and other groups wanted to learn and replicate the approach;

Box 3, Box 4 and Box 5 present exemplary feedback by beneficiaries from Nairobi, Mumbai and Johannesburg

Box 3. Partner government's voices from Nairobi reflecting change of mindset on participation, ownership and engagement

"The message on public space has successfully spread in Nairobi."

"We are mandated to include participation"

"We learned that working with the community is the key instead of only working for the community"

"The people feel and show it is theirs sometimes this could be even irritating"

Box 4. Observations on changes at beneficiary level in Lotus Garden and Gautam Nagar (Mumbai)

The beneficiaries at the Gautam Nagar and Lotus Garden projects in Mumbai reported:

- an increased quality of life reflected by high usage rates and people willing to walk for 20 minutes and more to reach the new places;

- increased levels of enthusiasm and trust among the various group of residents from different religious backgrounds and the ability to coordinate and organize activities; "Now we know each other better and trust each other better";

- that women now feel empowered and leave their homes to join the meetings and activities;

- that knowledge and self confidence of the participating community members have significantly increased.

Box 5. Partner government's voices from Johannesburg on public spaces demonstrating increased awareness, change of mindset and reflecting further intended and unintended effects on the ground

"Our normal processes are normally not inclusive"

"Minecraft helped us to bring in a diverse group of people"

"It made us to collaborate with new partners (such as the Wits University Techno Hub)"

"It challenged also the landscape designer, as he left he had another view"

"The process made us see parks as public spaces"

"In an ongoing process to build trust, many residents now have a direct connection to the local government - people are requesting assistance, protesting if necessary"

"A local stakeholder committee evolved organically out of the process"

"City departments see the need of working together"

"The residents started to look for jobs for the homeless, while they have confronted them before"

"We need further assistance in topics such as urban safety, community based monitoring, and also in the mainstreaming and upscaling process"

L 27.	GPSP has proven to provide an attractive entry point in all regions to advocate the significance of public space and the need to address it as an integrative and highly effective urban element.
G 27.	In many instances approaches to participation processes have been weak to consider political dynamics in communities and local governments.
O 25.	The rapidly snowballing effect with partners such as Block By Block and UCLG can be replicated with future partners to multiply the global impact of GPSP, as long as the strong relations are maintained to ensure the alignment of goals and principles.
L= lessons; G = gaps; O = opportunities	

Changes related to LABs advisory planning services and field projects

In general, the LAB's field project activities have led to satisfactory results among partner beneficiaries in the field.

> *"The real value [of working with the LAB] was thinking, pushing us from our box and the local constrains. It made us view the city from different angles and pitch to push the questions that we stopped to ask ourselves."* (City Partner)

In many instances national government beneficiaries demonstrated changed mindsets on the role of city planning and design (including public space). Examples include: Yangon and Nay Pyi Taw in Myanmar, in Kenya, in Belize, and Haiti). Integrated and participatory approaches, international benchmarks, integrative tools, participation, the three-pronged approach, multistake processes as well as novel tools such as form based codes were appreciated in Johannesburg and elsewhere (See Box 6).

Across the cities and countries recipients of advisory planning services and field projects there was evidence of changed level of knowledge on the relevance of sustainable urban planning including mainstreamed knowledge on the five principles of CPEDU's city planning and design approach. The plans revealed to beneficiaries what needs to be done: specialised studies and solutions, financial mechanisms, legislative and regulatory tool development, reforms in local governance structure, etc. They also increase awareness of governments as to the longtime frame of change (Canaan, Kisumu, Kenya Railways in Nairobi...). In some instances, planning concepts and guidelines have been replicated across the country (e.g. Somalia, Belize) and in some cases even translated in local languages (e.g. Myanmar).

On some occasions, key stakeholders (e.g. from governments, or organisations such as ISOCARP) shared and promoted the city planning and design approach, principles and guidelines nationally and internationally. This had a snowball effect, for example, Saudi Arabia's demand for services after being impressed with the Johannesburg experience, and Belmopan's due to exposure during the Caribbean Urban Forum (CPEDU supported the forum as part of its capacity building work for the Caribbean Association of Planners).

Another area of impact is improved negotiation skills. Partners, whether government officials or private sector felt better informed and able to negotiate with other stakeholders such as international development and planning agencies and/or planning consultants (e.g., Haiti, Myanmar, Kisumu City and Kenya Railways).

In several instances, beneficiaries reported an improvement in cooperation among stakeholders (sectoral departments and ministries, aid organisations, NGOs, experts (e.g. in Haiti and Kenya).

Likewise, many key government officials and expert organizations have been empowered by international exposure and networks to become local champions mainstreaming valuable knowledge and experiences (e.g. Guangzhou Planning Institute, Caribbean Association of Planners, Chief Planner from Johannesburg... etc.). In some cases, beneficiaries supported the transfer of solutions to other locations and upscaling at regional levels (Myanmar, Palestine... etc.);

Not least, many international planners and designers representing professional partners such as Arcadis Shelter, Dutch Creative Industries, ISOCARP have been sensitized to the problems in developing countries.

Box 6 highlights some government voices from Myanmar.

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[81] Kakuma County's interest to integrate refugees with local community in this case nomads is the key behind the project in Kalobeyei.

Box 6. Government voices from Myanmar demonstrating awareness of core principles in city planning and design

"Now we know that every land use can be changed" ... "We can divide up the land differently."

"The purpose is that we need to be able to negotiate for public benefit"

[The guidelines are] "Especially good and relevant for new area development – as the private sector developers do not apply these principles"

"We discussed with JICA (who are preparing the master plan) that we need expansion and infill.

"New Towns are only a third priority now."

Regarding the impact on other UN agencies and international donors, projects have succeeded in introducing innovative concepts and utilisations of CPEDU's city planning and design approach. UNHCR, for example in the Kalobeyei refugee settlement project, is now realising the value of incorporating urban planning and design within its scope of work. Similarly in Canaan, Haiti, the American Red Cross acknowledged the value added by UN-Habitat through the LAB's work and was sensitised on the benefits of the approach.

Shortcomings and problematic effects

The following is a list of cautionary points on potential failures and unintended negative effects on the longrun:

- Projects are too young to reveal substantial impact: In most instances the interventions are too young to reveal substantial changes, for example related to spatial forms enhancing diversity, mixed economic development, inclusion, social integration, human rights, etc. This makes it hard to measure them with respect to the Strategic Plan Focus Area 2 indicators, and the actual implementation of the SGDs, NUA... etc.

- Choice of local community participants: In most instances the participation processes, i.e. by the GPSP, have empowered certain stakeholders: in Dandora, La Turtourelle and Place de la Paix in Les Cayes, the community leaders are the beneficiaries and they express more power and affluence than the average community member. In Canaan, Haiti, the least powerful have been the beneficiaries and report empowerment, yet it is difficult to predict how long the levels of empowerment would sustain with the advent of more affluent informal real estate developers.

- Risk of gentrification: It can be anticipated that improved living condition through renewal of neighbourhoods might result in displacement and eviction of the poor and vulnerable. At the moment this problem is insufficiently addressed.

- External factors: The context of urban development is a complex, dynamic and dominated by multiple stakeholders. The effects of CPEDU's, LAB's and GPSP's work are rather part of a critical mass of various efforts than of detached interventions, albeit with a particular added value. Major factors and risks affecting medium and long-term change are of a political nature, or relate to natural disasters, conflict, vested interests etc. When asked about the causes that trigger disinvestment, speculation, corruption, and social exclusion, many respondents point to a strong and unregulated private sector, weak local governments, or lack of comprehensive and strategic planning, deficient regulations and oversight, and on the ground dynamics including apathy. CPEDU's projects address only some of those factors.

Box 7. Excerpts from survey question Q57

On the causes triggering the vicious cycle of negative urban development (Q.: What in your opinion are the causes that trigger phenomena of disinvestment, speculation, corruption, social exclusion?)

"The total dependency on numbers rather than measuring quality and the lack of post assessment of the effectiveness of the plan or the project" (ID4)

"The main cause of this phenomenon is the private appropriation of land rent created by public investments... When land rent is not recovered by urban policy, it goes not only to fill landowners' pockets but also to feed corruption. As a result, landowners and public officials get richer and general population get poorer." (ID11)

"Construction sector considered a financial business... municipalities run "BEHIND" development... little incentives for other forms of development investors (cooperatives, smallholders)" (ID56)

"... 3. Lack of Participation and Transparency laws" (ID21)

L 28.	Ownership is normally a very positive effect and a sign of success, but it can also lead to conflict between various parties claiming project ownership only for themselves.
L 29.	Depending on who is allowed to participate and how the participants are selected, participation can have different results, e.g. on the decisions makers, or the weakest members of the communities. Sustainability of empowerment of participants and their role is a dynamic that needs to be addressed during the planning and implementation process.
G 28.	The private sector and its role are not sufficiently understood. While planning needs to work within market forces in most contexts, the potential that the private sector may take advantage or capture the benefits of urban development and of the plan requires major attention and should not be underestimated.
G 29.	Risk of negative externalities such as displacement and eviction, as an effect of rising land and property values, are insufficiently tackled. In general, CPEDU, LAB and GPSP need to address more attention to the risks and impact of external factors. A systematic effort to understand the change system by mapping and tracking of external factors, risks and assumptions effecting medium and long-term change is needed.
O 26.	Medium and long-term impacts are still insufficiently addressed and monitored. This may be improved when more organisational incentives and clarity of roles mobilises more cooperation and engagement of ROs and COs.
O 27.	There is growing attention given to implementation of plans and policies, especially by GPSP. However, more effort and resources, reinforced by organisational support, is needed to enable CPEDU to address the reform of regulatory frameworks and mechanisms for equitable value redistribution in urban development (the 3 pronged approach).
L= lessons; G = gaps; O = opportunities	

4.2.5 Sustainability

The following section examines the sustainability of CPEDU's interventions through the lens of beneficiary engagement and ownership as a means to achieving sustainability. Assumptions related to sustainability behind CPEDU's city planning and design approach, and the question of replicability and scalability of CPEDU's, LAB's and GPSP's work are also examined.

Ownership by target beneficiaries

Extent of engagement of beneficiaries
The results on engagement are mainly covered in the impact outlook (section 4.2.4) and partnerships (section 4.2.6). From those findings what is pertinent to sustainability is that CPEDU achieved high levels of engagement among the beneficiaries, demonstrating enthusiasm, commitment, motivation and trust. Having said that, CPEDU's activities contributing to building capacity in the design, implementation of planning, and in monitoring and reporting activities of the city planning and design approach could be improved. Also, the LAB's engagement of a critical mass of local experts and diverse partners from civil society was only partially satisfactory. Similarly, the GPSP's success to engage local government partners varied from case to case.

The main success factors for achieving engagement and ownership were: highly effective project and partner selection criteria, equitable partnership and mutual respect, trust and good communication and the identification and respect of city needs and objectives. The GPSP scored high on engagement levels of local partners and NGOs but had varied results in winning local governments. This is mostly due to external factors such as political dynamics and risks such as a restructuring of the government in Nepal and Kenya, and elections in Belmopan. At the same time the LAB's strengths have been complemented by high levels of commitment by partner cities and experts.

The group of mayors and local government officials involved (as well as staff of national government institutions, e.g. Johannesburg, Belmopan, Bungamati, Kirtipur, Addis Ababa, Surabaya, Nay Phy Taw, Kisumu, Nairobi and the KMP partner cities) demonstrated a high level of support. This was expressed through the commitment to cover or share project costs, and their

plans for more similar projects. This group has shown various levels of engagement, depending on the depth of the interaction with UN-Habitat/CPEDU and the strength of their own institutions.

To varying degrees in different contexts, significant beneficiary types illustrated vital opportunities. Local champions from CBOs, such as community groups and resident committees (e.g. from Bungamati, Kirtipur, Gautam Nagar, Lotus Gardens, End Street Park North, Dandora) demonstrated high levels of engagement and commitment, contributing a significant amount of time and resources to the projects.

Many have shared visions along with plans for follow up activities, as well as a strong willingness to share their experiences in their own community and elsewhere. The same applies to Local NGOs and organisations with the role of organising and facilitating the processes on the ground (such as MESN-Mumbai, Sticky Situations-Johannesburg, or Centre for Integrated Urban Development (CIUD)-Kathmandu, GoDown in Nairobi). One complexity of 'ownership' is that many beneficiaries talk about the ideas and activities as their own (e.g. in Dandora).

Although normally a very positive effect, and essential for a project's sustainability, nonetheless, it is also a ground for potential conflict and struggle and needs appropriate management and resolution strategies.

On rare occasions, some felt that GPSP advocates solutions that can be burdensome and increase frustration, especially when long-term objectives and roadmap are unclear (e.g. HopeRaisers in Nairobi). Ownership in the medium and long-term becomes rather unclear in certain contexts. And while engaging champions and individuals is key, processes and rules to keep personal risks and interests in check are equally vital.

University students and researchers expressed high enthusiasm in being engaged with CPEDU. In Nairobi for example, students implemented the citywide assessment of public space. Key Informant Interviews revealed more potential and propensity for engagement of university professors and staff members. This is still an underutilised potential. High levels of motivation, commitment and a joint vision were also found among

L 30.	In GPSP, the aim to build ownership that is targeted towards the local community was successfully achieved through participation in the design process. The resulting ownership, although high, may not be enough to rely on completely to ensure successful maintenance and sustainable operation of the public space. Building ownership that is targeted towards local government depends on how strongly focusing on public space is shown to relate to priority issues (e.g. safety). It also requires further development and mainstreaming into regulations to achieve sustainability of results.
L 31.	For the LAB, the aim to build ownership is targeted more towards the local, or national government; namely those who will adopt and endorse the plan and facilitate funds for its implementation. In this case, ownership is divided among numerous stakeholders. In most cases, it starts with ownership of the 'plan" and then, elevates to ownership of the urban planning process. Ownership therefore assists in scaling up but needs to be complemented by enhancing the capacity of those partners to actually implement the process.
L 32.	Working with quality partnerships (and partner selection criteria) can partially overcome the shortcomings of "short contact time" by CPEDU, LAB and GPSP members in the field. Sustained commitment and support of ROs and COs is vital to promote sustainability in the medium and long-term.
L 33.	The fact that beneficiaries are treated as partners is contributing to project sustainability. Factors such as direct contact, trust, and continuous communication are vital for promoting sustainability.
L 34.	Local champions play an important role in representing and carrying forward the vision and mission of the activities and require formalised processes and rules to keep personal risks and interests in check.
G 30.	The long-term results were unclear and especially in the absence of exit strategies.
O 28.	Local champions, universities, and members of social movements and representatives of the poor are beneficiary types with great potential for reporting, monitoring and learning.
L= lessons; G = gaps; O = opportunities	

members of social movements and representatives of the poor, among local government associations such as UCLG. Global level private sector partners such as ARCADIS, Foundation, Ericsson, Mojang (now Microsoft), and PPS, Networks and Professional Associations such as ISOCARP, often combined roles as partners and beneficiaries. They demonstrated high commitment to UN-Habitat's CPEDU, and reported regularly sharing the knowledge in their projects and through their networks of experts, communities and activists.

Replicability or scaling-up of the approaches (from experimental to a roll out phase)

There are some strong signs that both the LAB and GPSP approaches are being scaled up and replicated in close cooperation with partners from various levels of government.

While efforts to promote an independent replication or scaling up of approaches (without any of CPEDUs, LABs and GPSPs involvement) are still deficient, and no evidence of independently implemented results was found on the on the ground, substantial scaling up and replication occurred with the close support of the GPSP or the LAB. A high potential of replicability is presented by

GPSP's participatory design approach using Minecraft and several of its tools, the citywide public space assessment tool, and the planned global network of public space practitioners. LAB methodologies, such as the rapid planning studio approach and the global network of planning LABs have strong potential to upscale and replicate CPEDU's principles and approaches.

While operational for approximately four years, the GPSP and the LAB are currently in a state between "experimentation and learning" and "roll out". The number of field projects has been rapidly growing, reflecting strong relevance and need (Cf. 4.2). With a trend of never ending demand, both programmes (LAB and GPSP) faced difficulties, namely lack of resources, to keep up with the demand. Strategic partnerships, with organisations such as Arcadis, the Dutch Creative Industries Fund, or Block by Block Foundation have been instrumental in managing the pace of replication.

Yet, while many of the project locations have made a demand, or some plans for replication and scaling up, few present actual activities. Box 8 provides a list of examples on plans for scaling up and replication (These are based on Key Informant Interviews and observations).

Box 8. Examples of scaling–up and replication plans

- **Myanmar:** The Ministry of Construction has translated and distributed the Guidelines for Urban Planning developed by the LAB and distributed these across the country. (Key Informant Interviews)

- **Mumbai, India:** The local government Mumbai Metropolitan and Regional Development Authority (MMRDA) plans to implement three more park and playground projects, and a project on street vendors in public spaces is planned.

- **Johannesburg, South Africa:** The provincial government plans to replicate some main elements of the SDF 2014 in the Regional Plan. There are also chances of replication of elements of the SDF 2040 by other cities and at the national level.[82]

- **Belmopan:** Central government attention was on Belmopan opening up the space for local government to be heard. The concept of green and blue corridors (green spaces and waterways) in the plan was also picked up by the local planning association and replicated in several other cities.

- **Haiti:** An interministerial agency adopted CPEDU's city planning and design approach and scaled it up by demanding the planning of four cities after the engagement with the LAB in Canaan.

More effective and efficient partnerships, together with a clearer redefinition of UN-Habitat's role will be necessary if current growth in field projects needing comprehensive oversight guidance from CPEDU remains the trend.

L 35.	The number of partner cities cannot be endlessly increased if the advisory planning services only focus on provision of plans by reviewing of plans, guiding and capacity building to develop plans. Working on a few deep, strategically selected demonstration projects would be more sustainable. CPEDU, GPSP and the LAB should concentrate more on independently replicable scenarios.
G 31.	The trend of endless increase in the number of LAB's and GPSP's pilot projects cannot be reasonably sustained under the same circumstances and with the same resources.
G 32.	Scaling-up and replication face major challenges without a redefined role of the operational mode of the LAB and GPSP. An extended partnerships approach, including a strong role of ROs and COs, and a concept promoting "Hubs", should be explored
O 29.	Facing the rising demand for the development of better plans and guiding their adoption and implementation while also aiming to remain an innovative hub and reference node on policy and good practices is a challenge. It is also an opportunity for CPEDU to fulfil a unique role by linking operational and normative activities.
L= lessons; G = gaps; O = opportunities	

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[82] Examples of similar work are represented by ISOCARP's Planning Advisory Teams in China, Afghanistan, KSA, Kenya, Philippines, Pune, Sidoarjo, Manilla, Nairobi, San Isidro and San Borja, 9 Kenyan towns, and Palestine.

Neighbourhood Assembly in Chennoi, India © Cynthia Van Elle

Increased investments to accelerate the achievement of priorities at national, provincial and city/local levels

UN-Habitat's city planning and design strategy, including the Public Space Programme and Urban Planning and Design Lab, has promoted further investments through capacity building, knowledge management, awareness creation, policy development and especially through the pilot projects. Some examples are listed below. However, potential negative effects of the investments need more attention.

The promotion of partners' in-kind and financial investments is a central part of UN-Habitat's partnership policy. UN-Habitat, including CPEDU, the LAB and the GPSP are requiring these as part of all project contracts.

The system works relatively well to promote project sustainability, ownership and commitment. Some of the experts interviewed recommended increasing the share of partners' contributions even more.[83]

More generally, it is characteristic that physical plans and designs trigger further investments, in particular when these are being adopted by governments. The 50 plans and policies that have been adopted so far, as part of EA2.2 (including parks, planned city extensions and in fills, and post disaster reconstruction projects), are highly likely to lead to further investments. Equally, the new projects will lead to a rise on land values and attract investments. At the same time, it is important to take measures to avoid potential negative effects such as exclusion of the poor or forced relocation (See 4.2).

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[83] The fees for CPEDU's services can also be seen as a cost contribution (e.g. when an external project or a city administration pays for GPSP, or the LAB's services, as for example in Johannesburg).

Box 9. Examples of reported investments[84]

- **Ningo-Prampram District, Ghana:** An implementation budget was allocated from 2016 onward. The New Town scheme became a National Priority Project. [7, p. 10]

- **Canaan, Haiti:** The cooperation of the LAB, and other international and local stakeholders resulted in a selection of projects for implementation [7, p. 10].

- Local governments partnering in Minecraft projects provide a share of the project funds (Bungamati and Kirtipur in Nepal provided 15% of the capital funds. Johannesburg covered the entire capital costs) (Field mission).

- **Haiti:** demand four plans from CPEDU after engagement in Canaan.

Box 10. Government plans generating investment and investment plans

- New City of Alamein's investment plans in Egypt triggers criticisms that it is a city exclusively for the affluent[85].

- The State of Palestine prepared outlines for 10 new local spatial development strategies. (APR 2015: 20)

L 36.	Urban planning and design is a powerful instrument. Although investment that follows a good plan is less likely to have bad effects, implementation of the plan almost inevitably leads to secondary investments due to changes in land value and investors. These can have negative effects and need to be addressed in the plans themselves as well as through some level of engagement during implementation.
L 37.	Pro- poor and crosscutting issues are often not visible in the foreground as the planning and design approach addresses prevention of problems such as poverty, segregation, environmental degradation, more indirectly.
G 33.	The emphasis and visibility of "propoor", and crosscutting issues is weak, with little focus on the spheres which market powers exclude or impair.
G 34.	At the moment CPEDU does not sufficiently address the consequences of additional investments.
L = lessons; G = gaps	

Planning charrette with the City of Johannesburg Planning Department, South Africa © Rogier van den Berg, UN–Habitat

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84 Kisumu City County had pledged funds but effective transfer of money had not taken effect until June 2017.

85 Country Offices asks to build more safeguards into advisory planning services against partial adoption and partial implementation of the city planning and design approach.

4.2.6 Partnerships and collaboration

The experiences on partnerships made in the last four years by CPEDU and the two programmes offer many valuable lessons to the greater agency. Almost all CPEDUs activities rely on collaboration and on partnerships. The following part presents a consolidated review of this issue.[86]

The results, the challenges and the innovative potentials of partnerships as steered by CPEDU, by the LAB and the GPSP are central elements of discussion. The results are reported for the different types of partners, intraagency, intra UN, governments, and other stakeholders (See Section 2.6). Partnerships are defined here as a voluntary cooperation of two or more parties that share visions and goals – in contrast to profit based contracting.

Perceived relevance of partnerships

The survey respondents and interviewees were unanimously convinced of the value and importance of partnerships.

The following list of quotes based on the key informant interviews demonstrates the extent to which internal and external stakeholders are convinced about the importance of partnerships as a core ingredient of successful work.

> *"Cooperation makes the work better and more effective, transformative" (Staff member)*

> *"Energy creates energy" (Partner, NGO, Europe)*

> *"Cities are about sharing, collaborating" (Expert, Asia)*

> *"Stories should be told together" (Expert, Africa)*

> *"We need to frame conversations, not imposing knowledge" (Partner, NGO)*

> *"Use coproduced and integrated knowledge when developing tools, otherwise is wasted money" (Manager, UN-Habitat)*

> *"Several stakeholders were important and ensured that users are reached: City, University, NGOs, private sector. (Local government)*

> *"We learned that working with the community is the key instead of only working for the community" (University Partner, Africa)*

The survey respondents affirmed the pertinence of partnerships and of cooperation as well. The EGM survey respondents have indirectly affirmed the pertinence of the present focus of CPEDUs work and especially the relevance of partnerships.

When asked what CPEDU should do in the future, the survey respondents assigned the highest relevance to partnerships (57%); second came the implementation of the SDGs and the New Urban Agenda (54%); and third a strategic balance of demonstration projects with advocacy and normative work (35%) (See Table 12). These results also correspond to CPEDUs present areas of concentration.

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[86] Section 2.6 presented the main categories of stakeholders and partners, 2.8.2 delineated the main mandates and policies on partnerships.

Table 12. Suggestions on future focus of CPEDU, the LAB and the GPSP − from survey respondents

From your point of view on what aspects should the Urban Planning and Design Strategy, the Urban Lab and the Global Programme on Public Spaces Concentrate in the future?		
Answer	**Count**	**Percentage**
Up-scaling and mainstreaming the present approaches (SQ001)	3	8.11%
Fostering intergration with other themes/units/branches in UN-Habitat (SQ002)	12	32.43%
Growing effectiveness through partnerships (SQ003)	21	56.76%
Focusing on becoming an innovation Lab (SQ004)	10	27.03%
Mainstreaming pilot projects on a large scale (SQ005)	10	27.03%
Work selectively on demonstartion projects and disseminating them on a large scale(SQ006)	10	27.03%
Concentrating on normative activities with advocacy and advisory work (SQ007)	7	18.92%
Startegically balance demonstration projects with advocacy and normative work (SQ008)	13	35.14%
Concentrating on implementing the SDGs and the New Urban Agenda (SQ009)	20	54.05%
Other	1	2.70%

CPEDU's achievements and outputs on partnerships

Achievements on partnerships

The evaluation gathered strong evidence that CPEDU, the GPSP and the LAB have effectively considered an instrumental role of partnerships in realising the EA2.2 on adaptation of plans by "partner cities" [emphasised by the authors] and the sub achievements on improved policy dialogues on urban planning innovations and on strengthened planning capacities.

This was supported by the observation that CPEDU, the LAB and the GPSP deal with their "client"- cities as partners, that the cooperation is envisioned as long term and that various of the core partners were "promoters" of UN-Habitat's and CPEDU's agenda. This indicates that CPEDU and the two programmes consider partnerships in a systematic and comprehensive way (as stipulated by paragraph 59 of the SP 2014-2019).

Nonetheless CPEDUs work can become even more successful when the concept of "partner cities" is operationalised in a more profound way. At the moment no document really defines what a partner city really means; what the underlying concepts and strategies are. This reflects a UN-Habitat level issue, but CPEDU would make a contribution by clarifying its own perspective.

O 30.	The notion of 'partner cities' is not sufficiently conceptualised and operationalized; clarification would unblock its potential and enhance impact.

Core partners

The evaluation findings also affirm that, in alignment to paragraph 64 of the current SP, CPEDU effectively contributed to strengthening UN-Habitat's "ties with national, regional and global professional institutes or associations of urban and regional planners, in particular regional planning associations.

Examples include the African Planning Association, the International Society for City and Regional Planning, the Commonwealth Association of Planners and the Global Planners Network." Ties have successfully been established and several of the global organizations have been especially instrumental in advocating and mainstreaming of a "new urban planning".

Nonetheless further potential exists for making these core partnerships even more relevant and effective. The vast knowledge embedded in these global organizations remains largely untapped. Partners remain insufficiently engaged as conveners of regional and local expert and practitioner networks, for impact monitoring and oversight, and as partners of NUA and SDG implementation.

L 38.	Professional partners tend to have their own strong vision and agenda on Sustainable Urban Development that is not necessarily aligned with CPEDUs city planning and design approach.

Partnership outputs

The evaluation found sufficient evidence that the partnership related outputs for the 2012-2016 period have surpassed the targets as stipulated by the BWPs.

Two new targets on supporting partnerships for a global platform on public space and on supporting the global network of planning labs linked to NUA and SDG implementation are highly relevant.[87] A summary of the achievements is provided in Box 11.

Box 11. Summary of achievements on partnerships

> **The outputs that explicitly relate to partnerships can be grouped into four categories (conferences and events, trainings, networks and platforms, strategic partnerships). They included[88]**
>
> The organisation of conferences, EGMs, networking events, dialogues, seminars, summits, Urban Thinkers Campuses at events such as the Rio+20, the WUF6 in Naples, Future of Planes Conferences, Habitat III, among others. Partners here, included: the UN Advisory Committee of Local Authorities, the UCLG, PPS, KTU Stockholm, CAP, Global Planers network, IFHP, Regional Associations of Latin American and Caribbean Planners, ISOCARP, the African Planning Association, National Urban Institute (Rome), African Ministerial Conference on Housing and Urban Development, Pacific Ministerial Conference on Housing and Urban Development, and representatives from numerous partner countries and cities (Barcelona, Lima, Johannesburg, Mexico City, Medellin)
>
> "Training of trainers" of partners, such as CityNet (Korea), Miles (South Africa), Caribbean Planners Association, the Guangzhou Planning Institute (China), the African Planning Association and the African Union of Architects, the JKUAT (Kenya), on instruments such as the UPCL guidelines.
>
> Formation of new, and support of existing global, regional and national networking platforms for advocacy and knowledge transfer. Examples: a global network of regional planning labs (16 labs reported by 2016), national and regional networks of urban planners such as in Latin America and the Caribbean, the Bangladesh Institute of Planners, United Cities and Local Governments Asia Pacific, Vietnam's Urban Planning and Development Association and Myanmar's Urban Research Development Institute, and the Settlement Development Group in the planned Refugee Settlement Scheme of Kalobeyei (Kenya).
>
> Establishment of strategic partnerships with "donor partners "and expert associations, such as ISOCARP, the Guangzhou Planning Institute, Arcadis shelter (on Implementation of Planning Labs), UCLG (on Public Space policy and tools) and Mojang/ Block by Block (Minecraft as a participatory tool in public spaces), or Ericsson (New Technologies).

O 31.	The establishment of a global platform on public space and on supporting the global network of planning labs had gained momentum that could be easily kept and promoted. Regional platforms are in demand and partner lists can be better updated and utilised as resources for COs and ROs.

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[87] CPEDU's outputs related to partnerships in the evaluation period comprised "advisory services for key partners" (BWP 12/13), organising "meetings of partners" (BWP 14/15, BWP 16/17), technical inputs to regional and global partner events (BWP 16/17), and "promoting special task forces on planning skills under the LAB" (BWP 16/17). Future outputs involve the support of "partnerships for the global platform on public pace" (BWP 18/19) and "supporting the network of planning labs as a tool for sustainable planning in the context of the New Urban Agenda."

[88] Most of the reported outputs have involved various types of partners, but not explicitly mentioned these.

Intra agency cooperation and partnerships (added value and lessons)

In this category the evaluation has examined the following levels of cooperation: a) the cooperation between the LAB and the GPSP, b) between CPEDU, LAB and GPSP and other components in the branch and c) of CPEDU, LAB and GPSP with other programmatic branches and units within UN-Habitat, and d) with the Regional Offices and Country Offices.

L 39.	In general, ownership and competition tend to obstruct opportunities for cooperation.
O 32.	There was a slowly increasing level of cooperation between CPEDU, LAB and GPSP. Nonetheless, various opportunities and potentials remain untapped.

Intra unit cooperation

The LAB and the GPSP are increasingly cooperating in more recent projects such as Belmopan and Kalobeyei. This is a step in the right direction for multiple reasons. First, the evaluation has observed that in general, poor coordination can lead to "confusion" in partner cities where both components operate. On a city wide level GPSP's can benefit from the LAB in design input and backstopping, as well as on how to address the three-pronged approach.

Similarly, the LAB's plans and designs can improve in the quality of public spaces at the micro level and on alignment at grassroots level. The two components present a different scale approach to public space, which in theory is complementary. In observed field projects, the GPSP would benefit immensely if the selected projects were complemented by city planning and design of the surroundings to enhance the positive effects and mitigate the negatives ones. For example, de la Turtourelle in Les Cayes could attract unplanned urban development in its immediate surroundings, which would raise new challenges to the site and the city.

O 33.	Better alignment of public space conceptualisation between LAB and GPSP in a coherent strategy would serve CPEDU's contribution to the NUA and SDG implementation and its visibility.
O 34.	The level of intra unit cooperation is increasing and more potential exists. Cooperation between the LAB and the GPSP has not fully occurred.

Intra-branch cooperation

While the IG-UTPs have been a good example of cooperation between CPEDU and the RMPU, the evaluation observed some unclear boundaries and responsibilities at city and regional levels. However, there is a promising and highly relevant cooperation on the role of public space as part of NUPs [34]. At the same time the level of cooperation, especially between the LAB and CCPU is substantial and growing. The LAB maintains a shared staff position with the CCPU. GPSPs cooperation with the CCPU is less formalised but also regular and adequate.

G 35.	There is a remaining ambiguity on the division of work between CPEDU and RMPU. This could be resolved through mapping their role in the ToC, and by addressing their relation explicitly in the future strategy of the UPDB.
O 35.	The CPEDU, the LAB and GPSP reached a level of integration and cooperation with the CCPU that triggered promising efforts to optimise results through more integrated activities with units within the UPDB. They have more potential and should be increasingly explored and supported by higher management.

Intra-agency cooperation

CPEDU's has notable cooperation with the Urban Legislation Unit and the Urban Economy Branch in the focal areas related to the three-pronged approach and mandated by the SP 2014-2019. A successful example is a 50% position shared between the LAB and the ULU in 2016.

A further highlight is the cooperation of the CPEDU/ LAB with the RRRB that generated innovative solutions on the urbanisation, planning and design of refugee camps. At the same time the LABs level of cooperation with the UBSB, the HSUB and the RCBD appears significantly weaker and more contested. A possible explanation for this gap are limited capacities and diverging professional ideologies.

Especially the gap in cooperation leads to RCBD less than optimal use of inhouse knowledge and experiences (e.g. on urban data and capacity building expertise). The GPSP is generally perceived as a highly integrated and "communicative" unit, with strong links to the Urban Safety Programme, the Transport and Mobility Unit, and on demand cooperation with all other entities. GSP is also well rated on addressing crosscutting issues of gender, youth and human rights.

Not least, the evaluation also observed that for external partners limited coordination of UN-Habitat's entities working in the same location is a prevailing weakness. One informant called the condition "smart fragmentation". This indicates opportunities and needs at the agency's higher operational and programmatic levels.

L 40.	The ability to partner and to cooperate is limited by the institutional setting including the mandates, time, and resources that are available to an entity, so a strategic focus is necessary.
L 41.	Organizational bureaucracy remains a challenge to partnering and cooperation despite the new matrix structure and flexteam arrangements. Organizational reforms and rise of project based non earmarked funding tend to increase intra agency fragmentation and competition and therefore obstruct integration and cooperation.
G 36.	The problematic impact of organisational bureaucracy on cooperation remains insufficiently reflected upon and addressed at the agency level. Despite CPEDU's efforts to promote coordination, in some instances inefficient coordination between branches and units cause problems working in the same city. This necessitates increased efforts from higher level management within the agency.
G 37.	Lack of room for learning, reflection, debate on diversifying philosophies on development, has been observed.
G 38.	Strategy and resources for integration, joint programming joint outputs and shared positions are not well defined.[89]
O 36.	The CPEDU, the LAB and the GPSP reveal a satisfactory level of integration and cooperation with other programmatic entities at UN-Habitat level, with varying strengths and weaknesses in inhouse cooperation. Despite flexteam and matrix efforts, organizational coordination appears to reflect a general structural weakness at higher level that needs to be addressed to become more enabling.
L = lessons; G = gaps; O = opportunities	

Cooperation with Regional Offices and Country Offices

The evaluation observed that CPEDU, the LAB and the GPSP enjoy a high reputation among the ROs and the Cos. At the same time CPEDU depends on the local expertise and the networks of the CO's. Moreover, all ROs and COs highly approved the relevance of Urban Planning and Design and of Public Space and deemed CPEDUs work highly effective. For some of the COs CPEDU was a rare opportunity and contact to headquarters, indicating CPEDU's high level of activity

in the field. Contracts with ROs and COs make up a significant share of CPEDU's inhouse agreements. In the context of a rising number of projects, mastering the bureaucracy was reported as a significant challenge burdening project efficiency. In some instances, RO and CO also reported challenges related to sustainability. Some deemed the approach of the LAB as too expert driven and top down, lacking a critical mass of diverse local experts and stakeholders, others regretted the generally short duration of most of the interventions, be it by the Lab or the GPSP.

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89 The fact that increased integration and cooperation are highly relevant and effective is supported by the observation that whenever joint outputs with other entities have been produced, generally the results have been perceived as better and more effective. Examples include a Guide on Gender Responsive Urban Planning and Design steered by the Gender Unit in 2012, or a guide on the Implementation of five principles of sustainable urban development in 2016 through the RCBB.

L 42.	CPEDU depends on local CO teams to promote coordination among government institutions.
L 43.	ROs and COs play a key role in generating field projects and funding.
L 44.	ROs are important interfaces in the knowledge loop from global to local and vice versa – localizing universal knowledge.
O 37.	ROs and COs can be resourced to serve as platforms for adaptation and learning and to provide a meaningful follow up of CPEDUs projects.[90]
O 38.	CPEDU, the LAB and the GPSP satisfactory cooperation with the ROs and COs offers more future potentials.

Intra UN cooperation and partnerships (added value and lessons)

A large array of cooperation partners can be detected on CPEDUs lists. But most the cooperation materialise ad hoc and spontaneous and on a project level. In general, a high level of "territoriality" and competition can be observed in the field and CPEDU is not always considered as the global reference institution in the field.

A valuable cooperation on Green Cities exists with UNEP. The GPSP demonstrates a track record of cooperation with UN Women, UNICEF and UNESCO, at the same time the LAB engages in promising teamwork with UNHCR. Highly desired partners for strategic cooperation are international and regional development banks that would promote the realisation of bankable demonstration projects on neighbourhood and city level.

L 45.	Territoriality and competition among various multilateral organizations tends to hinder long term cooperation.
O 39.	High potential to join forces with other UN agencies and other international development aid organizations working on urban planning but need supporting strategy.

Cooperation and partnerships with other stakeholders (added value and lessons)

Governments

The achievements, outcomes, challenges and opportunities of this type of cooperation with governments at national, regional and local levels, including examples of partners, have been reported at the beginning of this chapter. CPEDU, the GPSP and the LAB have demonstrated satisfactory levels of partnership and cooperation with governments and their platform organisations, although there are also significant risks related to political changes and to weak capacities.

A particular success story on a network level is the GPSPs partnership with UCLG on public spaces.

Individual flagship partnerships comprise countries such as Myanmar, Afghanistan, Mexico, Egypt, Saudi Arabia, Ghana, Rwanda and Haiti; cities such as Johannesburg and Barcelona, as well as the CB-KMPs work with 15 Kenyan municipalities. As in the case of the COs almost all partners are extremely happy with CPEDUs work and asking for more, longer and deeper interventions.

The evaluation observed that the LAB and the GPSP in some cases are not working directly through the local government as the primary partner, but through the CO and intermediary organisations. The government has an approving role. This is a common practice among development organisations especially in post disaster context and fragile governmental environments. It may also be related to the small size of the GPSP and LAB projects.

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[90] Worth noting is ROAS with a dedicated position for public space and the CO in the KAS steering a large planning and design programme.

L 46.	Weak capacities and political change are significant risks for sustained and effective partnerships with governments, especially local governments.
L 47.	Mostly CPEDU and the LAB work through short term engagements aiming at catalytic results this maximizes efficiency but relies on the partners for optimal effectiveness and sustainability.
L 48.	The CB-KMP is a good example of multi stakeholder partnerships; a new trend and opportunity.
G 39.	Strategy is needed for a new type of partnerships geared at strategic deep learning including projects that are deeper and longer.
O 40.	Deeper learning opportunities exist if embedded in partnerships with government.

International NGOs

The GPSP has a highly satisfactory track record on partnership and cooperation with international NGOs (e.g. Placemakers - NL and PPS). CPEDU/GPSP productively cooperated with the NGO WIEGO in a research project on waste pickers in Pune, India and in a publication on productivity in the urban economy steered by the Urban Economy Branch.

The LAB cooperates with this type of organisation on a case by case basis. Some of the NGO partners criticised slow reaction times from UN-Habitat's headquarters (this is also confirmed by the survey results as part of this evaluation).

G 40.	Partnerships with organizations representing the vulnerable and poor are too weak and too few.

Local civil society organisations

Local NGOs and CBOs play an instrumental role for the success of field projects as they are able to bridge the gap between local governments and the communities. The evaluation found that these organisations are among the key players in successful projects. Partnering arrangements with these organisations have often been indirect through intermediaries such as COs or local governments.

The GPSP has a particularly successful track record working with these organizations such as Mumbai Environment and Social Network, CIUD in Kathmandu, and several dozen local organisations in Nairobi such as the Dandora Transformation League. Various CBOs have been instrumental in implementing public space projects in the Kathmandu Valley in Nepal.

The CPEDU and the LAB successfully partnered with the local NGO CORE and supported the foundation of the Community Settlement Development Group in Kalobeyei refugee settlement in Kenya. An example of cooperation with various local NGOs in Nairobi is presented in Box 12. According to some Key Informant Interview respondents the LAB does not sufficiently utilise the potential to work "with" communities" instead of "for" communities, but progress is observed between earlier and more recent projects.

Box 12. Example of cooperation and partnering with local organisations in Nairobi

There was a rigorous process with the NGO Placemakers of documenting 17 public space initiatives in Nairobi. Thereafter a lab on "making cities together" held a competition and the final winner was the project presented by the Dandora transformation league. The model street project is being implemented with support from various partners, of which one is UN-Habitat. Korogocho Hope Raisers were also part of the competition coming in second place. Initially this has been intermittent engagement, but the Making Cities Together Lab has consolidated over the years and has evolved into a network of civil society partners working on public space in Nairobi: KDI, Hope Raisers, Architects without Borders, DTL, the Godown Arts Centre, the Friends of City Park, the Friends of Jeevanjee, Placemakers, the Kilimani Foundation, etc. And this platform is instrumental in engaging with the NCC and supporting the work on public space locally but also city wide, for example the Nairobi Placemaking Week.

L 49.	Local NGO and CBOs are a central factor promoting project sustainability. They bridge the gap between local government and communities, promoting knowledge transfer, communication, facilitation, and remaining on site for long periods of time.
L 50.	Sufficient resources are an important issue for local NGOs and CBOs. Yet, as one key informant said: money can also "spoil" the process.
G 41.	The instrumental role of local CBOs and NGOs is insufficiently factored into project plans and inadequately resourced. The amount of experience and lessons these groups have is insufficiently captured. Global and regional networks and platforms for this type of partners are weak.
O 41.	Potentials for learning and exchange on efficient NUA and SDG implementation are underutilised as part of partnerships with local organisations.
L = lessons; G = gaps; O = opportunities	

Universities and research institutions

Universities are not among CPEDUs main partners with the exception of a partnership with the Jomo Kenyatta University of Agriculture and Technology where major activities have been the establishment of a centre for Urban Studies and the organisation of an international urban design competition, as well as the start of a Master's Programme on sustainable urban development. Successful but sporadic cooperation exists with many other universities, academic research networks and research institutes. Examples include Khulna University in Bangladesh in the implementation of Khulna public space project, the KTH Stockholm, the NYU, the Association of African Planning Schools, or the National Institute on Urbanism (Rome). Students have frequently supported "crowd sourcing" exercises of city-wide assessments of public spaces. EGMs are used as an effective tool to maintain networks with leaders from research and academia. Informal networking with research and academia are successfully used to recruit staff and interns.

L 51.	Partnerships with universities are not easy to maintain, as these institutions have their own timelines, rationales and needs.
O 42.	Much more potential still exists in the cooperation of CPEDU and its components with universities and research Institutions.
O 43.	Potentials of university partnerships, in mainstreaming knowledge, and localising the city planning and design approach in the context of NUA and the SDG implementation, and on impact monitoring etc. are insufficiently explored and used. The possibilities of the inhouse university networking platform (UNI) are poorly used.

Private sector partners

CPEDU has a significant track record of partnering with the private sector, with many valuable experiences recorded. Arcadis shelter, a SCR arm of a global design and consultancy firm is a main partner of the LAB. The initiative repeatedly provided human and capital resources as part of technical cooperation projects with the CPEDU and the LAB in the Philippines, Colombia, and Myanmar. Private sector experts in urban planning and design for LAB planning workshops are also provided through an arrangement with the Dutch government's Creative Industry Fund. A core private sector partner for the GPSP is the firm Microsoft/Mojang. It cooperates with the GPSP though the Block by Block Foundation using a participatory design approach for public spaces with the Minecraft gaming tool. Further partnerships such as with Ericsson (virtual reality and PS), the Ax:son Johnson Foundation (Future of Places conferences), are supporting specific aspects of the GPSPs work and diversifying the funding base. Siemens has been significantly supporting CPEDU in the development and dissemination of the UPCLs instrument, besides more local private sector entities that would support it locally such as CEMEX in Mexico. Not least the Korean planning construction firm Booyoung has provided funding for sustainable urban development projects in selected African cities (See Sec2.6.1). The private sector partners interviewed as part of this evaluation were highly satisfied about the

cooperation with CPEDU, the LAB and GPSP. Nonetheless they also pointed to further potentials to enhance efficiency of the cooperation stating that "more would have been possible." Staff capacities and UN bureaucracy were named as the main reasons for shortfalls.

L 52.	Partnerships with private sector partners are on the rise and they have been instrumental for CPEDU's, the LABs and the GPSPs success. However, with a few exceptions, there was a concentration on one private sector partner per subject (Minecraft, African cities, UPCL, FoP conferences etc.); "territorial" questions such as trade secrets and copyright issues may be a strong factor among partners who work on similar types of products.
G 42.	Cooperation may carry risks and potential negative effects if, as a result, expert trainings are dominated by young western designers, or public space workshops mainly focus on design especially in early phases.
O 44.	So far CPEDUs experiences of massively cooperating with the private sector lacks assessment and reflection to generate lessons for other units and branches.

Donor-partners

In addition to private sector funders, CPEDU's growth and development relied on a few core donors such as Spain (ASUD) and SIDA/ Norway (SUD-Net) who provided non earmarked funds.

L 53.	A few donor partners, from private and public sectors was key to CPEDUs success.
L 54.	The non private donors have provided crucial non earmarked funding securing the quality of normative work of the unit (and backingup and supporting the start up phase of the GPSP and the LAB).
G 43.	It is imperative to avoid a further loss of non earmarked funding. This would be a major risk for the delivery of CPEDUs, the LABs and the GPSPs goals and a risk to their autonomy.
O 45.	In general, the good practice CPEDU and its components have achieved in the quality of partnerships, and levels of cooperation with other stakeholders, holds many further opportunities.

Multi stakeholder partnerships

The evaluation observed that more and more projects involve multi stakeholder partnerships. (e.g.: The CB-KMP features stakeholders like the World Bank, SIDA, various cities and government bodies from Kenya, consultants, and research institutions. Block by Block Projects in Johannesburg and Nepal, involve several local government bodies, NGOs, university partners, various community organizations and local service providers. Multiple stakeholders representing international, national, and local stakeholders and beneficiaries also work in the Kalobeyei project.

L 55.	Project based multi stakeholder partnerships become increasingly the future trend.
O 46.	Use of multi stakeholder partnerships is a strong trend and could be more central on CPEDU's and UN-Habitat's strategic radar. Strengthening of existing resources and skills are needed to foster this type of partnerships.

4.3 Assessment of gender equality and other cross-cutting issues

Significant parts of this section refer to the findings of section 4.2. CPEDU considers crosscutting issues in its activities to different extents with growing emphasis on climate change. The Lab and the GPSP have complementary strengths on crosscutting issues. The GPSP addressed issues of gender equality and youth at highly satisfactory levels, while the LAB addressed issues of climate change (and the environment) at highly satisfactory levels, including through the collaboration with CCPU analysed earlier. CPEDU's staff itself is well balanced in respect to gender and youth.

4.3.1 Alignment with cross-cussing issues

CPEDUs consideration of UN-Habitat's crosscutting issues, youth, gender equality, climate change, and human rights is becoming more and more elaborated and refined. Crosscutting issues have for example been consequently included in the instruments such as the Plan Assessment Checklist, which when finalised, will become very effective tool to improve local plans, polices and designs. A best practice on gender responsive planning has been a 2012 publication by the gender unit. Today such outputs are lacking.

An appropriate interpretation and consideration of human rights remains a challenge. The following quote from the survey highlights the relevance of human rights in relationship to urban planning.

"It is unlikely that the consideration of human rights holds much of position in the private development of land. This emphasizes why planners and planning by government organizations and NGOs is so important – good regulations and policies will shape good development" (Quote of one of the answers from the evaluation survey on the relevance of crosscutting issues)

4.3.2 Effectiveness of considering cross-cutting issues

Overall crosscutting issues are addressed rather implicitly (with the exemption of climate change). Cross-cutting issues are addressed through the results, but also as part of CPEDUs activities and outputs (for example gender balance is reported for training events). GPSPs and the LAB have complementary strengths. GPSP's strengths lie in addressing gender, youth and youth aspects. The LAB is strong and active on climate change. Human rights are implicitly covered. There is potential to address cross cutting issues more proactively and openly. Current development of toolkits and qualifiers on crosscutting issues is inadequate, especially on the issue of human rights.

L 56.	The proactive concept of sustainable urban planning through a renewed city planning and design approach implies that crosscutting issues are indirectly addressed by the results achieved. Yet, without impact monitoring, this remains an assumption.
G 44.	"Leaving no one behind" and human rights are not sufficiently addressed in certain LAB projects.
G 45.	A more overt consideration and promotion of gender and other crosscutting issues is needed across all activities such as field projects, advisory planning services, training activities, and in some of the normative publications.[91]
O 47.	More normative, operational work and pilot projects focusing on city planning and design including projects on crosscutting issues is an important opportunity[92].

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[91] Of the ten documents reviewed five have been rated partially to non satisfactory on considering crosscutting issues.

[92] Some successful standalone projects by the GPSP are partnership with Plan International on engaging adolescent girls (Vietnam, India), project with young people with disabilities in Vukuhambe, South Africa, and the Waste pickers in Pune.

Residents commuting through flooded areas after heavy rainfall © UN–Habitat/ Cynthia Van Elle

5   EVALUATIVE CONCLUSIONS

5.1   Issues of significance – Ten dialectic pairs

A number of topics that are at the centre of CPEDU's, the LABs and the GPSPs work emerge from the evaluation process. These are presented as ten dialectic pairs, as thesis and antithesis. Opposing, but connected, from the evaluations point of view these are the "zones" delineate the setting of the work (from the UN to a project level), that need continuous negotiation and navigation. Depending on the particular context and task "mediations between the dialectical nodes lead to a "third" specific and blended result (e.g. integrated operations, practical learning).[93]

Box 13. 10 Issues as dialectic pairs/ negotiation lines

Local – Global

Normative – Operational

Specialised – Integrated

Competition – Cooperation

Improvisation – Routine

Form – Process

Experiment – Mass implementation

Pro-active – Re-active

Quick effect – Persistent system change

Networks – Frameworks

1.   **Local – Global.** The dialectic pair of local and global is decisive. All components CPEDU strive to generate solutions that are universal and that can be spread globally, but which, at the end also need to be implemented in specific localities and situations and to be adapted to local requirements (localised). At the same time the local data, knowledge, experiences and lessons learned are prerequisites of successful universal approaches.

Local–Global also exists at smaller scales. For example, the notions of top down and bottom up are closely related and very pertinent as part of debates on decision making, planning, design and participation. Other related sets of issues are inductive and deductive approaches to knowledge and solutions, the first generating solutions based experience and observation in specific locations and the second, general theories and models.

Examples of CPEDUs universal approaches include the UPCL methodology, GPSPs participatory approach on Public Space design and the rapid planning methodology of the LAB. Whereas the LAB seems to be inclined towards expert driven approaches, the GPSP demonstrates a focus on inductive and people driven solutions. Both approaches have "organically" emerged responding to internal dynamics and external needs, and both have their up and downsides. Furthermore, the evaluation revealed that partners on the ground such as COs, local NGOs and community organisations play a vital role in the process of localisation (See Figure 5). The challenge to effectively exploit the experiences and lessons from the ground became evident.

Figure 5. Localisation

LP - Local Partners, LG - Local Government

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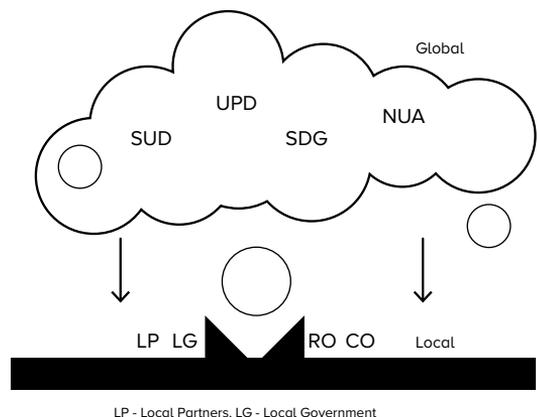
[93] The pairs as presented here can also be used as part of strategic and scenario planning related to future and business models of CPEDU, LAB, GPSP.

Grounding global solutions and policies such as the NUA, SDGs and UN-Habitat's approach to sustainable urban development is one significant part of CPEDUs work.

Normative – Operational. The normative and operational pair is a close relative of the global and local pair. It is part of UN-Habitat's strategy and mandate to balance the two, so that in an optimal scenario the two sides nurture each other. As a result, this provides the agency with a competitive advantage and an added value, compared to other UN entities. Still, evidence on an ideal equilibrium between operative and operational is lacking, showing the absence of effective concepts and practices on connecting and integrating the two. Not least, to resource the normative side is

increasingly becoming a principal challenge due to a radical decrease of non earmarked funding in the entire agency. Efforts to provide resources for normative work as a share of earmarked project funds exist, but they have not been sufficiently successful. In addition, the strengthening of monitoring and learning – on the ground, in the regional offices, and in the headquarters – can serve as a vital means to provide better linkages between the two spheres. The volume of CPEDU's projects provides room for further learning and innovation on this subject. Figure 6 illustrates the potential learning loop constructed from the data gathered during this evaluation. It stresses the potential role that ROs and their partners (universities and research institutions as intermediaries) can have in linking operational and normative work.

Figure 6. Potential "Learning loop" linking normative and operative activities across CPEDU, ROs and COs.
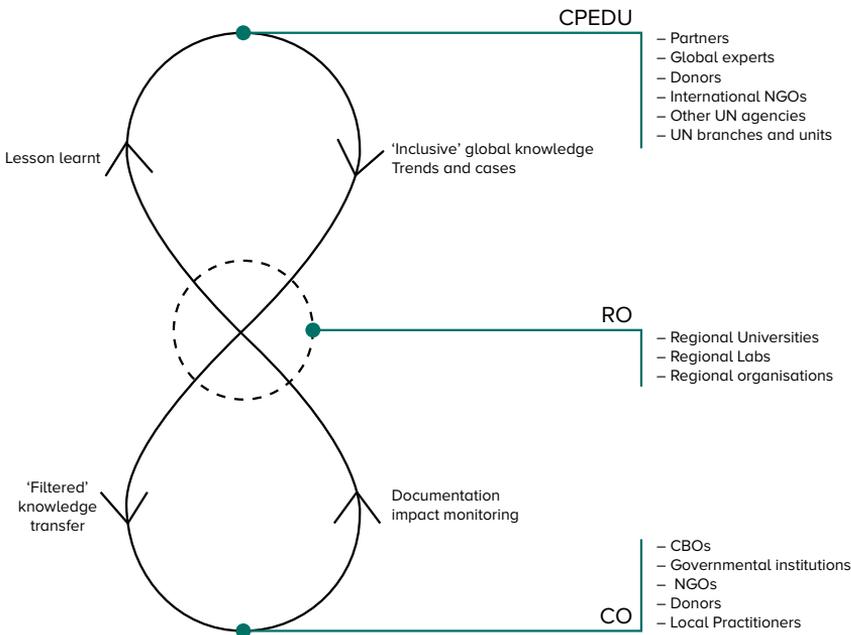
2. **Specialised – Integrated.** The pair of "specialised – integrated" refers to matters such as professional expertise, thematic concentration, organisational efficiency and distribution of work. In this case the ambivalence (positive and negative) is situated in the fact that Urban Planning and Design, while embracing distinct core competencies, is by nature an integrative discipline. As a matter of fact, cities comprise buildings, water and electricity lines, roads, parks and waterways, as well as all kinds of material (people, cars) and immaterial (information) flows.

   Furthermore, the new urban planning approach promoted by UN-Habitat stresses the aspect of integration even more. Still, best practices on integration by urban planning and design are lacking globally. Moreover, urban planners and designers in many contexts continue to demonstrate an attitude that they could "do it all by themselves". Both global observations point to the dilemma facing CPEDU, and especially the LAB.

   UN-Habitat's designated specialists for city planning and design face high expectations to provide integration between the various bodies of the agency. The GPSP faces this challenge to a lesser extent, as it focuses on a distinct issue and problem, Public Space, rather than on a discipline. However, these challenges are also an opportunity for CPEDU to pioneer in experimenting with different scenarios.

3. **Competition – Cooperation.** Whereas the "specialised – integrated" set is thematic, the competition and cooperation pair refers to the organisation of working streams. Both pairs are interrelated as often integration also entails cooperation. In the best case, the competition and cooperation pair is a vital generator of productive energies, in the worst case it can trigger blockage and frustration. Hitherto the "competition – cooperation" is prominent in spurring innovation in the private sector. It is also a familiar experience at schools and universities. The pair is relevant for CPEDUs work, as the programmatic work in UN-Habitat is divided in seven strategic focus areas and corresponding branches, four regional offices and additional units and programs. Cooperation is

highly valued and a new "matrix approach" as well as the instrument of "flex teams", seek to promote it. However, as the numerous entities face a decrease in funding and compete for scarce resources, competition, while not officially endorsed, is a prevalent and "strong" force promoting innovation, but also institutional fragmentation. Competition can be experienced also in the field where various entities (from UN-Habitat and beyond) work on related issues without sufficient coordination. Indeed, this pair, with its dynamic effects, needs a deeper appreciation and conceptualisation.

4. **Improvisation – Routine.** Improvisation and routine is a subtler dialectic pair, but nonetheless it is a relevant issue for the CPEDU and its components. On one hand, it describes the current situation, with CPEDU at a turning point from improvisation of the initial years towards more consolidation and routine. Secondly, the pair refers to a continuous challenge in urban planning and design, namely the need to balance the established, formal, and standardised with the new and experimental, in order to tackle new problems. While linking the two dimensions as mentioned above, it will be important that UN-Habitat's approach to city planning and design does not lose the investigative and improvisational side that is vital to a successful city planning and design approach.

5. **Form – Process.** The set of form and process refers to a challenge in promoting the UN-Habitat approach on city planning and design. Both the LAB and the GPSP, promote quality designs for the purpose of demonstration. This can be in the form of planning solutions (as in the case of the LAB), or in the form of field projects such as parks and playgrounds (as in the case of the GPSP). These physical outputs are complemented by different capacity building and learning activities, such as planning and design workshops or trainings on principles, tools and approaches. The primary focus is on the form; this then is embedded in learning processes. Still, this dialectic pair bears further opportunities: a more "radical" approach that turns its attention on the understanding, planning and design of project lifecycles and urban processes would be ideal.

6. **Experiment – Mass implementation.** The pair of experiment and mass implementation reflects on the distinction of a demonstration project (mainly done for the purpose of internal learning and development) and the task of large scale mainstreaming, implementation and demonstration. The first type has the centre of CPEDU's, LAB's, GPSP's attention. The second type becomes increasingly pertinent in the future. It corresponds to an ongoing maturation and consolidation of the unit and the two programmes, with increasing demand from the field, especially in the context of SDG and NUA implementation. With this changing context a new strategic balance of the two categories including a redefinition of UN-Habitat's role becomes vital. (See Issue 4)

7. **Proactive – Reactive.** The proactive, reactive pair is significant for the unit's work. The core concept of the city planning and design approach is on a proactive side. It assumes, for example, that by directing future urban growth towards a sustainable, equitable and resilient course, poverty would decrease cities would become more accessible to all. From this point of view, the emergence of slums can best be averted through promoting well planned and designed cities and neighbourhoods that can accommodate the entire population in appropriate settings.

   One of the risks of the proactive approach lies in a tendency to assume that all crosscutting issues, as well as all dimensions of sustainability are intrinsically addressed by the concept. On the other hand, it is also the mandate of the UN (and consequently CPEDU) to address urgent problems on the ground such as post disaster, and post-conflict support and reconstruction (e.g., in Haiti, Somalia, Afghanistan and Nepal), or upgrading the public spaces in informal settlements (Mumbai) in a more reactive role. As with most of the other dialectic pairs, the delineation of a practical mix of the divergent roles is a challenge.

8. **Quick effect – Persistent system change.** This pair relates to the dilemma of having limited resources and of being located at a global headquarters while aiming at generating long term impact on sustainable urban development in as many locations as possible. The status of CPEDU (with the LAB and the GPSP), with distinct capacities and resources (that are largely earmarked), promotes field operations that are relatively quick and that aim at catalytic effects.

   To promote long term change, a local context is preferred that some how is in "on the right way" on its own and that includes supportive local partners (from COs to local governments and grass root organisations). Significant risks of failure, somewhere in the process (from adaptation, to implementation and use), exist and may derail development. The approach also implies even greater challenges in weak and fragile locations with risky political and social futures.

   In the light of UN-Habitat's normative mandate on global influence, it can be asserted that a strong focus on high quality normative outputs is key. Furthermore, given the challenge of promoting long term change on the ground a new category of "longer and deeper" project is proposed. Consequently, a well defined blend of "long and deep" and "quick and radical" interventions, in combination with quality normative work and effective learning loops between normative and operations needs to be considered (See Issue 2).

9. **Networks – Frameworks.** The set of networks and frameworks refers to the need to balance the enthusi asm, high levels of engagement and transformational energy of partners through formal arrangements, MoUs and contracts. Likewise, it is necessary to back up and secure "unofficial" ideas, plans and designs by providing these with a statutory rank and promoting a wider support through other formal policyand legislation. While CPEDU has a successful record of partnership regulation that offers wider learning opportunities its track record on formalising plans and designs and on reviewing statutory systems has room for further development.

Figure 7. Networking and Partnering as viable strategies to mediate the risks and promote mainstreaming and broad implementation.
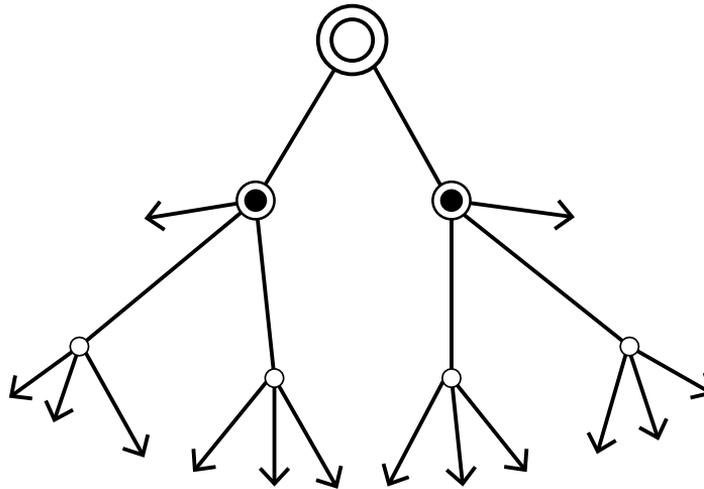
5.2   Rating of each evaluation criteria

Summary table

Table 13. Summary table of evaluative conclusions

Category	Assessment
OR 1. Level of achievement CPEDU has achieved the Expected Achievement EA2.2 in the evaluation period and is on track for attaining the biannual target for 12/2017. By the end of 2016 at least 40 partner cities have adopted policies, plans and design towards sustainable urban development. It is highly likely that by the end of 2017 the target of 50 will be reached. There is evidence that the Unit has also achieved the two Sub Expected Achievements. The delivery of outputs in the evaluation period has been highly satisfactory.	Achieved
OR 2. Relevance The overall result on relevance is highly satisfactory. The city planning and design approach including public space and the related activities are highly relevant to the target groups and local needs, to UN-Habitat's strategy and goals, and to overarching policy frameworks and agendas in achieving sustainable urban development.	Highly satisfactory
Relevance and perceived value	Highly satis-factory
Consistency/alignment with overall goals and with target beneficiary needs	Highly satis-factory
OR 3. Effectiveness The extent to which the city planning and design approach including public space attained its objectives (outputs and outcomes) is satisfactory.	Satisfactory
Achievement of results and likelihood of achievement	Highly satis-factory
Appropriateness and feasibility of CPEDU's strategy: Factors supporting and constraining; the attainment of results on four levels: planning and design, adoption, implementation, transformation	Partially satisfactory

Category	Assessment
OR 4. Efficiency The overall level of efficiency in relation to CPEDUs products and its organisational setting and resources is satisfactory.	Satisfactory
Product efficiency	Partially satisfactory
Organisational efficiency	Satisfactory
OR 5. Impact outlook CPEDUs, GPSPs and LABs activities have achieved, or are on track to achieve their intended impact to satisfactory levels, (at least within the boundaries of their own projects)	Satisfactory
Number of people reached directly and indirectly	Satisfactory
Impact on the ground	Satisfactory
OR 6. Sustainability CPEDUs, LABs and GPSPs level of achievement on sustainability is partially satisfactory.	Satisfactory
Ownership by target beneficiaries	Satisfactory
Replicability or scaling up of the approaches	Partially satisfactory
OR 7. Partnerships and collaboration CPEDU, the LAB and the GPSP address partnerships at a highly satisfactory level.	Highly Satisfactory
Perceived relevance of partnerships	Highly satisfactory
CPEDU's achievements and outputs on partnerships	Highly satisfactory
Intra agency cooperation and partnerships	Satisfactory
Intra UN cooperation and partnerships	Satisfactory
Cooperation and partnerships with other stakeholders	Highly satisfactory
OR 8. Gender and cross-cutting issues CPEDU addressed issues of gender equality and other crosscutting issues to a satisfactory level.	Satisfactory
Level of alignment with crosscutting issues	Satisfactory
Effectiveness of considering crosscutting issues	Partially Satisfactory

6   LESSONS LEARNED

The following section summarises the key lessons that emerged from the evaluation. Lessons are valuable experiences related to the project's context, activities and results that are worthwhile to be shared more broadly and emanating from the evaluation process, but not necessarily related to evaluation results.

The lessons presented throughout chapter four are consolidated below.

1.   CPEDU's demand driven work through short term engagements succeeded as attractive entry points that had catalytic results in promoting sustainable city planning and design with high efficiency. Supportive local conditions and strong partners proved essential for optimal effectiveness and sustainability. This points towards a vital opportunity: that CPEDU has the potential to lead the coordination of implementing the NUA and the SDGs.

2.   The combination and integration of activities such as field projects, planning and advisory services, tools and technical materials and capacity building promotes higher levels of efficiency and effectiveness.

3.   Multi-disciplinary inhouse cooperation with other branches and units is essential for CPEDU to attain full scale impact and realise the chain of results in the ToC underlying its Expected Accomplishments (as outlined in the Strategic Plan). CPEDU can only proceed beyond plans into adoption and implementation when accompanied by partners who support them in addressing the local political dynamics of cities and stakeholders, dynamics of land and housing markets, various levels of governance and regulations, and ways to mitigate political risks.

4.   Thematic concentrations, within comprehensive integrated solutions, require input from experts in different fields of expertise. 'Bounded' integration and cooperation in the sense of involving a selected number of themes and partners, tends to produce more relevant and effective results than mono-disciplinary teams or a very large variety of partners.

5.   Peer reviewing at the beginning of projects is as significant as peer reviewing towards the end of the projects. Involving in house colleagues from other branches strengthens the thematic knowledge base of the team at CPEDU and enhances consideration of cross cutting issues. There is potential for extending peer reviewing to international organisations and experts.

6.   ROs and COs promote the work of CPEDU through: formulation of new projects, mobilisation of funding, facilitation of operational activities (identifying local requirements, engaging local stakeholders, and coordination at city level with other UN-Habitat activities). They have untapped potential in partnering CPEDU in impact capture and monitoring, extraction of lessons learnt, contextualisation of global principles to regional and local contexts, and normative outputs. Collaboration with colleagues from ROs, and from COs, increases relevance and effectiveness of outputs.

7.   Field project based operations provide positive impact on the UN-Habitat capacity and global advocacy only when they are adequately balanced with high quality normative outputs. Monitoring and learning activities (extracting lessons learnt and consolidation) can assist to balance the two. Operational activities have immense potential for the advancement of learning and innovation, as well as the development of effective strategies that can be independently implemented by others at a global scale.

8.   Organizational systems (reporting, monitoring, administration etc.) and financial setups can promote or hinder intraagency integration and cooperation, knowledge building and transfer, and credibility in the eyes of partner cities. It has a crucial effect on the effectiveness, efficiency and visibility of CPEDU's city planning and design

strategy. Reforms should consider the complexity, speed and resources needed to sustain the high relevance to, and growing demand from, partner cities.

9. Partial implementation of the city planning and design approach can generate negative effects such as exclusion or even forced evictions. These need to be effectively mitigated through implementation mechanisms and regulatory change to ensure that equitable distribution of benefits are embedded in project lifecycles. This can be enhanced through an impact monitoring system as well as CPEDU's episodic engagement during implementation.

10. Participation can take different forms, leading to diverse results. Selection criteria, continuity and clarity of engagement, as well as consolidation of the channels of communication among stakeholders are key to the sustainability of the initial positive effects of participation.

11. Factors that promote successful partnerships in CPEDU are: shared vision, communication at eye-level, beneficiaries that are treated as partners, effective agreements and contracts, and the probability that partners become the project champions (local NGOs and CBOs particularly possess a high capacity for bridging the gap

between government and people, and thus promoting sustainability).

12. Local governments and relevant national government institutions are key actors for CPEDU's success. Advancement in the chain of results, i.e. scaling up, to reach policy level aspirations can only occur if projects and operational activities are linked to the priority issues of national and local governments. It is crucial to engage and establish ownership in order to enhance sustainability of results.

13. Focusing on good governance as well as addressing political risks and other externalities is essential. Although this tends to inversely affect short-term efficiency, it is a vital component to promote medium and long-term efficiency and effectiveness.

14. Partners with a high amount of their own resources (including experts, professionals, the private sector and donors) tend to have their own strong visions and agenda, not necessarily aligned with the one of CPEDU's. Suitable agreements, contracts, standards and clear roles among partners have been successful in achieving alignment and highest standards.

7   RECOMMENDATIONS

The evaluation concludes with ten strategic core recommendations and 36 secondary recommendations which address CPEDU, the LAB and GPSP, and UN-Habitat. The recommendations have been generated based on a systematic review, analysis and consolidation of the gaps and opportunities as presented in the findings section of the report.

7.1   Core recommendations (on CPEDU as a unit, including all programs)

Why	What	How
1 To consolidate the gains and keep strengthening CPEDU and their city planning and design approach to serve the goals of sustainable urban development.		
Based on what the unit (including its capacity building component, the LAB, and the GPSP) succeeded to achieve, the diversity of roles and outputs, the rising learning curve, confirmed relevance of its work to international frameworks, to UN-Habitat's and other UN agency goals, as well as to its partner cities and beneficiaries, and the proven pertinence of their city planning and design approach as a core element in achieving sustainable urban development, as a successful partner of cities in realising international frameworks such as the NUA, the SDGs and the Paris Agreement on Climate Change.	The crucial role of CPEDU's city planning and design approach is one of the drivers towards sustainable urban development deserves ongoing appreciation and support, CPEDU, as a unit needs, ongoing acknowledgement, consolidation, endorsement, and support to be globally positioned as a key promoter of sustainable urbanisation through its unique city planning and design approach including the three-pronged approach, participatory and integrative tools, five principles, and its use of partnerships, enabling CPEDU to be more strategic in the coming phase.	To remain a core priority area of UN-Habitat's strategy. To ratify the junctures and define a cooperation strategy to other units (e.g. RMPU), other branches (e.g. RCBB) and other UN agencies (e.g. WHO) and non UN agencies; To increase the number of core staff, especially in the core unit, adding pertinent skills, especially related to multidisciplinary knowledge, learning and knowledge management, and high quality normative outputs; To consolidate the various experiences and learning processes of the forming phase since 2012, coupled with a clear organisational vision and a strong communication and dissemination strategy; To increase non earmarked funding to support high level normative output for global impact; To promote a learning culture and sustain interlinkages between operative and normative activity; To endorse and support recommendations no. 2-9 (on this list).
2 To keep fostering, embracing and promoting a comprehensive urban planning and design process.		
Post-WW2 urban planning and design approaches have proven ineffective. 21st century urbanisation calls for a new integrated and extended urban planning and design process, The City Planning and Design Strategy unfolds beyond the direct line of control of the developed plan, to address levels of outcomes and effects such as adoption, implementation, operation and monitoring. To tackle the need for a comprehensive urban planning and design process effectively an extended set of skills is needed.	CPEDU therefore needs, to consolidate and broaden its knowledge and skills on a multi-disciplinary and comprehensive urban planning and design process, in order to address the complete project lifecycle including: management and operation, the political economy of planning, mitigation of externalities, methods of localisation and contextualisation, evidence-based design, collaborative training and learning, that will also valorise its unique profile and relevance in the field and promote the consolidation of CPEDU's city planning and design approach.	To consolidate and broaden CPEDU's own skills and strengths related to the city planning and design approach (spatial planning with people at the centre); To acquire, apply the extended skills needed for a comprehensive urban planning and design process and to mainstream and advocate such a skill set; To promote adequate incentives, mandates and resources to bring the relevant skills (from inside the agency) into the process. Not to assume a role of urban planning alone but rather focus on physical/spatial dimension of city planning and design while guiding UN-Habitat - in collaboration with all other branches - to promote the comprehensive urban planning and design process; To promote collaboration with other units and branches in the agency such as urban governance, basic services, housing and slum upgrading, and research and capacity building, in order to promote synergies and to gain complementary strengths; To facilitate collaboration at project level with other colleagues, for example, to develop an operational manual for the management of public space, or to elaborate medium and long term "business plans for the operation of new neighbourhoods; To continuously reflect on the role of urban planning and design as part of a theory of change including the mapping of project risks in various contexts and work scenarios; To refine risk mapping and feasibility assessment techniques, and 'exit' strategies for the city planning and design approach for various contexts; To refine the roles and responsibilities on adoption, implementation and operation with relevant stakeholders i.e. ROs, COs, local governments; To consolidate linkages between the three-pronged approach (planning, legislation, finance) and urban governance as part of the new strategic plan.
3 To endorse and support CPEDU's role as a partner of cities on implementing the NUA and SDGs and other relevant frameworks.		

Why	What	How
CPEDU has had an instrumental role in the development of the SDGs and the NUA i.e. in reinforcing the role of urban planning and design as well as of public space in these global frameworks. CPEDU had particularly a role in: a) indicator development, b) in reporting, c) in implementing the NUA and SDGs through city partnerships, and d) in the development of respective tools and capacities. Today CPEDU is in a key position to become a core partner of local governments to implement the SDGs and the NUA through their city planning and design approach. Indeed, CPEDU has the overarching understanding to bring it about, but not the power and capacities to realise the full potentials yet. Not least, the NUA, the SDGs (and other relevant global policy frameworks) entail outstanding opportunities for mainstreaming the unit's city planning and design approach and attracting funding when more visibly associated to CPEDU.	The important role of CPEDU in indicator development and refinement, in reporting, in partnering with city governments, and in capacity building needs further endorsement acknowledgement and promotion, in particular in relation to: 1. Indicator development; 2. Reporting (capturing what others are doing worldwide); 3. Implementation: handholding/supporting local government, developing tools in the NUA, technical assistance to use it as a carrier of CPEDU message on city planning and design. 4. Capacity building: whether through training or indirectly through participatory implementation of plans and projects. CPEDU should use their significant position in promoting the role of urban planning and design in the NUA, and in promoting spatial dimensions of the SDG's especially SDG11 as a vehicle to promote sustainable urban development.	To consolidate and strengthen the role of CPEDU in refining indicators (SDG 11.7, public space) and in gathering and reporting of data; To deploy CPEDU's expertise and role as a partner to cities in delivering SDGs and the NUA through urban planning and design (capacity building with or without other operative services); To support CPEDU/ GPSP to take the lead in coordinating public space as an integrative topic, within UN-Habitat and among UN agencies. To utilise CPEDU's convening power, to reinforce UN-Habitat's coordinating role for example on public space, and how it contributes to SDG achievement beyond SDG 11; something that UN-Habitat should take more clearly, effectively among the different UN agencies like UN Women, UNHCR, and others. To continue CPEDU's implementation support activities on how the SDGs and NUA are implemented (for example by partnering with UCLG). To adapt/brand/revise existing tools and guidelines to demonstrate how these tools support the SDGs and the NUA implementation. (And to add new ones as needed.) To strategize on how the momentum and the NUA and SDG can be further tapped to promote a two way process and mutual synergies benefitting from all that is occurring worldwide in this momentum.

4 **To consolidate GPSP's and LAB's institutional profile as part of CPEDU.**

Why	What	How
The City Planning and Design Lab (LAB) and the Global Programme on Public Space (GPSP) are vital components of the City Planning Expansion and Design Unit (CPEDU). CPEDU's capacity building activities, the GPSP's focus on public space and the LABs attention to an integrated planning and design approach together constitute CPEDU's unique profile and sets it as one of the most successful units in the agency. In the last five years, both experienced a period of enormous growth, development, and gain in reputation, facing increasing demand for their skills and services. At the same time a formal acknowledgement and consolidation of the GPSP and the LAB is lagging behind; it is needed to be make their contributions clearer to others, facilitating collaboration and enhancing visibility both inside and outside the agency.	UN-Habitat in close cooperation with the UPDB and CPEDU needs, to endorse and strengthen the status of the LAB and the GPSP as an integral part of CPEDU, especially in driving forward and establishing the institutionalisation of the GPSP and the LAB; namely to define their agency wide role from within CPEDU, and to clarify their agency wide strategies, potentials, and responsibilities, as part of the unit, the branch and the agency, providing them with the appropriate administrative support and enabling systems of operation.	To affirm and recognise the specific input and roles of the LAB and the GPSP to CPEDU, UPDB and to define their agency wide role and strategies; To include the LAB and the GPSP and their roles into project frameworks and designs including having their own targets and indicators; To articulate their work plan more clearly; To provide mechanisms and incentives that enable the unit to work in an integrative manner across the agency; To promote project based multidisciplinary teams in the LAB linked to the relevant thematic areas and to key projects; To promote 'flex teams' on public space; To elaborate a respective Theory of Change for the LAB and the GPSP; To expand on resources and staff, especially seek to expand the core staff to secure the LAB's and CPEDU's normative potential roles.

5 **To keep embracing the "leave no one behind" principle**

Why	What	How
New global frameworks such as the SDGs and the NUA embrace a global context and aim to tackle poverty as much as Climate Change effects and resource depletion from a holistic perspective. At the same time, UN-Habitat's approach to sustainable urbanisation and specifically, CPEDU's approach to city planning and design promoting "more compact, socially inclusive, better integrated and connected cities that are resilient to climate change" reflects a holistic integrated and pro-active approach to development assuming that prosperity and inclusion will trickle down to the poor. Irrespective of the general appropriateness and plausibility of the proactive approach, this evaluation deems that the strategy leaves high risks and externalities unchecked, especially on poverty eradication and "leaving no one behind". These emerge when urban development is unilaterally directed to ecologic, or environmental ends, without mediating the mutual social, cultural and economic externalities.	CPEDU needs, to understand and mitigate social risks and externalities and pay increased attention to inclusive and pro poor solutions, aiming at better tangible results for the poor.	To keep embracing and mainstreaming propoor aspects in the planning process (i.e. bring to the surface from within the human rights crosscutting issue the emphasis on the poor and most marginalised); To incorporate and shed light upon the vicious cycle of urban development risks into CPEDU's Theory of Change models; To advocate for a diversity of solutions, including approaches promoted by civil society organisations, social movements and propoor organisations; To engage partners with propoor orientations such as global networks of the poor, promoters of human rights in the city, and local NGOs and CBOs more in, for example, processes of peer review of CPEDUs work; To engage more in implementation while retaining service provision at the planning stage. This can take the form of iterative episodic engagement to monitor the implementation of plans and processes that safeguard social inclusiveness. (Cf. Recommendation 6)

6   Close the learning loop through monitoring impact, discerning lessons and targeting strategic "deep" projects

Why	What	How
CPEDU reflects a larger trend of a declining share of core funds, while it features a rising number of operational projects, especially field projects. In this context, the resources for normative activities tend to decrease. At the same time, the unit engages in a large number of "small and catalytic" projects (based on demand), and the "contact time" that CPEDU's staff spends in the field is relatively short. Moreover, the means and opportunities for impact monitoring and discerning lessons learnt, that could promote internal learning processes and that could also further large scale global impact through feeding into high quality normative outputs, become more and more scarce.	Considering the trends and underutilised opportunities for learning and an increasing mismatch between project based funding and normative mandates, CPEDU needs the learning loop to be closed with the collaboration of other partners and the support of higher level management by: capturing and monitoring impact, discerning lessons learnt, strengthening knowledge management and promoting internal learning, acknowledging and coordinating the contribution of global, regional, and country offices to the learning loop, as well as targeting a category of strategically chosen "deep projects" (to be balanced with the "small and catalytic" projects) that include high quality normative outputs with longer term engagement to serve as demonstration projects.	To define a type of demonstration projects labelled as "deep projects" that focus on feeding the learning loop, documenting and verifying change, measuring impact, and on normative outputs. Deeper projects can entail, for example, intensified analytical and data gathering phases, project timeframes of five to six years including periodic (every six months) monitoring and learning visits to observe intended and unintended changes on the ground. They can reflect key strategic diversity including level of country development, generalizability of the city context, contexts of large country projects with long project time spans, and/or strategic thematic areas of work (such as post-disaster and climate change); To institutionalise knowledge management in strategic plans; To find consensus on mutual roles that promotes an enhanced collaboration and coordination framework between global, regional and country offices to close the learning loop; To enhance the exchange of cumulative knowledge between the different units and branches through joint projects, joint publications, inhouse agreements, peer reviewing... etc.; To develop exit strategies for various contexts and locations. To integrate the "deeper" and longer projects into the unit's targets and into project plans and resources including the enabling organisational learning processes, normative outputs and respective capacity building activities related to learning. To integrate monitoring and learning more into the unit's targets and into project plans and resources.

7   To establish a) knowledge generation and b) learning as two new supporting activities

Why	What	How
Considering the need to better understand the dynamics of the systems, challenges, risks and limitations in which CPEDU operates, as well as a better understanding of the human aspects of spatial planning and design to attain advancement in the social dimension, as much as in the environmental and economic dimension, of sustainable urbanisation. and successfully contribute to the localisation of the global principles of the NUA and SDGs. There is also the need to close the gap between normative operational activities, and the need to live up to the image of UN-Habitat as a reference and a learning institution.	CPEDU needs, to promote knowledge acquisition and generation aiming at promoting a better understanding of the working context and the focus on people through: expanding the knowledge base of disciplines among CPEDU staff and contributing expert partners, enhancing methodological capacity to better utilise existing knowledge and newly acquired knowledge, as well as activating the knowledge management policy at agency level, that would strengthen normative activities and close the gap between normative and operational activities.	To formally introduce "knowledge and research/learning and innovation" as a new supporting activity; To include this supporting activity in the strategies, work plans and frameworks; To support this activity through "strategic" partnerships (i.e. with universities, research and institutions, innovation labs, and community based organisations); To promote organisational learning and staff development enabling staff to systematically acquire and generate knowledge, to actively reflect on their work, to discern and share lessons, and to benefit from learning; To safeguard space for learning, reflection, cooperation and exchange (approximately 15-25% of resources and capacities –for example, through cross subsidies). To partner and engage in funded research activity specifically relevant to spatial planning and design of city extensions and public space.
8 **To reinforce high quality normative outputs**		
Given the context of decreasing funds for normative work with high level global impact, and since the unit, the LAB and the GPSP, in the last five years, have built up an enormous normative knowledge base that is worth sharing. Owing to the inclination to produce a high number of outputs that are appropriate to different target groups for diverse purposes and diverse contexts, with the intention to share effective learning material, In many instances, significant potential exists to attain a higher quality of normative outputs to achieve highest possible global impact and to sustain the status and image of the unit.	CPEDU needs, o reinforce highest quality normative outputs (and clear consistent messages) to communicate the high amount of existing knowledge better, to consolidate by the end of this strategic plan and finalise the evolution of normative outputs, and to introduce clear categories of normative outputs distinguishing between project oriented purposeful outputs and more global tools and normative knowledge.	To adopt highest standards and build up essential knowledge and skills to generate and sustain high level normative outputs; To mobilise peer review capacities and collaborative input among staff from other units and branches, as well as from academic partners; To consolidate and clarify the distinction between various typologies of normative outputs according to different purpose and target audiences, such as manuals, guidelines, project reports, etc. To have a specific dissemination strategy for each type (for example, circumstantial documents based on need, are not necessarily shared out of context on the public platform); To capitalise on what has been produced, consolidate and package key messages and outputs beyond the projects, reframing the most successful ones in a more global context and for a more global audience. Example: the Public Space Inventory and Assessment Tool (originally generated for the city of Nairobi); Mainstream key messages and knowledge modules and update key outputs such as the Urban Planning for City Leaders and the Global Toolkit on Public Spaces; To diversify funding to fund normative outputs; To accomplish the new proposed publications, as stipulated the 2016-2017 WP, for example on the highly relevant role of Public Spaces as part of National Urban Policies, or EGM-proposed ones such as Public Space Typologies; meanings and uses of public space.

	Why	What	How
9	**To "Package" the UN-Habitat CPEDU's city planning and design approach and enhance its visibility**		
	UN-Habitat's and CPEDU's city planning and design approach has evolved and advanced over the last few years in an incremental manner based on a rich base of projects, activities and highly relevant knowledge modules. In this situation what is missing is a synthesis document and reference manual that would ensure more clarity, consistence, coherence and an enhanced visibility of the unit and its approach. In general, there is also a global expectation on the role, capacities and standing of UN bodies as points of reference on global standards and practices. In this context CPEDU has the potential to fulfil a role as a global leader and normative reference on urban planning and design knowledge, policy and practice; a fact that could increase its funding opportunities.	CPEDU needs to "package" the UN-Habitat CPEDU's city planning and design approach, to augment the visibility of the approach and clarify its benefits to consolidate CPEDU's status as a global point of reference on global principles and practices, including contextually sensitive variety of means to implement the NUA and the SDGs.	To consolidate CPEDU's city planning and design approach with its unique "values" into one consistent, coherent, clear and expandable concept to be promoted, mainstreamed, replicated through internal and external means; To formulate a communication and dissemination strategy that takes into consideration the variety of outputs and activities of CPEDU; To highlight what CPEDU contributes that is unique; such as the emphasis on social inclusiveness, the services to poorly accessible contexts (refugees, post conflict, post disaster...), the convening power, the know how to guide, monitor and report the implementation of the NUA and the SDGs and the learning culture. To boost effectiveness of UN-Habitat's and other electronic distribution channels (UN-Habitat website, Urban Gateway, YouTube) and other virtual training and capacity building modes.
10	**Intensify the promotion of networks of knowledge and practice for implementation**		
	On account of the growing demand of CPEDU's expertise and services and an increased engagement of local partners, Also the expressed need for high value of knowledge dissemination and the promotion of learning and practice among various stakeholders. In response to the demand for regional platforms of knowledge exchange among professionals around public space and integrated city planning and design approach. Based on fruitful experiences of supporting knowledge networks in the past, and considering the experience that networks can also be part of the learning loop, and can also be hubs for consolidating the implementation of the city planning and design approach.	CPEDU needs, to promote networks on knowledge and practice with public space practitioners, urban planning and design professionals, as well as university partners, to support the development of regional platforms for knowledge exchange and collaborative implementation and practice that applies the city planning and design approach promoted by CPEDU to attain sustainable urban development.	To keep promoting and expanding the support to global networks of learning and knowledge exchange around public space and city planning and design, such as Global Network of Public Space practitioners; To develop further the mandate of networks from advocacy and dissemination and use the networks to close the learning loop; To promote communication and exchange, establishing dialogues, mutual learning formats, and collaborative practice, for example through regional and thematic knowledge and practice platforms; To develop a better strategy and implementation plan to activate the proposed Global Network of Urban Planning and Design LABs.

7.2 Secondary recommendations

7.2.1 Recommendations CPEDU

1. To promote the unit's status as a global reference point on spatial planning and design, and for the implementation of the NUA and the SDGs through their city planning and design approach.

2. To stimulate high quality normative outputs and an effective and complete knowledge loop between normative and operational activities.

3. To plan more publications on the connection between comprehensive urban planning and design process, and sustainable urban development and the distinct crosscutting issues adopted by UN-Habitat and global frameworks.

4. To establish and steer research and learning activities and coordinate with the RCDB.

5. To develop a strategy on cooperation with other UN and other development organizations that work on urban planning and design.

6. To advance coordination / cooperation with RMPU.

7. To negotiate for an increased number of core staff.

8. To steer an "inventory"/ lessons learnt on partnership experiences especially on past and ongoing co-operation with the private sector.

9. To enhance intradepartmental knowledge sharing, cooperation and shared staff development.

7.2.2 Recommendations LAB

1. To institutionalise the LAB as a programme within CPEDU including its own targets and indicators in the six-year strategies and biannual working plans.

2. To consolidate and strengthen the LABs approach (making it clear, concise and replicable)

3. To emphasise the aspect of planning with the people and to promote meaningful planned participation, including local experts and diverse partners/ stakeholders from civil society

4. To embrace knowledge and innovation on localisation, context sensitivity and adaptation of global principles.

5. To promote core methodological, research capacity and knowledge on evidence based planning and design

6. To strengthen systematic review of existing plans and designs at local, national and regional levels

7. To include a type of deeper and longer demonstration projects into the portfolio

8. To share complementary capacities and skills through intensified cooperation within the unit, the branch and at agency level

9. To keep promoting the mainstreaming of the city planning and design approach through a global network of LABs with an increasing role of partnerships

10. The evaluation recommends discussing and strategizing on viable future models for the LAB. The application of a scenario methodology exploring the following "tension fields" can serve as a basis.

Box 14. Selected 'Productive tensions' of LAB as a
basis for future models

> Operational – Normative,
>
> Form – Process
>
> Specialised – 'Pluri-disciplinary',
>
> Independent – Internal,
>
> Experimental – Operational (Large scale implementation),
>
> Node – Network

7.2.3   Recommendations GPSP

1. To recognize the GPSP as a programme within CPEDU, including its own targets and indicators in the six-year strategies and biannual working plans.

2. To embrace and promote deeper knowledge on types, systems, and cultures of public space (avoid a reduction of public spaces to green open spaces).

3. To augment the user based urban design competence especially with regard to cognitive and behavioural aspects.

4. To develop cooperative mechanisms to implement the three-pronged approach including equitable distribution of the value captured.

5. To promote more activities at city wide, regional, national levels.

6. To promote innovation on public space management, operation, finance, and monitoring (in close co-operation with local partners at grassroots level).

7. To strengthen efforts towards creating a global network on public space initiatives.

8. To intensify cooperation and share complementary capacities and skills with the LAB and other partners.

9. To expand the core staff of GPSP.

10. To document and share lessons learnt on partnerships and on strategic cooperation with local CBOs and NGOs partners.

7.2.4   Recommendations UN-Habitat

1. To support efforts for a higher share of non earmarked funding, and at the same time mitigate the "externalities" of earmarked funding

2. To promote research, access to core knowledge in the field as well as learning and innovation.

3. To endorse the creation of more core positions focusing on normative work, research, learning and innovation.

4. To promote cooperation through incentives and target "quota" on time and resources spent (80/20 ratio), joint projects, as well as in house cooperation and coordination, especially of parties working on the same topics and in the same region/city (to avoid wasted resources and perplexed beneficiaries).

5. To advance reporting and monitoring systems and administrative and financial procedures to better serve organisational and thematic integration, as well as enhance the visibility of the agency and its coordinating and leading role in urban planning and design and the implementation of the NUA and the SDGs.

6. To promote the RCDB as a "general" service provider on research and capacity building mandating it to higher shares of cooperation and internal capacity development.

7. To engage ROs (and selected COs) in knowledge generation and closing the learning loop, and resource them to serve as platforms for adoption, monitoring, learning and to provide a meaningful follow up of field projects.

8. To restore support programmes for staff and interns to ensure diversity.

ANNEXES

Annex 1: Terms of Reference

Evaluation of UN-Habitat's City Planning and Design Strategy, including the Public Space Programme and Urban Planning and Design Lab, 2012-2016

Terms of Reference

1. Background and context

The United Nations Human Settlements Programme (UN-Habitat) is the lead United Nations agency for cities and human settlements. The agency was established as the United Nations Centre for Human Settlements (UNCHS), through the General Assembly Resolution 32/162 of December 1977, following the first global Conference of United Nations on Human Settlements that was held in Vancouver, Canada, in 1976. By resolution 56/206, the United Nations Generally Assembly elevated the UNCHS to Human Settlements Programme (UN-Habitat).

It is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all and sustainable development. Other mandates are derived from international agreed outcomes and goals, including the main outcome of the second United Nations Conference on the Human Settlements (Habitat II) was held in Istanbul, Turkey, in 1996, the *Istanbul Declaration* and the *Habitat Agenda* ; target on achieving a significant improvements in the lives of the slum dwellers by 2020 related the Millennium development goals; and the target on water and sanitation of the Johannesburg Plan of Implementation which sought to halve by 2015, the proportion of people without sustainable access of safe drinking water and sanitation.

UN-Habitat, being the focal point for all urbanization and human settlement matters within the UN system, has a role in delivering the global sustainable development agenda - *2030 Sustainable Development Agenda*, adopted by Member States in 2015, specifically of goal 11: Make cities and human settlements inclusive, safe, resilient and sustainable.

UN-Habitat's work is delivered through six year Strategic Plans. The previous Medium Term Strategic and Institutional Plan (2008-2013) was delivered with reform processes initiated in 2011 that lead to the adoption of the current *strategic plan 2014-2019*. In the strategic plan, UN-Habitat is delivering its work through seven sub programmes / focus areas that correspond to seven organizational branch entities.

The sub programmes / focus areas are:

1. Urban Legislation, Land and Governance
2. Urban Planning and Design
3. Urban Economy
4. Urban Basic Services
5. Housing and Slum Upgrading
6. Risk Reduction and Rehabilitation
7. Research and Capacity Development

During the period since 2012, the Sustainable Development Goals (SDGs) and the debate on the New Urban Agenda have taken place and a reciprocal influence has resulted within the UN-Habitat set up, given the important positioning of urban planning and design in both documents.

The focus of this evaluation is the city planning and design strategy, including the public space programme and urban planning and design lab implemented under Focus Area 2, expected accomplishment (EA) 2.2, which is to deliver "*improved policies, plans and designs for compact, integrated and connected, socially inclusive cities and neighborhoods adopted by partner cities*" and is measured by one indicator: "*Increased number of partner cities that have adopted and implemented policies, plans or designs for compact, integrated and connected, socially inclusive cities and neighborhoods*".

Since the creation of the City Planning Extension and Design Unit (CPEDU) in 2012, which is in charge of delivering EA 2.2, there has not been a complete evaluation conducted of the work covered by the city planning and design strategy. A recent evaluation was conducted of the SIDA component of its work, however, the expected accomplishment 2.2 has been implemented by several projects, which concurrently are contributing to its work plan and some of those are now ready for evaluation (i.e., Booyoung Project and Public Space project).

Thus, it is now a good time to conduct an evaluation of the overall city planning and design strategy under CPEDU in order to improve in project implementation and in overall coherence of the EA. The evaluation will help to identify gaps and possible solutions for improvement in terms of delivery and achieving results.

Sub-programme 2: Urban Planning and Design

The Urban Planning and Design Branch is charged with the responsibility for sub-programme 2: "Urban Planning and Design". The branch comprises of the Regional and Metropolitan Planning Unit, The City Planning Extension and Design Unit and the Climate Change Planning Unit.

The strategic objective of the sub-programme is to improve policies, plans and designs for more compact, socially inclusive, better integrated and connected cities that foster sustainable urban development and are resilient to climate change.

Its three expected accomplishments are (2.1) improved national urban policies and spatial frameworks for compact, integrated and connected cities adopted by partner metropolitan, regional and national authorities; (2.2) improved policies, plans and designs for compact, integrated and connected cities and neighbourhoods adopted by partner cities; and (2.3) improved policies, plans and strategies that contribute to the mitigation of an adaptation to climate change adopted by partner city, regional and national authorities.

The City Planning Extension and Design Unit (CPEDU) is in charge of delivering EA 2.2 and has seen dedicated efforts already for several years. EA2.3 on Climate Change is mainly implemented through the City and Climate Change Initiative and with Norway funding and was evaluated in 2012 (Evaluation report 2/2012). EA 2.1 is focusing on Policy and Regional/Metropolitan planning and is related to the Regional and Metropolitan Planning Unit of recent creation and whose programme of work was initiated in 2012.

Implementation strategy and management

The City Planning, Extension and Design Unit (CPEDU) provides normative, capacity building, technical and advisory support to partner cities to produce better plans, designs and policies that are compact, connected, integrated, inclusive and resilient to climate change.

The Unit uses an implementation strategy for city planning and public spaces, which was initially developed for a SIDA/Norway funded project "Urban Planning and Design for Sustainable Urban Development". The strategy has been in use since 2012 and to date reflects the overall strategy of the Unit.

All activities of the Unit are developed and implemented with reference to this strategy and comprise five types of activities:

- Communication and advocacy, which include support to the Habitat III process and development / dissemination of communication materials on policy and principles;

- Tools and technical materials development, to consolidate knowledge and provide practical guidance;

- Training targeting decision makers and other stakeholders on sustainable planning principles and practice;
- Advisory services, which include Planning Services, contributing directly to steer planning processes and planning content towards higher quality plans; and

- Pilot projects.

The Unit develops and disseminates principles and tools, applies them on the ground and develops capacity for partners to adopt better approaches to planning and design. In some cases, direct implementation of plans (i.e., public space improvements) is also undertaken as a way to illustrate the importance of public space and tools for its improvement and kick start local processes of systemic change.

The Unit has structured its work in a Public Space Programme, an Urban Planning and Design Lab, and a core coordinating office responding to the mandate and demand from external partners and to organize the work, with different focal persons and reflecting budgeting arrangements, and supported by several projects and a variety of donors and clients.

This set up is meant to provide timely and efficient services. In particular, it allows the Unit to respond to specific requests and to deal with city specific projects, while at the same time maintaining normative development work and extracting tools and methodologies from activities implemented on the ground, stakeholders' experience and research.

The *urban planning and design lab* and *public space programme* offer services that include city specific planning tools, principles, standards and methods; training and capacity development events based on training tools, advisory and technical support to produce city wide strategy, plans and neighborhood designs (i.e., planning charrette with stakeholders, plan review support); facilitation of participatory planning process; feedback on planning contents; design and implementation of pilot projects on public spaces and city wide public space strategy. The services and supports provided by CPEDU eventually contribute to improve planning process and contents of the plan and also strengthen planning capacities on the ground to implement the plan for sustainable urban development.

The LAB functions as a Service Centre, and provides planning services to UN-Habitat country projects in all of UN-Habitat's regions. Its partnership approach is differentiated to accommodate the area of work, with a focus on cities and their associations and existing Planning Departments or Labs, professionals and internal partners.

CPEDU relies on expertise from various resources, including international hubs, networks, and thematic expert groups, as well as internal and external resources. Several donors have contributed to activities implemented within the overall strategy of the Unit.

Mandate of the evaluation

This evaluation is undertaken at the request of UN-Habitat Management. The focus on Urban Planning within UN-Habitat was institutionalized in UN-Habitat in 2012, prior to the development of the strategic plan 2014-19 and results framework, with the creation of the Urban Planning and Design Branch with the City Planning, Extension and Design Unit (CPEDU). With the approval of the strategic plan 2014-2019, the Unit's work was linked directly in expected accomplishment 2.2 of sub programme 2.

The Unit has implemented planned activities for the biennium 2012-2013 under the Medium Term Strategic and Institutional Plan (MTSIP), and under the strategic plan for the biennium 2014-2015 and now is now in the second biennium (2016-2017) of the strategic plan. This evaluation is considered an *interim evaluation* of the city planning and design strategy and delivery towards the relevant expected accomplishment of the strategic plan.

The recent adoption of the SDGs and the adoption of the New Urban Agenda at the United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in October 2016 also represent important drivers for a review of the strategy and business model currently used by CPEDU.

The evaluation will take in to account the 2016 UN-Habitat evaluation of the Cooperation Agreement between UN-Habitat and Sida, 2012-2015, which assessed two of the largest projects in the sub programme portfolio; namely Urban Planning and Design for Sustainable Urban Development (J089) and SUD-Net [network and public space projects (J090).

The forward looking elements of the evaluation will play an instrumental role in shaping the focus for UN-Habitat in planning, organizing/institutionalizing and implementing future urban planning activities.

2. Purpose of the evaluation

UN-Habitat is undertaking this evaluation of the *city planning and design strategy including the public space programme and urban planning and design lab* to assess to what extent the overall support and services provided since 2012 by the City Planning, Extension and Design Unit are relevant, efficient and effective, and sustainable, and overall all effects/changes projects implemented.

It will inform improvements to delivery in terms of organizational and substantive aspects both at unit and Organization levels and may also provide inputs for the expected revision of the strategic plan.

The evaluation is as part of UN-Habitat's efforts to perform systematic and timely evaluations and ensure that UN-Habitat evaluations provide full representation of its mandate and activities, including sub-programmes, and work at Headquarters, regional and country levels.

The evaluation is included in the revision of the 2016 *UN-Habitat Evaluation Plan*. The evaluation report will be made accessible to the wider public on the dedicated section of the UN-Habitat website[1]. The sharing of findings from this evaluation will inform UN-Habitat and other relevant key stakeholders, including partners and donor agencies, on what was achieved and learned.

3. Objectives of the evaluation

The overall objective of this evaluation of the city planning and design strategy is to provide UN-Habitat, its partners and donors a forward looking assessment of the normative work in urban planning and public spaces, operational capacity of the CPEDU, experience, achievements, opportunities and challenges.

What will be learned from the evaluation of city planning and design strategy is to assess its impact and results, delivery and implementation mechanisms, theory of change, and sustainability/business model for public space programme and the planning lab, and determine its contribution to improving compact, connected, integrated, inclusive and climate change resilient plans, design and policies in member states. It is also expected that

1   reference: unhabitat.org/urban-knowledge/evaluation

the evaluation will provide a set of recommendations to ensure all the key issues for collaboration are well incorporated in the existing service delivery process and also will identify synergies and gaps in the existing operational structure.

The specific objectives of the evaluation are to:

a.   Assess the relevance of city planning and design strategy in supporting city planning, extension and design within the New Urban Agenda, the three-pronged approach of UN-Habitat, and Sustainable Development Goals;

b.   Assess progress made through delivery of the city planning and design strategy towards the achievement of results (outcome and outputs level) of sub-programme 2, expected accomplishment 2.2;

c.   Assess the efficiency and effectiveness of the city planning and design strategy in achieving expected results. This will entail analysis of implementation strategy, mechanisms of service delivery, delivery of actual outcomes against expected outcomes, in terms of delivery of outputs and activities, achievement of outcomes and long-term effects;

d.   Assess the extent to which implementation strategy and partnership approaches (specifically sustainability strategy for the urban planning lab and public space programme) are working well and which do not work, and are enabling at the UN-Habitat sub-programme level to define the results to be achieved, to effectively deliver projects and to report/monitor on the performance and delivery;

e.   Assess the extent to which the city planning and design strategy has addressed incorporated crosscutting issues of gender, climate change, youth, human rights in the design, planning and implementation, reporting and monitoring of work;

f.   Identify lessons and provide actionable recommendations related to the city planning and design strategy and the urban planning lab and public space programme in support of relevant SDGs and the New Urban Agenda.

4.   Evaluation scope and focus

The evaluation is expected to assess achievement, challenges and opportunities from the planning to the implementation of the city planning and design strategy through an *interim programme evaluation*.

The focus is on the city planning and design strategy and related urban planning lab and public space programme under the purview of the CPEDU and assessing both completed and ongoing activities implemented since the creation of the Unit in 2012 up to 2016.

The evaluation will be a systematic review of the city planning and design strategy as delivered by CPEDU under MTSIP (2008-2013) and SP (2014-2019), sub programme 2, EA 2.2 and how it is moving towards SDGs and New Urban Agenda implementation. It will identify lessons and recommendations for improvements in relation to the achievement of targeted results and the changes required for the strategy to respond to relevant NUA and SDG11 targets.

5.   Relevant evaluation questions based on evaluation criteria

The evaluation will use evaluation questions related to the criteria of relevance, efficiency, effectiveness, impact outlook and sustainability in its assessment and rating the performance of the city planning and design strategy. In addition to these evaluation criteria, *partnerships* will also be assessed and rated. The assessment will be based on the questions below on the overall strategy and address additional questions in the context of the urban planning Lab and Public Space Programme, capacity development work.

Relevance

- What is the relevance and value added of the work delivered through the city planning and design strategy to achieving sustainable urbanization?

- To what extent are intended outputs and outcomes consistent with global, regional and national policies and priorities, and the needs of target beneficiaries?

- To what extent are the objective and implementation strategy consistent with UN-Habitat's overall strategies, regional strategies, including other UN-Habitat entities?

- To what extent is the implementation strategy anticipating/accommodating towards SDGs, the New Urban Agenda and the three-pronged approach?

Effectiveness

- To what extent has the city planning and design strategy achieved its intended results (outputs and outcomes) or how likely they are to be achieved in line with the Theory of Change (i.e., causal pathways) of sub programme 2? In this context cost effectiveness assesses whether or not the costs can be justified by the outcomes.

- To what extent has the identification, design and implementation process, including outreach, of projects and activities involved local and national stakeholders as appropriate?

- What types of products and services are provided through the city planning and design strategy to beneficiaries? What kind of positive changes to beneficiaries have resulted from products and services delivered?

- To what extent has the city planning and design strategy proven to be successful in terms of ownership in relation to the global, regional and national (and local) context and the needs of beneficiaries? To what extent and in what ways has ownership, or lack of it, impacted on the effectiveness of work and projects implemented?

- To what extent has the city planning and design strategy addressed crosscutting issues of youth, gender equality, climate change/ environmental capacity development and human rights in work implemented?

Efficiency

- To what extent do CPEDU and partners have the capacity to design and implement the projects and activities? What has been the most efficient approach?

- To what extent are the institutional arrangements of CPEDU adequate for supporting the city planning and design strategy projects and activities at country, regional and Headquarters levels? What type of (administrative, financial and managerial) obstacles does CPEDU face and to what extent does this affect planning and delivery?

Impact Outlook

- To what extent has expected results to the targeted population, beneficiaries, partners, clients, participants, whether individuals, communities, institutions, etc. been attained (or is expected to attain) through the implementation of the city planning and design strategy?

Sustainability

- To what extent are beneficiaries engaged and building capacity in the design, implementation of planning, monitoring and reporting activities of the city planning and design strategy?

- To what extent are the city planning and design strategy including the Urban Planning Lab, capacity and knowledge management, awareness and policy development, and public space programme aligned with global, regional and national development priorities and have contributed to increased investments to accelerate the achievement of priorities at national, provincial and city/local levels?

- To what extent are projects and activities replicable or scaled up at national or local levels or encourage collaboration between countries, or city or urban settlements at local level?

- To what extent is work implemented through the city planning and design strategy aligned with National Development Strategies and local development strategies and contributes to increased national investments to accelerate the achievement of priorities at national, provincial and city/ local levels?

- To what extent can the present delivery modality ensure availability of the CPDU Services (Lab) and expansion of services, efficiency and responsiveness to client demands and need? Is the business model adopted by the Lab in particular viable and sustainable in the present resource and regulations landscape?

Partnerships

- To what extent are UN-Habitat global programmes, regional offices and country offices involved in the planning, design and implementation of the city planning and design strategy? Which best practices have emerged for effective and timely collaboration with other UN-Habitat entities and sub-programmes?

- To what extent does the city planning and design strategy foster innovative partnerships with national institutions, NGOs, vulnerable groups and other development partners?

- To what extent are partnerships adequate to achieve impact, sustainability, and scale?

The evaluation team may expound on each of the areas of CPEDU's work in order to carry out the objectives of the evaluation.

6.   Stakeholder involvement

A key determinant of evaluation utilization is the extent to which clients and stakeholders are meaningfully involved in the evaluation process. It is expected that that this evaluation will be participatory, involving key stakeholders: beneficiaries, partners, UN-Habitat management and project developing and implementing entities at UN-Habitat Headquarters, regional offices, country offices, Committee of Permanent Representatives (CPR), donors and other interested parties.

Stakeholders will be kept informed of the evaluation processes including design, information collection, and evaluation reporting and results dissemination to create a positive attitude for the evaluation and enhance its utilization. Relevant UN-Habitat entities, United Nations agencies, partners, beneficiaries of the projects, donors, and other civil society organizations may participate through a questionnaire, interviews or focus group discussions. Some key stakeholders, including those

stakeholders involved in the implementation and users/recipients/beneficiaries will participate through interviews, questionnaires or group discussions.

7. Evaluation approach and methods

The evaluation shall be independent and be carried out by UN-Habitat following the evaluation norms and standards of the United Nations System. The evaluation analysis will be based on evaluation criteria, evaluation questions, and the Theory of Change applied to the work implemented through the city planning and design strategy i.e., outlining the results chain and contribution towards EA 2.2.

The evaluation will explore a mixed methods approach, combining desk reviews, meta evaluation and data collection, including interviews, meetings, focus groups and field trips, as well as data analysis.

These methodologies include the following elements:

- **Review of documents relevant to the sub programme portfolio**. Documents to be provided by CPEDU staff, and documentation available with partner entities and organizations (such documentation shall be identified and obtained by the evaluation team). Documentation to be reviewed will include: SDGs, NUA draft, Public Space GC resolution and other relevant resolutions, Project Documents – SIDA and Norway and SUD-Net (already evaluated early 2016 in the Sida-UN-Habitat CPA evaluation), Booyoung project document and report, smaller agreements (Johannesburg, Creative Industries, IHAs), Public Space annual reports, Unit annual report for 2015, as well as workplan(s), monitoring reports, reviews and donor reports.

- **Key informant interviews and consultations, including focus group discussions** will be conducted with key stakeholders, including each of the implementing partners. The principles for selection of stakeholders to be interviewed as well as evaluation of their performance shall be clarified in advance, at the beginning of the evaluation. The informant interviews will be conducted to obtain qualitative information on the evaluation issues. Interviewees may include UN-Habitat at Headquarters, regional

and country offices, other involved UN agencies, Government officials, partners, beneficiaries, donors, and other stakeholders. Where logistical issues may prevent from interviewing individuals in person, exchanges may be carried out by electronic mail, Internet communication, Skype and phone.

- **Surveys.** In order to obtain quantitative information on stakeholders' views and perceptions, questionnaires to different target audiences (beneficiaries, staff and partners, etc.) will be deployed to give views on various evaluation issues.

- **Field visits** to assess selected activities of CPEDU.

The Evaluation Team will conduct missions to field projects as deemed necessary. In preparation of these missions, a teleconference will be held with the Evaluation Reference Group.

The Evaluation Team will describe expected data analysis and instruments to be used in the inception report. Presentation of the evaluation findings should follow the standard format of UN-Habitat Evaluation Reports (checklist to be provided to the evaluation team).

8. Accountability and responsibilities

The Evaluation is commissioned by the CPEDU and managed by the UN-Habitat Evaluation Unit. The Unit will provide substantive support to the evaluation.

An **Evaluation Reference Group** with members from the Evaluation Unit, Urban Planning and Design Branch (UPDB), CPEDU, and the Programme Division will be responsible for comments on the inception report and drafts of the evaluation report.

The **Evaluation Team** is to comprise of two international consultants: A **Team Leader** (International Consultant) and a **Senior Evaluator** (International Consultant). The two international consultants are jointly responsible for meeting professional and ethical standards in planning and conducting the evaluation, and producing the expected deliverables. National consultants may be included in the evaluation team if it is deemed necessary to support data collection and analysis.

- The International Consultants will review the assignment outlined in the terms of reference (TOR) and undertake an initial desk review, identify information gaps, redefine the methodology to be used in the evaluation and develop an evaluation work plan (inception report) that will guide the evaluation process. The inception report will identify what is expected to be accomplished, what process and approach to be followed, who is to do what tasks, and which key deliverables are to be completed.

- The **inception report** will address the evaluation questions of this TOR, including limitations to addressing and answering the questions. It should also identify criteria and provide reasons for selection of projects and thematic areas for indepth review and field visits. Once the inception report is approved by the Evaluation Reference Group, it will become the management document for guiding delivery of the evaluation in accordance with UN-Habitat expectations.

- The **implementation phase** of the evaluation will involve the overall data collection and analysis of the evaluation. Supported by the CPEDU, the consultants will conduct field visits, which will include consultations with beneficiaries of projects as well as visits to project sites.

- The **draft evaluation report,** prepared by the international consultants, will be shared first with the Evaluation Reference Group. The draft report must meet minimum requirements for draft reports (as assessed by the Evaluation Unit) before the draft is shared more widely with relevant stakeholders for comments. Comments from key stakeholders will be consolidated by the Evaluation Unit and forwarded to the consultants for incorporation. The consultants will submit the final draft report to the Head of CPEDU and the Evaluation Unit. The evaluation report should follow the standard format of UN-Habitat Evaluation reports, putting forward the purpose, focus, scope, evaluation methodology, evaluation findings (with assessment of achievements and rating of performance according to evaluation criteria), lessons learned and recommendations.

The UN-Habitat Evaluation Unit in close consultation with CPEDU will lead the evaluation by guiding and ensuring the evaluation is contracted to suitable candidates. The Evaluation Unit will provide advice on the code of conduct of evaluation; providing technical support as required. This collaboration will ensure that contractual requirements are met and approve all deliverables (Inception Report/ Work plan, Draft and Final Evaluation Reports).

In preparation of the assignment, a teleconference will be held between the Evaluation Reference Group and the Evaluation Team in order to discuss and agree on the work plan and methodology. A second teleconference will be held at conclusion of the evaluation in order to review findings, if possible also with key partners.

9.   Qualifications and experience of the evaluation team

The evaluation shall be carried out by two international consultants.

The **International Consultants** are expected to have:

- Over 15 years of programme management, monitoring and evaluation experience building on the results-based management approach.

- Extensive, proven, evaluation experience. The consultant should have ability to present credible findings derived from evidence and putting conclusions and recommendations supported by the findings. **Examples of evaluation reports should be submitted with the letter of interest from candidates.**

- Specific knowledge and understanding of UN-Habitat and the organizational context of city planning extension and design.

- Advanced academic degree in urban planning, housing and infrastructure, urban development and local governance or similar relevant fields.

- Specialized knowledge of projects or programmes in the field of urban planning, public space, housing, urban development, and local governance. Relevant experience of other major humanitarian and development agencies or programmes, in particular in relation to similar programmes is an asset.

In case national consultants will be used, the National Consultants should have good local working knowledge, be proficient in English and other languages (depending on field visits), and have experience in implementation, management and monitoring of donor funded development projects.

The profile of the consultants should complement the following attributes and expertise in: capacity building and strengthening institutions; policy framework strengthening/mainstreaming; service delivery business models; good knowledge of the UN-Habitat Evaluation Policy and experience applying results based evaluation policies and procedures; knowledge of participatory monitoring approaches; experience applying SMART indicators and reconstructing or validating baseline scenarios.

Competency in the following is required: excellent English writing and communication skills; demonstrated ability to assess complex situations in order to succinctly and clearly distil critical issues and draw forward looking conclusions; excellent facilitation skills; and integrity, sound judgement, analytical skills, networking and interpersonal skills, and proven report writing skills.

10.   Work schedule

The evaluation will be conducted over the period of eight weeks over four months, including the desk review, from January 2016 to April 2016. The planning of the evaluation will take place from November to December 2016. The Evaluation Team is expected to prepare an inception work with a work plan that will operationalize

the evaluation. In the inception report understanding of the evaluation questions, methods to be used, limitations or constraints to the evaluation as well as schedules and delivery dates to guide the execution of the evaluation should be detailed. A provisional timetable is as follows in Section 13.

11.   Deliverables

The three **primary deliverables** for this evaluation are:

- **Inception Report** with evaluation work plan. Once approved, it will become the key management document for the evaluation, guiding evaluation delivery in accordance with UN-Habitat's expectations throughout the performance of contract.

- **Draft Evaluation Report**. The Evaluation Team will prepare an evaluation report draft to be reviewed by UN-Habitat and CPEDU. The draft should follow UN-Habitat's standard format for evaluation reports.

- **Final Evaluation Report** (including Executive Summary and Appendices) will be prepared in English language and follow the UN-Habitat's standard format for an evaluation report. The report should not exceed 40 pages (excluding Executive Summary and Appendices). In general, the report should be technically easy to comprehend for non specialists, contain detailed lessons learned, actionable recommendations, and list of all people interviewed and survey templates in Annexes.

12. Resources

The funds for the evaluation of city planning and design strategy including the Public Space Programme and Urban Planning Lab are available from sub programme 2. Daily subsistence allowance will be paid only when working outside the official duty stations of consultants.

13. Provisional time frame

#	Task Description	November 2016				December 2016				January 2017				February 2017				March 2017				April 2017			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
1	Development of ToR	X	X	X	X	X	X	X	X																
2	Call for consultancy proposals and recruitment of consultants							X	X	X															
3	Review of background documents										X	X													
4	Inception - preparation and approval of inception report with work plan and methodology of work											X	X	X											
5	Data collection including document reviews, interviews, consultations and group meetings												X	X	X	X									
6	Mission – analysis of evaluation findings, commence draft report writing and briefings to UN-Habitat														X	X	X	X							
7	Draft Evaluation Report																	X	X	X					
8	Review of Evaluation Report																		X	X	X	X			
9	Production delivery of Final Evaluation Report (including editing, translation into layout, printing, publishing)																						X	X	X

List of projects implemented by CPEDU, 2012-2016

No	Project no.	Project Title	Donor	Duration	Budget
1	J089	Urban planning and design for sustainable urban	SIDA	2012-present	
2	J087	Urban planning and design for sustainable urban	Norway	2012-present	
3	A118	Achieving sustainable urban development (ASUD)	Spain	2011-2015	8,972,600 USD (for all focus areas)
4	J096	A partnership for urban planning in Africa	Booyoung Korea	2013-2021	2,600,000 USD
5	FSE-J090	Promoting integrated and sustainable urban development through networks	Sud-Net/SIDA	2012-2015	626,833 USD (2012-2013)
6	C339-C	Support to the sustainable urban sector in Kenya	Sweden Government	2012-2013?	2,009,600 USD
7	T051	Quick guide for policy makers and practitioners on urban planning for sustainability	Siemens	2010-2013?	352,000 USD
8	P-16-06-28-92	Strengthening planning for resettlement and integration of refugee communities at Kalobeyei new site, Turkana County	Japan Government	2015-2016	1 million USD
9	P-16-01-20-58	Designing a better urban future	Creative Industries Fund NL	2015-2016	100,000 Euro
10	FOD-J090	Global programme on public spaces	Mojang	9/2012 to 6/2017	4 million USD
11	Not in PAAS yet	Global programme on public spaces	Block by Block Foundation	6/2016 – 12/2019	Approx. 12 million USD (depending on sales)
12	In house agreement	Urban Planning in Somalia (Plans for Gabiley, Bosasso and Mogadishu)	Joint Programme on Local Government	5/2016-12/2016	147,084 USD
13	In house agreement	Strategic plan, urban structure plan and neighborhood plan for Canaan Area, Haiti	ROLAC	2016	94,000 USD

Additional questions

Areas of focus	Relevance	Partnerships	Sustainability/ business model
Urban Planning Lab	• For beneficiaries and for NUA/SDG • Content • Method (process, etc.) • Outputs • Gaps	• To what extent is the lab collaborating with external and internal partners? • How are the partnerships working? • What are gaps and areas of improvement?	• To what extent the lab has developed business model for long term sustainability? • To what extent is the business model relevant for sustainability and realistic (Staffing, costing, products, management, and financial management)? • What are the gaps in the model and what could be possible solutions?
Capacity and Knowledge Development	• What is being done in terms of training and capacity development (content, method and outputs) • To what extent are the issues of sustainable urbanization (compact, integrated, connected, inclusive urban development) (SDG/NUA) effectively promoted? • To what extent are the capacity, knowledge and skills of member cities strengthened? • To what extent do capacity and knowledge management efforts support the achievement of overall goals of the unit? • What are the key gaps and areas for improvement in terms of contents and delivery and capacity development and knowledge development services?	• To what extent local, regional and international partners were involved in capacity and knowledge development efforts? • What are some key components of the relevant partnerships that can be further improved to strengthen existing capacity building support to member cities?	• What is demand and market? • What is the business model for providing capacity and knowledge management support to member cities? • What are the gaps and possible solutions to strengthen planning capacities, skills and knowledge of the partner cities?
Awareness and Policy Development	• What has been done (content, methods, products)? • Are these activities relevant and effective (to achieve results)? • Identify key positive results and outputs • What are the major gaps and areas for improvements?	• To what extent do the efforts on capacity and knowledge development involve local, regional and international partners and how do they help to achieve results? • What are the key gaps and major areas for improvement to deliver desired outcomes?	• To what extent has the unit mobilized resources for awareness building and policy support? • What is the long term sustainability plan for continuing policy support and awareness building activities? • What could be the long term strategy to continue policy support and awareness building services to member cities?
Public Space	• To what extent are portfolio outputs/contents (tools, capacity, pilot, policy) relevant to promote the concept of public space for sustainable urban development? • What are the key results achieved through this portfolio? • What are some key gaps and areas for improvements? What could be added more to achieve SDG targets and to promote NUA? • To what extent does Minecraft ensure community participation in public space management?	• To what extent does portfolio manage to collaborate with local, regional and global partners? • What are the key achievements made through partnership and networking activities? • What could be improved further to strengthen future collaboration/ improvement of partnership strategy to achieve planned targets/ results?	• What are the current strategy for resource mobilization and sustainability? • To what extent do the portfolio leverage resources from other sources and what are the key strategies for long term sustainability? • What could be some potential options for long term sustainability in local, national and global levels? • Are sufficient financial and human resources mobilized to achieve targeted results?
All	Local government, national government and related balance of relevance/ targeting **Policy Impact:** Satisfaction of beneficiaries	Building partnerships (internally and externally) Participation: to what extent are citizens/stakeholders engaged in portfolio management cycle and what contribution do they make to achieve targeted results?	Resource mobilization

Annex 2: List of Key Informants Interviewees and Focus Group Discussions

	Name	Organization	Position	Category
1	Acioly, Claudio; Ndegwa, Robert; Moreno, Eduardo; Orvanos, Regina	UN-Habitat, RCDB	Team of the RCBB	UN-Habitat
2	Adjahossou, Anicet	UNHCR	Officer	NGO
3	Alashhab, Wael	UN-Habitat, Sudan	Head of Country Programme at Khartoum, Sudan	UN-Habitat
4	Ali, Erfan	UN-Habitat, Iraq	Head of Iraq Programme	UN-Habitat
5	Ambwere, Solomon	Dept. of Urban Planning, Kenya Municipal Programme, Ministry of Land, Housing and Urban Development	Project Manager and Director	Government
6	Andersson, Cecilia	UN-Habitat, GPSP	Coordinator GPSP	UN-Habitat
7	Andersson, Cecilia; Groh, Klas; Petrella, Laura; Rana, Sohel; Tereda, Yuka; van den Berg, Rogier	UN-Habitat, CPEDU	CPEDU Team	UN-Habitat
8	Andersson, Cecilia; Rana, Sohel; Westerberg, Pontus; Woldesenbet, Mitiku	UN-Habitat, GPSP	Team GPSP	UN-Habitat
9	Anna Konotchick	American Red Cross	Canaan Programme Manager	Private Sector
10	Asad, Mohammed; Namdar, Angelika; Kirk, Ancil; Trench-Sandiford Caroline; Alleyne Yolanda	Caribbean Planners Association	Director, Spatial Planners Association Suriname - LBO Trinidad & Tobago Society of Planners President and Executive Director - Belize Association of Planners Managing Director - Ecoisle CONSULTING	NGO
11	Ashoub, Safa	UN-Habitat, ROAS	Human Settlements Officer, Public Space, ROAS	UN-Habitat
12	Assiago, Juma	UN-Habitat, Safer Cities	Coordinator	UN-Habitat
13	Aubrey, Dyfed	UN-Habitat, ROAS	Director, ROAS	UN-Habitat
14	Auclair, Chiristine	UN-Habitat WUC	Project Leader WUC	UN-Habitat
15	Aung, U Toe	Yangon City Development Committee	Deputy head of the YCDC's urban planning and land management department	Government
16	Baraka, Charles; Batoi, Oana; Terada, Yuka	UN-Habitat, KMP	Staff, CB: Urban Planning Consultant (CPEDU), Staff	UN-Habitat
17	Barker, Andrew	Consultant	Self Employed	Private Sector
18	Bhattacharjee, Debashish	UN-Habitat, BUSB	Human Settlements Officer, Basic Urban Services Branch	UN-Habitat
19	Bien-Aime, Jacque	UCLBP, Haiti	Directeur Division Relogement & Rehabilitation de Quartiers	Government
20	Blanco, Sergio	UN-Habitat, ROLAC	Advisor, ROLAC	UN-Habitat
21	Capizzi, Pasqualle	UN-Habitat, Myanmar	Chief Technical Advisor, Environmental Conservation Department	UN-Habitat
22	Chiramba, Thomas; Ougo, Jeremiah	UN-Habitat, ROAF	Officers, SHSO, ROAF, HPM, Kenya Office	UN-Habitat
23	Crispi, Gianluca	UN-Habitat, ULB	Programme Officer, Urban Legislation Branch	UN-Habitat
24	Das, P.K.	PK Das & Associates	Freelance Architect, Activist	Private Sector

	Name	Organization	Position	Category
25	Daw Aye Aye Myint, Daw Sabe Phyu & Team	Department of Urban and Housing Development. Ministry of Construction	Deputy Director of Urban and Regional Development Division	Government
26	Debashish Bhattacharjee, Stefanie Holwartz	UN-Habitat, Urban Mobility Branch	Staff	UN-Habitat
27	Dercon, Bruno	UN-Habitat, ROAS	Senior Human Settlements Officer, ROAP	UN-Habitat
28	El Shakra, Zeyad	UN-Habitat, Palestine	Head of office, CO, Palestine	UN-Habitat
29	El Sheikh, Tarek	UN-Habitat, Kuwait	Director of UN-Habitat Office at Kuwait	UN-Habitat
30	ElHefnawi, Ayman	UN-Habitat, KSA	Project Director, Saudi Project	UN-Habitat
31	Evans, David	UN-Habitat, RRRB	Director	UN-Habitat
32	Fahmy, Bassem	UN-Habitat, Egypt	Human Settlements Officer, Strategic Planning and Design, CO	UN-Habitat
33	Fikresilassie, Akilu	UN-Habitat, Ethiopia	Programme Manager, Adis Ababa	UN-Habitat
34	Finegan, Jack	UN-Habitat, Myanmar (Ex. Staff)	Human Settlements Officer	UN-Habitat
35	Frazer, Ralston	Belmopan City Council	Deputy Mayor	Government
36	Fundaro, Salvatore	UN-Habitat, CPEDU	Consultant	UN-Habitat
37	Gachanga, Charles	Dandora Transformation League	Committee Chair	NGO
38	Guignard, Rose-May	Comité Interministériel d'Aménagement du Territoire, CIAT, Haiti	Director	Government
39	Hassanein, Seifallah	USAID	Senior Infrastructure & Shelter	Private Sector
40	Hoogersvorst, Naomi	Placemakers, Nairobi	CEO	NGO
41	Jadotte, Louis	UN-Habitat, Haiti	Canaan Project Manager	UN-Habitat
42	(Project team: Jeffrey, Philip, Harouna, Ibrahim, Jah)	Peace Winds Japan	Staff	NGO
43	Joshi, Padma S	UN-Habitat, Nepal	Director	UN-Habitat
44	Joshi, Padma S; Shrestha, Bijaya K	UN-Habitat, Nepal	Director, Consultant	UN-Habitat
45	Justin, Denis	UN-Habitat, Office of Management (OoM)	Senior officer	UN-Habitat
46	Kamiya, Marco	UN-Habitat, UEFB	Coordinator, Economy and Finance Branch	UN-Habitat
47	Kanyaura, Kithinji	Kenya Railways	Manager	Private Sector
48	Karanja, Dennis; Mugwima, Bernard; Nyaigoti, Wycliff	CUST- Jomo Kenyatta University of Agriculture and Technology	Director, Centre for Urban Studies Professors	Academia
49	Karmacharya, Bijay; Abel, U Denzil	UN-Habitat, Myanmar	Country Programme Manager	UN-Habitat
50	Karssenberg, Hans	STIPO	CEO	NGO
51	Kehew, Robert	UN-Habitat, CCPU	Coordinator	UN-Habitat
52	Kent,Ethan	PPS	CEO	NGO
53	Khatry, Shova	UN-Habitat, PMO-UPDB	Staff	UN-Habitat
54	King, Clifford	Ministry of Local Governance	Officer	Government

	Name	Organization	Position	Category
55	Kirabo Kacyira, Aisa	UN-Habitat, Management	Deputy Executive Director & Assistant Secretary General	UN-Habitat
56	Lacurcia, Goncalo; Lahoud, Christelle; Torner, Javier; Rinne, Ninna; and others	UN-Habitat, LAB	Staff, GL: Urban Planner (LAB), Staff	UN-Habitat
57	Lalande, Christophe; Lenardoni Fernanda; Permezel, Melissa	UN-Habitat, Housing and Slum-upgrading Branch	Staff	UN-Habitat
58	Loose, Stephanie; Reid, Jane	UN-Habitat, RMPU	Staff	UN-Habitat
59	Maharjan, Ramesh; and Staff	Kirtipur Municipality	Mayor and Sectorial Staff	Government
60	Maujih, Silas Owiti	UN-Habitat, CPEDU	Consultant, CPEDU - Kisumu Project	UN-Habitat
61	Mboya, Joy; Ogana, Judy	GoDown Arts Centre	Executive Director/General Manager	NGO
62	Moe Moe, Daw; Myint, Hlaing; Sabe Phyu, Daw; Sandar Oo, Daw Saw	Department of Urban and Housing Development (DUHD)	Vice-president an team	Government
63	Mohammed, Asad	Caribbean Planners Association	Director	NGO
64	Muema, Rose	City Planning Department, Nairobi City Council	Director	Government
65	Mutizwa-Mangiza, Naison	UN-Habitat, ROAF	Director	UN-Habitat
66	Mwai, Angela; Lalande, Christophe; Podmolikov, Dana; Ragan, Doug; Thomas, David	UN-Habitat, Cross Cutting Issues	Staff, CL: Leader, Housing Unit, Staff	UN-Habitat
67	Myint, Daw Aye Aye	Department of Urban and Housing Development. Ministry of Construction	Deputy Director of Urban and Regional Development Division	Government
68	Nayak, Rita	MESN	Staff, Urban Planning and Community Facilitation Expert	NGO
69	Nyberg, Marcus	Ericsson Research (User Experience Lab)	Senior Researcher, Strategic Design	Private Sector
70	Obery, Ingrid	Freelance	Independent consultant	Private Sector
71	Obura, Derek	Dept. of Land, housing, Physical planning and Urban Development, County Gov. Kisumu.	Chief Officer	Government
72	Omwega, Asenath	UN-Habitat, Quality Assurance Unit (QAU)	Human Settlements Officer	UN-Habitat
73	Osseiran, Tarek	UN-Habitat, Beirut	Country Programme Manager, Beirut, Lebanon	UN-Habitat
74	Petrella, Laura	UN-Habitat, CPEDU	Acting Director	UN-Habitat
75	Piard, Alfred	MTPTC, Direction des Travaux Publics, Haiti	Directeur des Travaux Publics	Government
76	Pienaar, Herman	City of Johannesburg	Director, City Transformation and Spatial Planning	Government
77	Pingo, Nicolette	Johannesburg Development Agency, City of Johannesburg	Development Facilitation Manager	Government
78	Pourghazian, Nasrin	Kenya Development Cooperation Section	Programme Manager/First Secretary	Government
79	Rajbhandari, Sudarshan; and others	UN-Habitat, CIUD	Staff CIUD and staff consultant UN-Habitat	NGO

	Name	Organization	Position	Category
80	Rajbhandari; Sudarshan	Center for Integrated Urban Development (CIUD)	Programme Director	NGO
81	Rana, Sohei; Terada, Yuka	UN-Habitat-CPEDU	Staff	UN-Habitat
82	Roji, Ayanda	JCPZ	General Manager: Corporate Research and Knowledge Management	Government
83	Sagita, David A.	UCLG-Indonesia	Project Architect	NGO
84	Saint Aubierge; Scutt, Cyr	Les Calles City Council, Haiti	Implementation Officer	Government
85	Salat, Serge	Urban Morphology Institute	President	Private Sector
86	Schaefer, Katja	UN-Habitat, ROAS	Senior Human Settlements Officer, SHSO, ROAS	UN-Habitat
87	Shaheen, Lubna	UN-Habitat, Palestine	Project Manager/Senior Urban Planner at Country office of Jerusalem, Palestine	UN-Habitat
88	"Simon, Mr"	Turkana County	Land specialist	Government
89	Smolders, Bert	Arcadis	Shelter Program Manager	Private Sector
90	Spaliviero, Mathias	UN-Habitat, ROAF	Senior Human Settlements Officer, HSO, ROAF	UN-Habitat
91	Suri, Shipra Narang	General Assembly of Partners towards Habitat III, International Society of City and Regional Planners (ISOCARP)	Vice-President	NGO
92	Trench-Sandiford, Carolyn	Belize Association of Planners	President and Executive Director	NGO
93	Tuts, Rafael	UN-Habitat, Programme Division	Director	UN-Habitat
94	Vaitla, Trupti Amritwar	MESN, Mumbai	CEO	NGO
95	Van den Bussche, Jennifer	Sticky Situations	Director	Private Sector
96	Vancutsem, Didier	ISOCARP	Secretary General	NGO
97	Victoria, Quinlan; Zahran, Magd	UN-Habitat, Egypt	Governance and Decentralized Planning, Cairo, Egypt	UN-Habitat
98	Wagah, George	Maseno University, Kisumu, Kenya	Dean and Professors, School of Planning and Architecture	Academia
99	Wasonga, George	Civil Society Urban Development Platform (CSUDP)	Chief Executive Officer	NGO
100	Weakley, Dylan	Metro Planning at City of Johannesburg	Acting Assistant Director	Government
101	Westerberg, Pontus; Torner, Javier	UN-Habitat, CPEDU	Staff, Consultant	UN-Habitat
102	(Consultants and Interns of LAB)	UN-Habitat, CPEDU	Consultants and Interns	UN-Habitat
103	(Mayor, Technical Staff, Ward reps.)	Lalitpur Metropolitan City Office	Mayor, Technical Staff, Ward reps.	Government
104	(MESN Staff)	MESN, Mumbai	Staff - Community Facilitation	NGO

Focus group discussions

N	Name	Organization	Position	Category
1	Sophos Sophianos; Ishaku Maitumbi; Francesco Tonnarelli	UN-Habitat	Joint Programme on Local Governance (Somalia) Programme Manager, Joint Programme on Local Governance (Somalia) Architect and Urban Planner - LAB	UN-Habitat
2	Ms Lydia Muthoni Oriale & Solomon	City of Kisumu	Ag City Manager	Government
3	Ms Maki Hasegawa, Sammy Shileche, Mr Patrick Analo, Humphrey Otieno, Emily Andungo, Nimrod Masaka	JICA technical cooperation, City County of Nairobi, Kenya	Urban Development Masters Plan Advisor, Director, Urban Design, Director, Outdoor and Landscape Department, The Safer Nairobi Initiative Project Coordinating Office, Assistant Director, Urban Design, Chief Officer in charge of the newly created department of Urban Design and Open Space Management	Government
4	Canaan Community Leaders	Canaan Community	Community leaders in Canaan	Civil Society
5	(Lotus Garden Community Repr)	Lotus Garden Repr., Mumbai	Community Representatives and care takers	Civil Society
6	(Gautam Nagar Comunity Group)	Gautam Nagar, Mumbai	Community Group	Civil Society
7	(Volunteers)	User & reconstruction committees, Bungamati Area Reconstruction and Development Council, representative from ward no. 22, Bungamati	Members of the committees and representative of Wards	Civil Society
8	(Volunteers)	Users Committees, Green Space Committee, Kiriptur	Members of the committees and representative of Wards	Civil Society
9	Daniel Onyango and Motora	Hope Raisers Initiative	Coordinators of Hope Raisers Initiative - Korogocho	Civil Society
10	Community leaders	Community committee leaders in Place de la Paix in Les Calles	Community leaders	Civil Society
11	Community leaders	Community committee leaders in La Touterelle in Les Calles	Community leaders	Civil Society
12	Host Community Committee + Leader	Host Community Committee + Leader - Kalobeyei, Kenya	Host Community Committee + Leader	Civil Society
13	Refugee Community Committee (male, female)	Refugee Community Committee (male, female) - Kalobeyei, Kenya	Refugee Community Committee (male, female)	Civil Society

Annex 3: List of CPEDU Publications Reviewed

1	UN-Habitat (2015), Global Public Space Toolkit – From Global Principles to Local Policies and Practice. (Toolkit). 136 pages. Assessment result: 4
2	UN-Habitat (2014), A New Strategy of Sustainable Neighbourhood Planning: Five Principles. (Discussion Note). 8 pages. Assessment result: 4
3	UN-Habitat. (2012), Planning Urban Settlements in South Sudan. Basic Concepts. (Training Manual). 68 pages. Assessment result: 3
4	UN-Habitat. (2010), Planning Sustainable Cities: UN-Habitat Practices And Perspectives. (Advocacy Material). 50 pages. Assessment result: 4
5	UN-Habitat. (2016), The Implementation of the Principles of Planned Urbanization: A UN-Habitat approach to sustainable urban development. (Working Paper). 31 pages. Assessment result: 5
6	City of Johannesburg (2016), Johannesburg SDF 2040. (Formal policy document). 174 pages. Assessment result: 4
7	UN-Habitat. (2016), Guidelines for Urban Planning. Prepared for the Union of Myanmar. 40 pages. (Manual). Assessment result: 3
8	UN-Habitat. (2016), Nairobi Community Led, City Wide Open Public Space Inventory and Assessment. (Training material). 118 pages. Assessment result: 4
9	UN-Habitat. (2016), Urban Planning and Design Labs. 103 pages. Assessment result: 4
10	UN-Habitat. (2015), Using Minecraft for Youth Participation in Urban Design and Governance. (Manual). 24 pages. Assessment result: 3

Annex 4: List of Project Sites Visited

Asia

- Yangon and Naypyidaw, Myanmar (LAB)

- Bungamati and Kirtipur, Nepal (GPSP)

- Gautam Nagar, Lotus Garden, Mumbai, India (GPSP)

- End Street Park North, Johannesburg, (GPSP)

Africa

- Lakefront Development Plan, Kisumu, Kenya (LAB)

- Kalobeyei/ Kakuma Refugee Settlement, Kenya (ALL)

- Jeevanjee Gardens, Nairobi, Kenya (GPSP)

- Dandora Street improvements, Nairobi, Kenya (GPSP)

- Korogocho youth activities, Nairobi, Kenya (GPSP)

- Railway City Development Plan, Nairobi, Kenya (Capacity Building - LAB)

LAC

- Belmopan Belize, Caribbean Urban Forum 7 & Belmopan City Plan, Belize (LAB)

- Canaan & Bon Repos transportation hub, Port-au-Prince, Haiti (LAB)

- Plage de la Tourterelle, Les Cayes, Haiti (GPSP)

- Place de la Paix, Les Cayes, Haiti (GPSP)

Annex 5: Bibliography

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2	UN-Habitat (2016), "The Implementaon of the Principles of Planned Urbanizaon: a UN-Habitat approach to sustainable urban development," Nairobi.
3	UN-Habitat (2017), Economic Foundations for Sustainable Urbanization: A Study on Three-pronged Approach: Planned City Extensions, Legal Framework, and Municipal Finance, 2nd Ed. ed., Nairobi.
4	P. Farmer, F. M., H. C., C. Harridge (2017), S. Narang, R. Shishido, D. Siegel, P. Taylor and J. Vogelij, "Reinventing planning: A new governance paradigm for managing human settlements," 2006. [Online. Available: www.globalplan- nersnetwork.org/pdf/reinventingplanningenglish.pdf. [Accessed 01 10.]
5	UN-Habitat (2009), "Planning Sustainable Cities: Global Report on Human Settlements 2009," Nairobi.
6	UN-Habitat (2010), "Planning Sustainable Cities: UN-Habitat Practices and Perspectives," Nairobi.
7	UN-Habitat (2016), "Urban Planning and Design Labs: tools for integrated and participatory urban planning," Nairobi.
8	UN-Habitat (2013), "Urban Planning for City Leaders, (2nd Ed.)," UN-Habitat, Nairobi.
9	UN-Habitat (2015), "International Guidelines on Urban and Territorial Planning," UN-Habitat, Nairobi.
10	UN-Habitat (2016), "Global Public Space Programme. Annual Report 2015," Nairobi.
11	UN-Habitat (2015), "Global Public Space Toolkit From Global Principles to Local Policies and Practice," Nairobi.
12	UN-Habitat (2016), "Using Minecraft for Community Participation. Manual," Nairobi.
13	United Nations (2017), "Report of the High Level Independent Panel to Assess and Enhance Effectiveness of UN-Habitat," United Nations, New York.
14	A. Revi (2017), "Re-imagining the United Nations' Response to a Twenty first century Urban World," Urbanisation, vol. 2(2) 1–7.
15	M. O. P. A. N. (MOPAN) (2017), "United Nations Human Settlements Programme (UN-Habitat) Institutional Assessment Report."
16	UN-Habitat (2012), "Evaluation of the Implementation of UN-Habitat's Medium Term Strategic and Institutional Plan 2008-2013," Nairobi.
17	UN-Habitat (2017), "Mid Term Evaluation of the Implementation of UN-Habitat's Strategic Plan, 2014-2019," Nairobi.
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21	UN-Habitat (2012), "Mid Term Evaluation of the Cities and Climate Change Initiative," Nairobi.
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31	UN-Habitat (2013), "Strategic Plan 2014 – 2019," UN-Habitat, Nairobi.
32	P. Gotsch and D. Shehayeb (2017), "Inception Report: Evaluation of UN-Habitat's City Planning and Design Strategy, including the Public Space Programme and Urban Planning and Design Lab, 2012-2016," (Internal Document), Nairobi.
33	UN-Habitat	LAB (2015), "Guidelines for Urban Planning. Prepared for the Republic of the Union of Myanmar."
34	UN-Habitat (2017), "Addressing Public Space in National Urban Policies," Nairobi.
35	UN-Habitat (2019), "Global Report on Human Settlements 2009: Planning Sustainable Cities," Earthscan, London.
36	J. Brugman (2009), Welcome to the Urban Revolution – How Cities Are Changing the World, New York City: Bloomsbury Press.
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38	UN-Habitat Country Office Egypt (2016), "Evaluation Report of the Project 'ParticipatEvaluation of Participatory Review of Egyptian Planning and Related Urban Development Legislation to Support Sustainable Urban Development, April 2016," Cairo.
39	UN-Habitat (2017), "Draft revised strategic plan of the United Nations Human Settlements Programme for the period 2014-2019," Nairobi.

40	UN-Habitat (2017), "Global Activities Report 2017: Strengthening partnerships in support of the New Urban Agenda and the Sustainable Development Goals," Nairobi.
41	UN-Habitat (2015), "Global Activities Report : Increasing Synergy for Greater National Ownership," Nairobi.
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77	UN-Habitat (2014), "UN-Habitat Strategy for Strenghteing Private Sector Partnerships," Nairobi.
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Annex 6: Project Budget

No	Project	Title	Donor	Total Budget	Budget 2012-16 (USD)	Duration	LAB	PS	CB	Remark
1	T051	Quick guide for policy makers and practitioners on urban planning for sustainability (A)	Siemens	250K	175k	2010-2013			■	In 2013 a rest of USD 20K used
2	T053	Quick guide for policy makers and practitioners on urban planning for sustainability (B)	SIDA	100k	75k	2010-2013				Same project as above, but different funding source
3	J081/ J061	A partnership for urban planning in Africa	Booyoung	3M	1.2M	2011-2020	■		■	About 50% executed by CPEDU/ROAF, 50% by RMPU/ROAF
4	A118	Achieving sustainable urban development (ASUD)	Spain	150K	150k	2012-2015			■	CPEDU executing directly a share of the overall budget
5	IHAs	Achieving sustainable urban development (ASUD)	Spain		200k	2012-2015	■			CPEDU executing indirectly the same project, through agreements with ROs
6	T051	Chance2sustain	EC	70K	70K	2012-2015			■	EC FP7-SSH-2009-2.1.2: Cities and Sustainable Development
7	J087	Urban planning and design for sustainable urban development (A)	Norway	965K	965K	2012-2015	■	■	■	Same project as J089. But different donor, so budget was recorded separately
8	J089	Urban planning and design for sustainable urban development (B)	SIDA	1.57M	1.57M	2012-2015		■		Same project as J087. But different donors and budgets – Exchange rate loss affected the final received amount which was 1,576,416 for 2012 - 2015
9	J090 (FSE)	Promoting integrated and sustainable urban development through networks (SUD-Net, PS)	SIDA	1.4M	1.4M	2012-2015			■	Project has been started by OER and moved to CPEDU in 2014
10	J090(FOD)	Global programme on public spaces	Mojang		4.174M	2012-2016				The overall project (4.174M) run 2012-2016. In 2016 it was transferred to CPEDU. The budget was managed by OER+CPEDU till 2015.
11	C339/MI-32FSE-000005	Support to the sustainable Urban Development Sector in Kenya (SSUDSK)	Swedish Embassy	919K	919K	2013-2016			■	Direct execution of a portion of SSUDSK larger project (KMP support Component)
12	J099	Rapid Planning - Sustainable Infrastructure, Environmental and Resource Management for Highly Dynamic Metropolises	Germany BMBF through AT Verband	2.48M	805K	2014-2018				German Federal Ministry for Education and Research (BMBF) through AT-Verband (Consortium Lead) Transferred to CCPU in 08/2016

No	Project	Title	Donor	Total Budget	Budget 2012-16 (USD)	Duration	LAB	PS	CB	Remark
13	S1-32FOD-000060	Urban Planning Spatial Development Framework for Johannesburg	City of Johannesburg	127K	127K	2015-2016	X			
14	IHA	Future Saudi Cities Programme	Saudi Government through ROAS	106K	106K	2015-16	X			Executed through IHAs in support to a larger project
15	P-16-01-20-58	Designing a better urban future	Creative Industries Fund (NL)	100k	100K	09/2015-12/2016	X			Additional 228K direct support of Dutch grantees (travel etc.)
16	S1-32FOD-000077 and S1-32FOD-P-16-06-28-92	Strengthening planning for resettlement and integration of refugee communities at Kalobeyei new site, Turkana County (2 phases)	Japan	1.8M	1M	2015-2017	X		X	Two consecutive approvals (Phase 1 and 2). Several in-kind contributions, not reported here, from UNHCR and others
17	M1-32QXB-000124	Empowering Partners for Sustainable Urbanization in Kenya	Swedish Embassy	585k	375k	12/2015-6/2017	X			Direct execution. However, the budget was actually split between CPEDU and ROAF
18	IHA	Urban Planning in Somalia (Plans for Gabiley, Bosasso and Mogadishu)	UN-JPLG through ROAF	147K	147K	5/2016-12/2016	X			UN-JPLG (Joint Programme on Local Government) is funded by Norway, SIDA, DANIDA, DFID, EC, Switzerland
19	IHA	Urban Planning Initiative for Canaan, Haiti (Strategic plan, urban structure plan and neighborhood plan)	USAID through ROLAC	167K	167	2016	X			Executed through IHAs in support to a larger project
20	IHA	Support to peri-urban development in Cuenca, Ecuador	Andalucia, through ROLAC	25k	25k	2016-17	X			
21	S1-32FOD-00086- SB-007037	Global programme on public spaces	Block by Block Foundation	12M	165M	2016-2019		X		Foreseen budget. Release depends on mobilisation by the donor. Received Oct 2016 USD1450,000 and Dec 2016 USD 200,000. and march 2017 USD 477,765.
22	M1-32FOD-000069	Integrated and Participatory Urban Plans and Public Space for Compact, Connected and Inclusive Cities	SIDA	1.2M	241K	2016-2019		X	X	50% for Public Space and 50% for Urban Planning. USD 565,167 for 2016 - 2017 for CPEDU

In 2015 the financial systems changed from IMIS to Umoja and projects number changed. For this reason, some projects have two codes.

• The table includes projects approved before the end of 2016 and active in the reporting period. Projects that were concluded before 2012 are not included.

• The table identifies the thematic focus of each project as follows: LAB, Public Space and Capacity Building/Normative (CB).

Annex 7: Evaluation Methodology Overview

Data Collection Instruments

Instruments

1. Analysis of project documents and context literature
2. Assessment of selected normative outputs
3. Rapid appraisals of projects during field missions
4. Semi-structured KIIs including stakeholder
5. SWOT analysis as part of group discussions
6. Focus group discussions
7. Web-based surveys

Sampling criteria

General criteria → Maximum variation sampling

- Relevance to the evaluated intervention
- Expertise
- Relation to CPEDU

KIIs
- UN-Habitat staff
- CPEDU staff at HQ
- Staff at HQ outside CPEDU
- Staff from ROs and COs
- Partners
- Beneficiaries

Surveys
- EGM participants
- Training participants
- Two surveys using similar sets of questions through an online tool ("lime survey"). Samples coordinated with the clients.

Criteria for field missions
- Covering three main regions
- Rich-case projects

Latin America & Caribbean
Africa
Asia-Pacific

Lessons to learn

Data Collection

Document Assessment

11 key documents:
- Major flagship reports and guidelines covering almost the entire list of core publications of CPEDU
- Other reports recognized to have high impact and a wide circulation
- Balancing CPEDU, LAB and PSP outputs
- Standalone appraisal of draft plan assessment tool
- Selected based on shortlist from the client

121 KIIs & FG discussions

	Total	UN-Habitat	Gov. officials	NGOs	Private sector	Civil society	Academics
KII	104	54	21	20	10	-	2
FG	13	2	2	-	-	9	-

2 Surveys with 127 replies

1. EGM participant survey

Total	Total respondents	Complete responses	Incomplete responses
227	96	37	59

2. Training participant survey

Total	Total respondents	Complete responses	Incomplete responses
287	119	51	68

Field observations during 3 missions

LAC - May 2017	Asia - May 2017	Africa - June 2017
Belize	Myanmar	Kenya
Haiti	Nepal	Addis Ababa
	India	
	Indonesia	

Data Analysis (Instruments)

Documents and Plans

Assessment template; Main categories of indicators:
1- Clarity of structure and comprehension
2- Quality of contents (relevance, clarity, coherence)
3- Alignment with UN-Habitat vision (compact, integrated, connected, inclusive, resilient), NUA, SDGs
4- Consideration of cross-cutting issues
- Individual format for the Plan Assessment Tool

Ranking each indicator on a scale from 1 to 5
1= insufficient; 2= poor; 3= satisfactory; 4= good; 5= very good

KIIs & FG discussions

Analysis instrument

Main column to analyze KIIs and FG discussions according to assessment criteria: Relevance, Effectiveness, Efficiency, Impact, Sustainability and Partnerships

Additional columns including SWOT analysis, key quotes, recommendations and data related to the development of the ToC

Surveys

Qualitative and quantitative analysis using the online tool

Field observations during missions

Combining from different data sources

Field visits	Meetings with stakeholders and UN-Habitat members	Background documents

Verification of results by triangulation of information from various sources.
Complete full story of each project → discern lessons learnt + assessing CPEDU strategies & activities

Annex 8: Summary Survey Results from Expert Group Meeting

Survey EGM

Period of Survey: June 25th – July 31st 2017

Duration of Survey: ca 30-40 Minutes

Number of Questions: 39

Sections: 3: A) Background, B) Context, Relevance and ToC, C) Assessment of the particular Activity

Link to questionnaire:
https://habit96.limequery.com/182526?lang=en

People contacted: 227

Total number of respondents: 96

Number of complete responses: 37

Number of incomplete responses: 59

Annotations for selected Questions

Q.No	Question	Result	Comment	Recommendation
3	Category of participants	25% are academics, 16% are from international organisations, 16% are from local governments, 3% from national governments, 0% from CBOs	Non conspicuous result	Potentially discuss relevance of having CBOs and National Governments at EGMs
4	Position	38% are technical experts, other have higher managerial positions	Non conspicuous result	/
5	Origin of respondents	Very diverse list of cities	UN-HAB has been able to reach out to a substantial number of countries. This is a positive result.	/
51	Who organised the EGM	80% of the respondents know who offered the EGM. From that number ca. 1/3 joined a CPEDU EGM, 1/3 a LAB, and 1/3 a GPSP EGM	80% of the respondents know who offered the EGM - The fact that respondents show interest/ understanding is positive	/
9	Have partner organisations been involved	70% say yes	This is generally a good result. Cooperation and Integration with other organisations is key.	/
9a	Which partner organisations		Non conspicuous, very distributed result	Low share of other UN Organisations and of CBOs can be discussed
15	How important is Urban Planning and Design to achieve sustainable urban development	All agree on importance, 60% have commented (see excerpts below)	Responses demonstrate relatively high levels of awareness about the problems and needs, the potentials as well as the opportunities and challenges of Urban Planning and Design	
13	Obstacles to adoption of plans at national level	87% indicate lack of political will (49%) or political consensus (38%), 62% indicate weak institutional and management structures	At national level political will and consensus, and strong institutions are most important om the adoption of plans, policies, frameworks. Reinforcement of the 3PA.	Focus on advocacy and capacity building and the ability to generate funding
11	Obstacles to adoption of plans at municipal level	38% name the lack of coordination across sectors and/or departments and units, 32% point to lacking capacities, for 28% it is corruption	Coordination, Capacities, and Good governance are considered as the most important factors to adopt plans at a local level.	Promote coordination mechanisms, capacities and good governance
14	Obstacles to implementation	Weak institutional and management structures (68%), low financial resources (43%), lack of political will (38%), insufficient technical knowledge (35%)...	Strong institutions, finances, political will, and technical capacities are considered key for the implementation of plans at local level. This also reaffirms the 3PA,	Focus on capacity, resources and advocacy, but also point to the need to raise awareness about the importance of laws and regulations.

Q.No	Question	Result	Comment	Recommendation
55	What can effectively be done to avoid vicious cycles and development to go wrong?	Text based answers of 90% of respondents – high value, relevance for ToC etc * Excerpts see listed below	The results demonstrate high level of commitment of the survey participants All kinds of law and regulations and their enforcement play a very central role Some of the answers are: Participatory planning, Citizen cooperation, Oversight and monitoring by the community and/or an independent multi-stakeholder support groups (including media, NGOs), Accountability and liability of decision makers, Awareness of possible negative effects of development, Enforcement of regulations, Decentralisation and capacity building to local government, Formation of a multi-stakeholder support group, along subsidiarity principles,	Reflect negative consequences and include in advocacy, Develop and mainstream effective tools for: - land value capture and its redistribution - participatory monitoring and oversight approaches, - effective law enforcement mechanisms, - discussing "bad practice" examples
57	What in your opinion are the causes that trigger phenomena of disinvestment, speculation, corruption, social exclusion	Text based answers of 90% of respondents – high value, relevance for ToC etc. * Excerpts see listed below	The answers are relatively diverse. But all very interesting and productive. Many point to the relevance strong and unregulated private sector, in combination with other factors such as "weak" local governments "running behind" (including lack of comprehensive and strategic planning, and corruption), deficient regulations and oversight, and on the ground dynamics such as the nimbyism.	To better understand and take into consideration private sector dynamics, and population dynamics (NIMBYism) To promote appropriate regulations and incentives. To evaluate and promote alternative practices such as cooperatives etc.
58	In your opinion, how should one support a virtuous cycle of value creation, balanced re-investment, creation of social values, balancing private and societal interests, and controlling of negative social and environmental externalities? And which conditions need to be in place?	Text based answers of 87% of respondents – high value, relevance for ToC etc. * Excerpts see listed below	Answers relatively diverse. Main issues: • sense of belonging, consensus and shared vision • decentralisation • political consensus • gov. capacity • appropriate planning, legislation and finances • citizen's participation • transparency • accountability • monitoring and impact assessment • mechanisms such as land value capture • Public Space as a Catalyst	Important to note that a diversity of factors need to be considered on various fronts. All these factor are more or less known and that the solutions are not only technical but also political. In light of this awareness of the political context is needed and combined with strategies to change mindsets, "conflict resolution" consensus and cooperation in addition to technical assistance.

Q.No	Question	Result	Comment	Recommendation
59 and 60	Best practices of virtuous cycles as described in Q58	Ca. 60% know and described best practices. Selected Examples come from: Medellin, Curitiba, Philippines, Barcelona, Copenhagen, Bhutan, Ahmedabad, Boston, Japan, among others	Study relevant BP if new, Explore how many named examples are related to UN-Habitat activities	To study relevant BPs if new
16b	(Which constrains do you see to the universal validity of the principles of sustainable urbanisation ...)	Main trends: • density is not necessarily a goal, it needs to be put in context • land value creation needs to be regulated • necessity of being more context based/acknowledge diversity • finance and regulations	Selected quotes: - "The vision should be broad enough to serve for local conditions and context, otherwise we risk yet another wave of colonialism" "Working recently in Mumbai where average density is 45,000 people per sq km at the scale of 20 million people with considerable social damage and high levels of inequality, I think the discourse about density should be more put in context...Rather than insisting too much on density, adequate land area per capita (such as 100 m2 like in the Chinese standard) would ensure providing enough living space per capita, enough public space, enough infrastructure provision".	• To spend more time understanding regional and local diversity • To partner with regional studies/universities/academics for this purpose • Explore indicator of adequate land area per capita instead of density per hectare
63	From your point of view on what aspects should the Urban Planning and Design Strategy, the Urban Lab and the Global Programme on Public Spaces concentrate in the future?	Growing effectiveness through partnerships (57%), focus on INUA and SDGs (54%) are HIGHEST, Strategically balance demonstration projects with normative work (35%) Fostering integration with other themes/units/branches in UN-Habitat (32%)	The results correspond will to other information the evaluation, 3 tiers can be identified: 1) Growing effectiveness through partnerships; Concentrating on implementing the SDGs and the New Urban Agenda; Strategically balance demonstration projects with advocacy and normative work. 2) Fostering integration with other themes/units/ branches in UN-Habitat; Focusing on becoming an innovation Lab; Mainstreaming pilot projects on a large scale; Work selectively on demonstration projects and disseminating them on a large scale.	To discuss the recommendations made and to restrategize i.e, on effective partnerships, learning from demonstration projects, SDG and NUA and cooperation
21a	EGM, personal added value	Collaboration and networking (54%) New Technical Knowledge (27%) Change of Mind-set (5%)		

Q.No	Question	Result	Comment	Recommendation
23 (all)	(Assessment of the EGM)	Majority of The EGMs met the expectations of 90% of the participants, Respondents applied (83%) and shared the knowledge (97), 44% planned some kind of follow up activities, 89% think they have been the right person to participate, 94% agree that the skills of the participants were adequate, but 10% think that the communication with UN-Habitat and partners before, during, and after was inadequate and 13,3% report that that there was no opportunity to reflect and evaluate the EGM, and 13,5 % think that it was not fruitful for sharing knowledge and partnerships,	It seems the EGMs had a very good impact, most of the respondents are very happy with the results. Find out whether the few negative results affect certain EGMs	To pay attention to: • good communication to the participants before, during and after the event, • information sharing, evaluation, feedback, and lessons as well as, • opportunities for the participants to share knowledge and network. To evaluate EGMs from time to time
30 (all)	Were issues of gender, youth, human rights and climate change addressed as part of the activity?	Gender (45% sufficiently and more) Youth (31% sufficiently and more) Human rights (36% sufficiently and more) Climate change (59% sufficiently and more)	Climate change is the only sufficiently addressed. Gender is more sufficiently addressed than human rights and youth. All 3 are insufficiently addressed)	• To focus more on Gender Youth and Human rights • To maintain and further increase focus on Climate Change
27	Which issues, problems, topics would you recommend addressing in future EGMs?	The highest frequency of responses mentioned with: • Scale up findings/ recommendations (5); • Community Participation/Collaborative planning (5); • Urban financing (5);	(Cf. Analyses available upon request)	• To consider some of the topics as recommended as future EGM themes
28	Are you still in touch with the UN-Habitat partners i.e. the CPEDU or Subunits such as the LAP, the Kenya Municipal Program or the Global Program on Public Space?	65% of the respondents say yes, but 25% not in touch would like to be!	One quarter of the participants report not to be n touch with the organisers (ie, UN-Habitat) but would like to be!	• Improve follow up communication and information with EGM participants
53	Have you been informed about the results and follow-up plans?	46% of respondents indicate that they have not been informed about the results!		• Improve follow up communication and information with EGM participants. Inform them about the results
38	In summary, how would you rate the overall value of the activity/training/ capacity building/"service" on a scale between 1 and 5, where 1 is the lowest grade and 5 is the highest grade?	78% rated the EGM with 4 and 5. 16% with 3	The overall rating of the EGM is very good. However, a noteworthy share of 16% also with the medium grade.	To follow up on the "average" ratings
40	In case we would need to contact you for further clarifications, would you agree providing your name and your contact data?	86% of respondents provided their name		

Excerpts from Q15 on the importance of Urban Planning and Design to achieve Sustainable Urban Development:

ID9. "Most local governments in developing countries do not have good planning expertise, processes as well as complete data. Furthermore, they seek support on how to integrate SDGs in their planning and monitoring."

ID24. "Planning solutions shall be tangible and clear - design helps to achieve this goal. Just "planning" is not enough"

ID32. "Urban Planning is key to achieve better and integrated spaces. It has impacts on economic, cultural, political and social urban life."

ID43. "market driven urban development needs a regulatory framework… its planning quality of life specially for low income families… needs good design for habitability improvement"

ID51. [planning can "put theory in practice"

ID59. "The speed of urbanization and the pressures for investment, development, and inclusion require strategies, scenario-building, as well as assessing the costs for safe, inclusive and sustainable urban growth. "

ID65. "Proper urban planning can contribute to a better quality of life of the citizens, make their community safe, have access from home to workplace with the least stress, provide green space which shows that the environment is taken care of and make the citizens feel they do not live in an urban, cemented jungle and thus make sure that the future generation will have the same or even better quality of life."

ID 67. "Urban planning and design does have great functional power and socially responsibilities on the forming and transforming of urban development, but is limited under the political and capital power. "

ID69a. "Urban planning and design when integrated with transport planning and with energy planning (to name a few) has a strong synergetic effect and the potential by itself to reduce GHG emissions, and improve productivity and inclusiveness by shaping densities in a way that enhances economic agglomeration and job accessibility while creating liveable."

ID69b. "Moreover good urban planning and design is a key lever to create urban value that can be partially recaptured by local governments in order to finance infrastructures and good public realm, creating a positive feedback loop of local development."

ID82. "It is important as it ensure well-coordinated urban environment which is crucial in focused service delivery to the city residents and the city in general."

ID90. "It is fundamental having a territorial and spatial dimension for integrating economic, social, cultural and environmental development"

Excerpts from Q55: At times urban planning and design can also lead to cycle of disinvestment, speculation, corruption, and exclusion catering solely to luxury developments etc. From your point of view what can effectively be done to avoid these vicious cycles?

ID2. "increase awareness among both citizens and technicians about the effects of speculation and exclusion in a long term."

ID11. "I think it is essential to put on the table that property rights involve obligations. Urban planning must include a land policy that impose obligations on property rights and recover publicly created land rents."

ID14. "More community involvement and participation in the planning preparation process. Greater accountability of elected and designated officials in front of the communities."

ID16. "separation of Urban Planning and Design Offices (City Planning in other States) from Development Planning Departments (i.e. doing Sector Planning / Comprehensive Planning).

ID21. "1. Strong safeguard policies related to environment, social and inclusion aspects
2. Stronger Participatory planning approaches; 3. Overall clarity and transparency during planning process"

ID24. "1. Set up a transparent planning mechanism, providing information to the public; 2. create a Local Support Group - a large group of stakeholders including private sector, public sector, education incl. academy, etc. - and include the Group into your planning activities."

ID31 "- Regulatory policies, such as progressive property tax in case of speculation;
- Transparency of data and processes, in order to avoid corruption,
- Legal instruments that require developments to provide multi-level housing options''

ID54. "It is necessary to strengthen public institutions and empower the population for democratic participation in the political debate that accompanies the formulation of plans and projects…"

ID55. "Privileging the public good and working towards maintaining it; regulations on developers and what they can or cannot do, sound control systems."

ID57. "… a role for the media is helpful too to ensure transparency and openness. "

ID59. "land banks and asset management strategies … fiscal, financial and asset management specialists … modern and innovative urban impact assessments controls for new development… it requires strengthening institutional and management structures (e.g. databases, digital government tools) … accountability and international oversight, which in turn requires strengthening NGOs, empowering the media to make governments accountable, and expose cases that can become big stories."

ID63. "Corruption is very difficult to eradicate, education which is a key factor…"

ID67. "Inclusive planning implementation involved by beneficiaries and all the influenced stake holders must not be absent. Environmental impact and Social impact assessments should be taken in advance."

ID73. "Effectively I'm pessimistic, but we can try at least to help institutions to strength their capacities, to clarify tools for accountability and transparency in all these planning activities and to report with much more intensity on bad practices!"

ID73. There are many bad practices around the world which are reproducing everywhere. It's time to build the arguments why there are bad practices and to report on them publically.

Excerpts from Q57: What in your opinion are the causes that trigger phenomena of disinvestment, speculation, corruption, social exclusion

ID2. "increase the awareness of the electorate on the planning issues. improve the tools of control over the public authorities' actions.''

ID4. "The total dependency on numbers rather than measuring quality and the lack of post assessment of the effectiveness of the plan or the project"

ID11. "The main cause of this phenomena is the private appropriation of land rent created by public investments… When land rent is not recovered by urban policy, it goes not only to fill landowners' pockets but also to feed corruption. As a result, landowners and public officials get richer and general population get poorer."

ID16: "Political Structure, where elected and appointed officials always have a notion of a very short office discouraging them to set long-term development visions and goals."

ID21. "… 3. Lack of Participation and Transparency laws"

ID24. "… lack of information and engagement of different groups of stakeholders."

ID31. "Superposition of private interests in local governments …"

ID43. "… toxic politics … specially at local level."

ID45. "Lack of appropriate landuse regulation systems"

ID51. "the politico administrative system"

ID55. "Public sector captured by hegemonic interests… favouritism, absence of monitoring and control systems""

ID56. "Construction sector considered a financial business … municipalities run "BEHIND" development… little incentives for other forms of development investors (cooperatives, smallholders)"

ID60. "Over reliance on the private sector without adequate leadership and oversight from the public sector. Public private partnership is key.

Excerpts from Q58: In your opinion, how should one support a virtuous cycle of value creation, balanced reinvestment, creation of social values, balancing private and societal interests, and controlling of negative social and environmental externalities? And which conditions need to be in place?

ID4. "...making the process more sustainable by making it less personalized (depending on the initiative of one person) by putting to public debate. Transparency is a key condition in this process."

ID9. "good enabling environment to be given to local governments (in term of mandate, resources), provide platform for different stakeholders to participate in the planning process."

ID11. "...create knowledge and conviction on issues that evaluate how land value creation works, how public rights need to be acquired prior to be incorporated to someone's property. One important step is to educate technicians and to disseminate knowledge and good practices in between public officials."

ID14. "Citizens need to agree on long term objectives for the city and translate them into a coherent set of programs and project. A key objective is to balance the quality of life in the different neighbourhoods and improve accessibility to all sections of the city. This will balance development pressures in the city, reduce land price differentials, and generate urban values in depressed areas...

A second objective is the preservation of key environmental resources, land, water, air, wetlands and sceneries. It is necessary that the local governments (municipalities, associations of municipalities, metropolitan service providers) have the responsibilities and resources to attain these complex long term objectives."

ID31. "Creating a legal framework for urban policy is a first step. It must be associated with a financial strategy and be built in dialogue with all sectors."

ID32. Promoting urban life in a broad sense to increase the sense of belonging. Capture of urban values to invest in public programs, housing, etc."

ID51. "select community leaders on transparency not by political alliance. involve real beneficiaries in plan making &implementation. good monitoring"

ID54. "The issue is fundamentally political... "

ID59. "1. We need to promote public discussions... ; 2. Cities and societies require "social pacts" amongst all sectors...; 3. Governments require a lot of technical assistance and support to start moving in the right direction; especially those that have the will and vision to move forward ...we require to demonstrate that we are lacking value capture schemes to give back to those communities that need it the most, from those that are taking advantage of speculation, and luxury developments."

ID65. "Good governance will be able to attract investors so that a healthy competition would be able to bring about the best development at the lowest cost. Transparency will also eliminate speculations and corruption."

ID69. "Strong regulations and win win dialogue between private and public sectors can engender virtuous cycles of development. A key example being one century of Transit Oriented Development in Japan"

ID70. "Urban and environmental development is closely related with community effective involvement in urban public policy. It is also related with how public space is developed by local government because it is the arena for social value creation. One condition is needed in place; that urban planning and legislation are directed to put forward public and societal values over private interests."

ID72. "Clear and stable development of legal and economic systems, stable management and governments at all levels (from local to national, supranational). Setting clear and balanced visons, which are long term in aiming, enabling variations in short or midterm implementation. Education in planning, urbanism, architecture, value creation, development, included at all levels of education."

Annex 9: Summary Results from Trainings Survey

Survey Partners and Trainees

Period of Survey: June 25th – July 31st 2017

Duration of Survey: ca 30-40 Minutes

Number of Questions: 34

Sections: 3: A) Background, B) Context, C) Relevance and ToC, D) Assessment of the particular Activity

Link to questionnaire:
https://habit96.limequery.com/518461?lang=en

People contacted: 180

Total number of respondents: 119

Number of complete responses: 51

Number of incomplete responses: 68

Annotations for selected Questions

Q.No	Question	Result	Comment	Recommendation
A) BACKGROUND				
3	Category of participants	45% from local government, 19% from the academia, 14% from national governments, 10% from the private sector, 6% from NGOs, 2% from CBOs and 0% from INGOs.	Great presence of local government, aligned with the purpose of the training.	Low share on national governments NGOs, which could be potentially be more involved for changing institutional and regulatory frameworks.
4	Position	33% are senior staff, the remaining are well distributed.	Non conspicuous result	/
5/6	Origin of respondents	Very diverse list of countries and cities	UN-HAB has been able to reach out to a substantial number of countries. This is a positive result.	/
7	Type of activity	59% are workshops, 16% are trainings, 12% are pilot projects and 2% are implementations.	/	/
7a	Name of the activity	Diverse, with 9 Urban Planning for City Leaders	Very distributed results	/
8	Date of the activity	Distributed between 2013 and 2017	/	/
8a	Duration of the activity	2/3 days the most common duration	/	/
9	Have partner organisations been involved	80% say yes	This is a good result. Cooperation is key and there is a call to increase this knowledge transfer to those partners who do a lot of implementation beyond the scope of UNH projects.	/
9a	Which partner organisations have been involved	Professional associations and private sector the highest. Others are well distributed.	Other UN Regional and Country offices and UN organisations score very low.	Could be discussed the need of a better integration/ cooperation among the UN branches (some similar findings are emerging from the literature review, where UN initiatives are not often related – missed opportunity).
B) CONTEXT				
10	Main trends/problems in your city	The most frequent answers are urban sprawl (47%), traffic congestion (35%), rapid growth (33%) and poor access to basic services (25%). Privatization and aging population are not seen as an issue (0%). Low also political insecurity (6%) and cultural alienation (4%).	The three main aspects are highly correlated. Rapid growth leads to urban sprawl due to lack of planning capacity/skills/political will. Traffic congestion is a direct results of an unplanned growth based on cars, low density and lacking integration (zoning)	Advocacy on compact and integrated cities, planned vs unplanned urbanization.

Q.No	Question	Result	Comment	Recommendation
11	Problems at the government level	Highest values on lack of coordination (41%), lack of quality urban plans (37%), poor implementation (29%), corruption (29%), inappropriate management systems (24%) and lacking capacity (18%).	Results are comparable with the EGM results: weak institutional and management structures (coordination and capacity), lack of political will and consensus (corruption), low financial resources and coordination (implementation)	Perceived Value added of CPEDU from KIIs is establishing the dialogue to overcome "lack of coordination" It is usually higher that the quality plans. If CPEDU puts this 'problem / need' more in its focus, it could improve their impact. Need to externalise more in their strategy that the links between appropriate urban planning and the coordination needed to see it through (another unit might do it?)
12.1	My city has a strategy to address the SDGs	49% say yes 45% say no	/	Further promote SDGs in training/planning/publication initiatives.
12.2	My city has a strategy to address the NUA	41% say yes 53% say no	/	Further promote the NUA in training/planning/publication initiatives.
12.3	My city has a well performing and functioning system of urban planning and design	20% say yes 75% say no	Some of the positive answers come from cities where UNH has successfully implemented awareness raising/projects.	- Focus on capacity building and advocacy. - Significant need to strengthen local skills and invert the trend.
12.4	The urban Policy in my city addresses public space.	43% say yes 51% say no	Some of the positive answers come from cities where UNH has successfully implemented awareness raising/projects.	Further promote the role and importance of quality public space in cities.
12.5	The urban planning process in my city is coordinated and integrated i.e. planning and design are supported by regulations and financial implementation plans	31% say yes 63% say no	//	• Further promote coordination and integration between Municipal/Regional departments. • Focus on strengthening institutional capacity.
12.6	Urban policies in my city mandate citizen participation	51% say yes 45% say no	/	• Focus on advocacy, training and BPs.

Q.No	Question	Result	Comment	Recommendation
13	Most significant obstacles in the adoption of plans/policies in your Municipality	Divided in 3 groups, from the most to the least frequent: 1. Insufficient technical knowledge and skills (51%), Weak institutional and management structures (51%), Low financial resources (39%). 2. Lacking coordination (35%), Lacking political will (35%), Out of date mind sets (25%). 3. Lacking political consensus (20%), Inadequate laws and regulations (20%), Inadequate mandates (14%).	For the adoption of a plan at local level, technical knowledge, institutional management, financial resources, coordination and political will are considered the most relevant aspects for the adoption of a plan.	• Foster capacity building and knowledge sharing. • Strengthen institutional capacity and coordination mechanisms. • Ensure integration with financial resources since early stages. • Advocacy with local government on the importance of their proactive engagement.
14	Most significant obstacles in the implementation of plans/policies in your municipality	Dividing in 3 groups, from the most to the least frequent: 1. Weak institutional and management structures (55%), Low financial resources (55%), Insufficient technical knowledge and skills (41%). 2. Lacking political will (33%), Lacking coordination (31%) 3. Lacking political consensus (18%), Lacking land registration and cadastres (18%), Out of date mind sets (16%), Inadequate laws and regulations (16%)	For the implementation of a plan at the local level, results are similar to the adoption. Financial resources gain more importance.	• Foster capacity building and knowledge sharing. • Strengthen institutional capacity and coordination mechanisms. • Ensure integration with financial resources since early stages. • Advocacy with local government on the importance of their proactive engagement.

C) RELEVANCE AND ToC

Q.No	Question	Result	Comment	Recommendation
15	Importance of Urban Planning and Design to achieve sustainable urban development	94% say it's very important, 6% say it's important. Almost half of the respondents commented the question, showing a high level of commitment (see excerpts below)	The comments show an understanding of the importance and the impact that Urban Planning and Design has on the development of cities, both in physical and social terms.	/
16a	Vision on sustainable urban development of compact, integrated, connected, and inclusive cities - that are dense, socially and economically mixed, walkable, that offer public sufficient amenities and spaces and are accessible for all - pertinent for the city in which you are based in	75% generally agree 25% generally disagree	This question is leading.	/
16.	How important are the following characteristics of a neighbourhood to achieve sustainable urban development: more compact/ better integrated/ better connected/socially inclusive/resilient to climate change/ human rights based.	Respondents highly agree on the importance (>90%) of these factors. On more compact neighbourhood question, 20% think it's not important. Human right based in not completely understood (8% does not know).	These principles are very broad and they could be understood differently depending of the context.	Better understand the diversity and the specificity of the context and further explore the universal validity of these principles.

Q.No	Question	Result	Comment	Recommendation
16b	Constrains related to the last question	Almost half of the respondents commented (43%) the question, showing a good level of commitment (see excerpts below)	Comments show a significant understanding of the factors of the previous question. Some major emerging issues include: challenge in applying the principles in already existing complex multilayered cities; lack of capacity to integrate, adopt and implement; lack of coordination and integration among urban planning and development agencies; lack of finances; lack of rules and regulations; land development; divergence in objectives of the private and public sectors.	• Foster capacity building. • Strengthen institutional capacity and coordination mechanisms. • Ensure integration with financial resources since early stages. • Develop progressive strategies to implement the principles in existing urban environments. • Focus on advocacy, training and BPs. •
17	Public space is important to achieve integrated and coordinated urban planning/ 3 pronged approach/The people centered approach and community participation are pertinent to my city	Respondents highly agree with all questions.	/	/
D) ASSESSMENT OF THE PARTICULAR ACTIVITY				
20	How did you learn about and get in touch with UN-Habitat/ CPEDU.	Most common answers are: I was contacted by them (35%); I was assigned by my boss (20%). I was reading about them online (18%) and I contacted them (6%) are the least frequent.	/	- Promote UNH/CPEDU initiatives/programs. - Improve dissemination of relevant publications
21	The activity/training/capacity building/" service" was useful for you.	Very useful (61%); Useful (31%); Partially useful (6%); Not useful (2%).	Very good results, show high relevance of the activities.	Follow up with the participants as part of the event/after the event to address possible dissatisfaction.
21a	Main added value of the activity for you	Prevalence of: New technical knowledge (know-how, soft skills) (55%). Other most frequent responses: Collaboration and networking (24%), Change of mind-set (16%).	As expected, the activities mainly address capacity building and transfer of knowledge.	/
22	Main added value of the activity for your municipality/department	Answers can be divided based on frequency: 1. Capacity building (63%), Partnership and networking (45%); 2. Innovative and efficient policies (31%), Tools to transfer knowledge (31%), Substantive knowledge (31%), Change of mindset (27%); 3. Initiation of a campaign (10%), Financial support (10%).	Government officials value Capacity Building as the highest (77%), while Academicians rank Capacity Building and Partnership and networking as highest (70%). Initiation of a campaign and financial support are lowest in both cases.	/
23.1	I apply the acquired information/knowledge/skills in my daily work.	Strongly agree (35%), Agree (63%), Disagree (2%).	Very good result. The training achieved 98% of the respondents to apply new skills.	/

Q.No	Question	Result	Comment	Recommendation
23.2	I share the acquired information/knowledge/skills with the colleagues in my network	Strongly agree (39%), Agree (59%), Disagree (2%).	Very good result.	/
23.3	I plan a follow up activity/service based on this one	Strongly agree (29%), Agree (51%), Disagree (10%), Don't know (10%).	Disagree because they don't need any additional training?	Consider a follow up with the participants about the possibility of having other trainings/initiatives?
23.4	I recommend the activity/training/capacity building/"service" to other colleagues/peers.	Strongly agree (49%), Agree (45%), Disagree (2%), Don't know (4%).	Very good result. The trainings are considered very useful.	/
23.5	The activity/training/capacity building/"service" delivered what it promised.	Strongly agree (25%), Agree (69%), Disagree (2%), Don't know (4%).	The percentage of "Strongly agree" dropped here. Avenues for improvement?	Plan an evaluation session to understand how to improve the training?
23.6	The experts, advisors, and trainers were appropriately skilled and competent	Strongly agree (41%), Agree (59%).	Excellent result.	/
23.7	The communication with the experts, advisors, trainers (UN-Habitat, or their partner organisation) before, during and after the training was appropriate	Strongly agree (29%), Agree (65%), Disagree (6%).	The percentage of "Strongly agree" dropped here and some more disagreement (even if still very low) emerged. Probably the most critical phase is the after activity.	Improve the communication with the participants before, during and after the activity.
23.8	I had an opportunity to reflect on and evaluate the activity/training/capacity building/"service" as part of the event	Strongly agree (22%), Agree (65%), Disagree (10%), Strongly disagree (2%), Don't know (2%).	Although overall results are still good, some disagreement emerges here as well.	Improve the evaluation/reflection as part of the event, perhaps in a Q&A session or evaluation form?
23.9	The activity/training/capacity building/"service" was offered to the appropriate target groups/persons	Strongly agree (31%), Agree (67%).	Very good results, UNH is targeting the right people.	/
23.10	The activity/training/capacity building/"service" led to change in policies of my city or country	Strongly agree (16%), Agree (35%), Disagree (27%), Strongly disagree (4%), Don't know (18%).	Results are good, more than half of the respondents see changes in the policies. There is a 30% that does not agree, should be explored why. It's difficult to assess if a training led to a real change (28% don't know).	• Monitor the results of the training and if it does lead to a substantial change. • Document relevant successful and less successful cases to elaborate a compendium of BPs. • Low participation from governmental officials to the training (14%) could impact on this result. CPEDU could better address central governments to have 'informed' clients, who actually wants their services
23.11	The activity/training/capacity building/"service" led to a change in the way planning and design occurs in my city	Strongly agree (14%), Agree (39%), Disagree (29%), Strongly disagree (6%), Don't know (12%).	At the local level, results are still good but it seems more difficult for the training activity to be effective, compared with the country level.	/

Q.No	Question	Result	Comment	Recommendation
23.12	The activity/training/capacity building/"service" was replicated	Strongly agree (8%), Agree (39%), Disagree (29%), Strongly disagree (4%), Don't know (19%).	Difficult to say if the disagreement to this statement is because they wanted to and it was not replicated or it was not replicated because there was no need. In general, 20% of "don't know" signal again a lack of communication.	Improve the communication with the participants regarding follow up/results of the training. Keep them in the loop.
23.13	The activity/training/capacity building/ "service" led to follow up projects	Strongly agree (16%), Agree (42%), Disagree (22%), Strongly disagree (6%), Don't know (16%).	Generally agree that the training led to further projects.	Improve the communication with the participants regarding follow up/results of the training. Keep them in the loop (dedicated newsletter?).
23.14	The application/implementation of UN- Habitat's activity/training/capacity building/ "service"/tool led to further investments in my city	Strongly agree (10%), Agree (47%), Disagree (22%), Strongly disagree (4%), Don't know (18%).	/	/
27	Recommendations to CPEDU to address in future to make the trainings/workshops/activities more relevant, effective and efficient	63% of the respondents answer, high level of commitment. (see excerpts below)	Most frequent answers: - Periodic training should be provided and should explore new areas. - More involvement of government officials. - Extend the training to more stakeholders (city employees, etc.). - The training should be extended up to a week. - More practical workshops/pilot projects/best practices from experts. - Link the planning to implementation - Follow ups	- Involve a broader variety of stakeholders and contact more government officials. - Reconsider the duration of the training. - Plan follow up activities and further training. - Foster knowledge sharing processes among the participants themselves. - Improve the communication with the participants regarding follow up/results of the training. Keep them in the loop (dedicated newsletter?).
28	You are still in touch with the team of experts/ trainers	Yes regularly (14%), Sometimes (31%), No but I would like to (53%), No because I don't have the means to contact them (2%)	The ones that are still in touch is all governmental officials (probably on going projects?). To be noted that no one selected "No because I don't see any need". Participations are willing to be kept in the loop.	Improve the communication with the participants regarding follow up/results of the training. Keep them in the loop (dedicated newsletter?).
30 (all)	Issues of gender, youth, human rights and climate change were addressed as part of the activity.	Gender (59% sufficiently and more) Youth (49% sufficiently and more) Human rights (53% sufficiently and more). Climate change (71% sufficiently and more)	Climate change is properly addressed. Gender and human rights are sufficiently addressed Youth is not sufficiently addressed	- In general, to focus more on Gender, Youth and Human rights
38	Overall, what is your evaluation of the activity/ training/capacity building/"service" on a scale between 1 and 5, where 1 is the lowest grade and 5 is the highest grade	69% rated the Training with 4 and 5. 29% with 3. 2% with 2.	The overall rating of the training is good. Nevertheless, 29% of the respondents expressed a medium grade.	Follow up with an evaluation after the training and assess what could be improved.
39	Further comments	51% provided more comments. (see excerpts below)	Respondents are willing to share their impressions/ suggestions about the training.	Follow up with an evaluation after the training sessions.
40	Name and contact data	82% provided name and contact data.	High level of commitment.	/

Excerpts from Q15 on the importance of Urban Planning and Design to achieve Sustainable Urban Development

ID15. "The shape of cities, where people live in relation to where they access work and other amenities, has huge implications on sustainability and quality of life. Three basic examples are: a) people who live far from their work and other city amenities (like schools) have to spend a large percentage of their income and a large portion of their time travelling, meaning lower financial sustainability and quality of life; b) some people are structurally unemployed in that they cannot afford to even look for employment, because of their poor proximity to economic activity; c) transport carbon emissions are very high, as people must travel (mainly in cars or minibus taxis) large distances to access jobs and amenities."

ID27. "Urban planning is lacking in our city, and although there is a urban planning law, there is a lack and will to properly apply the rules and regulations set by the urban planning law, resulting in a city the has grown beyond its manageable boundaries, urban sprawl, traffic congestion, pollution etc."

ID43. "Urban Planning and Design is very important to achieve sustainable urban development, as it ensures: 1.Adequate urban service facilities in equitable manner. 2. Social, economic and environmental sustainability. 3. Integration/linkage among planning, designing, implementation, monitoring and evaluation."

ID47. "Urban planning and design is one of the strategy applied to reduce automobile reliance, to increase city greenery, promote vibrant economic activities and eventually social integration in a city and sustainability."

ID64. "Urban growth and inadequate planning is the major challenge in cities and towns in South Asia and Asia Pacific region in the one hand. On the other hand, informalities, squatter settlement, basic urban service delivery, urban infrastructure, resource mobilization, inadequate capacity and inefficient performance is the major policy as well as planning challenges. In order to address all issues and challenges mentioned, adequate urban planning and design is the major policy tools for sustainable development."

ID75. "Good planning and design leads to good public spaces, effective transportation systems, mitigate the impacts of climate change, support of retail locations, development of affordable housing, good use of existing infrastructure and sensible plans for expanding infrastructure, places that can age well over time, reductions in class separation."

ID81. "Proper planning will leave room for expansion of businesses without over stretching resources."

ID88. "Development takes place within the matrix of urban plans. Cities are still the engine of development. Urban planning and design are critical in helping citizens realize their aspirations. Well planned cities attract investment."

ID123. "As a rapidly growing city Belmopan is poised to doing things right. The Master plan development included a collaborative approach within the community to develop this plan. The Citizens have ownership and it is up to the Local Government with assistance from the Central Government to implement the sustainable road map developed in collaboration with the UN-Habitat. The development of this plan is a definite milestone in planning in the City."

Excerpts from Q16 b on constraints on the importance of having a more compact/better integrated/better connected/socially inclusive/resilient to climate change/human rights based neighbourhood to achieve sustainable urban development.

ID15. "Johannesburg certainly has constraints, because of how the city was designed and how it has evolved. It firstly grew in a sprawled manner due to apartheid planning. this placed black residents in residential only dormitory townships on the outskirts of the city, that were intentionally single use (residential). This was so that people would have to shop and work (i.e. pay tax) in previously white parts of the city. During apartheid, modernist planning also influenced how the city grew in a sprawled and segregated fashion, with land uses separated and the city designed for cars. Post apartheid, car driven sprawl has continued and state housing policies have continued the creation of low intensity, single use, poor townships on the outskirts of the city, in order to provide bulk housing at low cost. All of this

has created a segregated sprawled city that is extremely difficult to retrospectively densify and diversity.

ID29. "A City that does not have the essential expert advice and in house technical staff to translate urban planning & design into actual and implementable plans is a factor that hinders effective advocacy and agreement between and among elected officials and constituents."

ID43. "Weak urban planning department with lack of technical manpower and modern tools/techniques; Lack of coordination and integration among urban planning and development organizations; Lack of knowledge of stakeholders on importance of urban planning and design; and Inadequacy of fund are the main obstacles. This is because most of the urban plans do not adequately and logically address the issues of compactness, integration, inclusiveness, climate change resiliency and human rights as per urban planning and design principles/modalities."

ID47. "Conceptually, compact cities are desirable but our cities already exist in different forms. It up to the city planners to tailor make a suit that fit their city but should be guided by reduced green development and promotion of infill and brown field development."

ID55. "Lack of regulations/legislations and political will to improve the quality of life in the city. A time framework does not exist to achieve necessary targets. Unplanned and not well designed neighbourhoods."

ID64. "Land is the base for any kind of development and it cannot be expanded as we want. Compact neighbourhood [sic, better integrated, socially inclusive and human right based neighbourhood [sic is possible only through urban planning and design under the guided land development. Simultaneously wider roads for easy connectivity, walkability, open spaces for recreation, basic and advance urban infrastructure is possible to develop in compact and integrated neighbourhood [sic."

ID69. "I am not sure that all ingredients though desirable are essential"

ID75. "Development is generally completed by private industry - those who build the housing/commercial/industrial uses and profit from the sale. It is unlikely that the consideration of human rights holds much of position in the private development of land. This emphasizes why planners and planning by government organizations and NGOs is so important - good regulations and policies will shape good development. "

ID79. "The place of cultural differentiation is not considered."

ID90. "Human rights based neighbourhood [sic should not be an issue if development agenda is driven by common good".

Excerpts from Q27 on recommendations to CPEDU to address in future to make the trainings/workshops/ activities more relevant, effective and efficient

ID8. "Periodic training/workshops/activities should be provided and should explore new potential areas. The designing training should be conduct to the municipality and ward office staffs for [sic] more holistic people centric approach for sustainable plan."

ID27. "More involvement of government officials, try to include especially the municipalities and district divisions in the training and capacity building processes."

ID29. "The training should also be extended to some other employees of the City who are involved in urban planning & design. One participant is not enough to make some difference as LGUs like us do not have the opportunity/ies [sic to avail of such trainings especially if these are self funded endeavours [sic]."

ID39. "Yes the future workshops/ trainings would be more effective for LDCs country. But the duration should be lengthen and should be more practical based (visiting related places. At every year one pilot project with sufficient funds should be taken at Least developed countries."

ID43. "1. Such training can be organized as residential ones and in different cities/regions to ensure participation of relevant stakeholders at equitable manner; 2. Duration of the training can be increased for 7 days for getting more involved in the classes/sessions, group discussions, exercises, field visits etc.; 3. More workshops and awareness campaign related events can be organized to make aware of the stakeholders on urban planning and design issues; 4. Some demonstrative events can be organized/replicated at city/town levels."

ID46. "Increase the pilot on-site project part in the workshop to ensure there is an increased peer to peer learning between participants and experts/trainers. And most importantly, experiential learning of an international cohort of participants working on a local issue with experts/trainers guidance would enhance the value of this initiative greatly."

ID58. "The target participants should include stakeholders, other than government officials, to make urban planning and implementation truly participatory and inclusive. This will give all stakeholders a feeling of ownership of the City."

ID79. "Follow ups."

ID83. "In my opinion the workshop can be made more effective and useful by involving the field experts having diverse experience in relevant field who can share the best practices in urban planning and design. Moreover the duration of workshop should be minimum one week because 3 days are insufficient to cover the prominent aspects of the subject matter."

ID88. "Give more time for the training. Involve more stakeholders in the training/workshops. Link the plans to implementation."

ID113. "Need to invite the Mayors, councillors, political leaders specially in the events."

ID115. "Follow up workshops of similar nature to ensure skills and knowledge transferred and acquired is actually being put to use."

Excerpts from Q39 on further comments

ID38. "I am working as a Town Planner at Municipality level in Bangladesh more than 7 (Seven) years. As a planner I have to link the upcoming new development issues in the city plan such Climate change adaptation and Resilient. Considering the issues i am looking for suitable training course for enhancing my carrier and contributing more to the city Development."

ID39. "We have many constraints to take and implement project as per your suggestion. So at every year one pilot project with sufficient funds should be taken at Least developed countries."

ID43. "Such events are really important for better urban planning and design of the cities/towns and newly urbanized areas. More stakeholders and wider areas need to be covered. The evaluation of the events is also important."

ID63. "CPEDU should consider having a dedicated focal point in partner cities. This makes coordination with various departments and development partners working with the partner city sustainable and beneficial. This could then ensure that policies, plans and new ideas are implemented. In addition, it enables tracking of progress and sharing information crucial for partnership."

ID83. "The participants should also be given opportunity to share their best practices, experiences, issues and problems so that at the end of the workshop some solution may be possible."

ID86. "For me it was okay; but I did not see any results for the government."

ID90. "Please provide regular updates. Include me in your circulation."

ID103. "I must confess that I was not aware how important and significant role the public spaces play and how very necessary it is to take into account the issues of human rights, inclusiveness, gender, ecology in urban planning not just for the sake of the SDG but for the sustenance of the quality life as a matter of course."
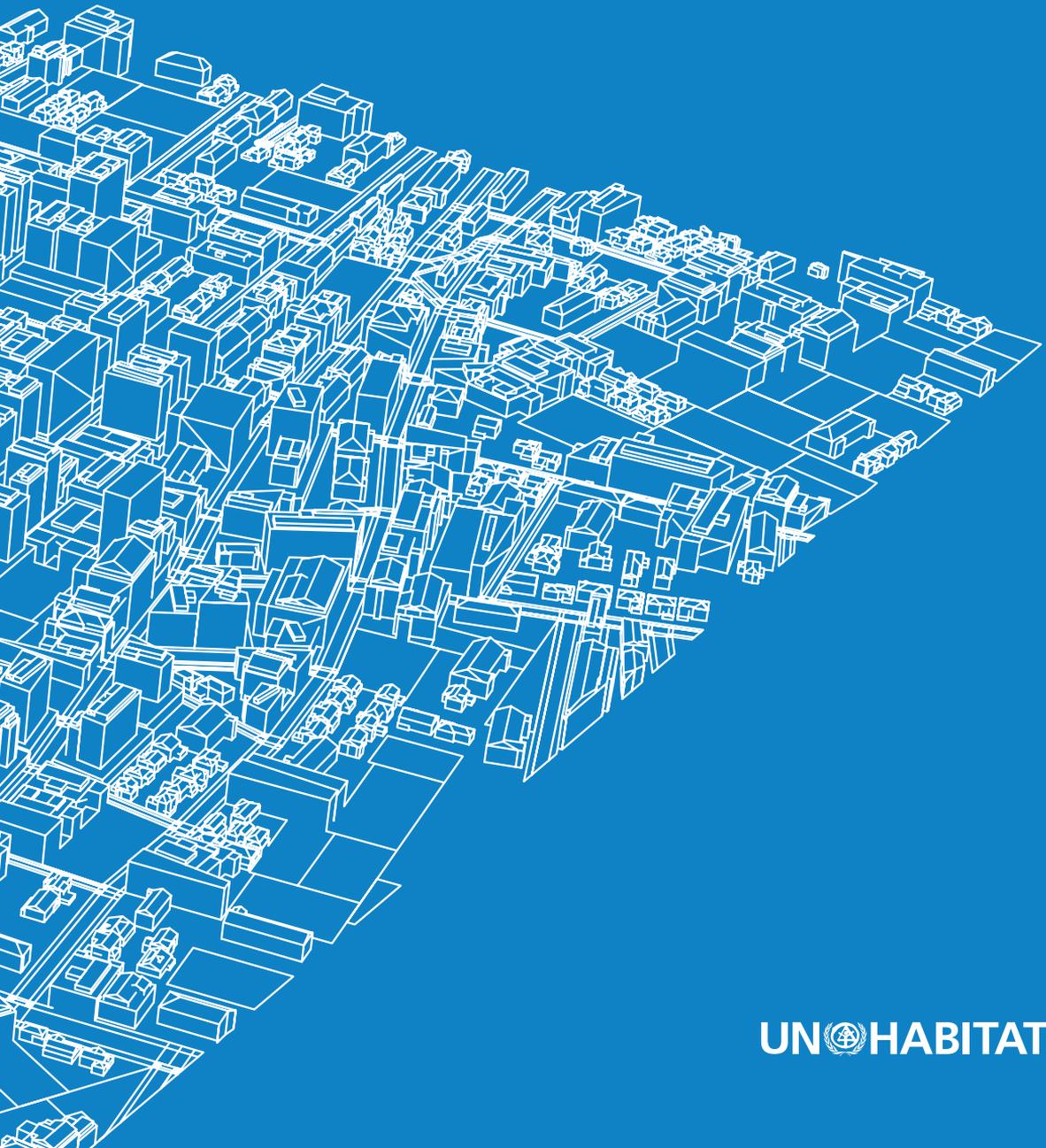
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