Evaluability Assessment
of the UN-Habitat Strategic Plan 2014-2019

Evaluation Unit
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Abbreviations and Acronyms

CPR	Committee of Permanent Representatives
GC	Governing Council
IMDIS	Integrated Monitoring and Documentation Information System
MTSIP	Medium-Term Strategic and Institutional Plan
OIOS	Office of Internal Oversight Services
PAAS	Project Accrual and Accountability System
RBM	Results-Based Management
SDGs	Sustainable Development Goals
SMART	Specific, measurable, achievable, relevant, time-bound
SWOT	Strengths, weaknesses, opportunities, and threats
UNDP	United Nations Development Programme
UN-Habitat	United Nations Human Settlements Programme
UNOPS	United Nations Office for Project Services
TOR	Terms of Reference

Executive Summary

The UN-Habitat Strategic Plan 2014-2019 was approved by the Governing Council (GC) at its twenty-fourth session in April 2013, through resolution 24/15, with the evaluation framework of a mid-term evaluation in 2016 and final evaluation in 2019.

Growing demand for evidence of UN-Habitat's performance lead the Office of Internal Oversight (OIOS) to recommend that UN-Habitat should consider an evaluability assessment of the strategic plan and determine the extent to which achievements of results planned could be evaluated in a reliable and credible manner.

The evaluability assessment was conducted by the Evaluation Unit, UN-Habitat in 2016, with the purpose of determining appropriateness of both the design and processes of the Strategic Plan and to provide findings and recommendations which UN-Habitat Management could use to improve the design so that evaluating mid-term and final evaluations of the Strategic Plan could be reliable and credible. For assessment, interviews were carried out with 17 key staff in UN-Habitat and in-depth review was done of UN-Habitat relevant documents.

Key Findings

- The Strategic Plan is viewed as a clear, relevant, and coherent plan that is relevant to organizational mandate, international agreements of which UN-Habitat is bound, including the Sustainable Development Goals (SDGs) and the New Urban Agenda. However, its formulation was not informed by analysis of UN-Habitat's wide experience in programming within both programmatic and humanitarian contexts, and with no analysis of risks.

- There is a disconnect between the Strategic Plan and the planning and programming at regional and country levels.

- The assessment finds the Strategic Plan serves as a guidance document for setting priorities of UN-Habitat but with gaps in its design. How realistic and comprehensive is the organizational goal to align other UN-Habitat policies, initiative, projects, projects, modalities and partnership is difficult to determine as it represent broad statement of intention.

- Principles of results-based management are applied to formulation of biennial strategic plans and biennial work programmes through which the Strategic Plan is implemented. However, some significant statements of intent found in the Strategic Plan were not incorporated in the programmes of work and budget and may be difficult to evaluate. In particular, cross-cutting issues pose challenges for evaluability.

- The Strategic Plan 2014-2019 lacks explicitly stated logical connections from outputs to outcomes and from outcomes to impact. However, the causal chains are established in the work programme and budget documents, together with indicators, baselines and targets. The work programme and budgets also provide the implementation strategies and external facts that are likely to affect the implementation.

- While causal-chains are present in the biennial work programmes and budget, it is difficult to understand how one level connects to the next level and the "if-then" statements need to be

established and some indicators do not adequately measure the specified expected accomplishments.

- The present support systems and mechanisms seem to facilitate the implementation of the Strategic Plan but there is a room for improvement. Developed policies, strategies, and other initiatives may improve the evaluability of the Strategic Plan if they are geared towards and used with unified strategic intent of supporting the achievement of planed results.

- The Strategic Plan is formulated with monitoring and evaluation frameworks and there are monitoring and evaluation systems in place. However, monitoring and evaluation functions, in practice, are weak because they are not adequately funded.

- The Integrated Monitoring and Documentation Information System (IMDIS) and the Project Accrual and Accountability System (PAAS), are not used at country levels where UN-Habitat projects and programmes are delivered

- Progress of the implementation of the Strategic Plan is impressive. However, actual translation of the Strategic Plan to country programmes still remains a challenge and there is a need to conceptualize and examine how the global Strategic Plan adds value to country programmes and activities in contexts on normative, operational and humanitarian work of UN-Habitat.

- Internal communication, coordination and knowledge management with in UN-Habitat need to improve.

Recommendations

1. The adoption of the Sustainable Development Goals in 2015 and the New Urban Agenda in 2016, and lessons learned from the implementation of the strategic plan 2014 -2019, should be considered in the revision of the Strategic Plan and with explicit consideration of what needs to improve within UN-Habitat and how changes made support efforts towards achieving the strategic result of the Strategic Plan.

2. Considering the growing demand for evidence of performance of organizations, the assessment recommends that the development of the work programme and budget 2018-2019 should focus on refining and adjusting causal chains to ensure that the Theories of Change between the UN-Habitat goal, organizational objective, sub-programme objectives, expected accomplishments and outputs are clear at all levels. Performance measures including indicators of achievement with the baselines and targets should be measurable.

3. Clear and consistent communication should be used about the understanding and logic of the Strategic Plan and how it relates to other UN-Habitat policies, strategies, initiatives, priorities and global commitments, including the SDGs and the New Urban Agenda, to all levels of UN-Habitat internal and external stakeholders to improve the likelihood of achieving intended results of the Strategic Plan.

4. UN-Habitat should consider all four cross-cutting issues, gender, youth, climate change and human rights to be under the Programme Division; it would ensure the mainstreaming of the these cross-cutting issues is systematic and not influenced by different Branches.

5. To enhance the evaluability of the Strategic Plan, UN-Habitat should put emphasis on monitoring its global, regional and country programmes and project through PAAS. The

monitoring should be geared towards project/programme outcomes and results that contribute to the results of the Strategic Plan. The organization should also have a clear approach to measurement and monitoring and reporting of results at global, regional and country level.

6. UN-Habitat's ability to demonstrate evidence of performance towards its goal and strategic result depends on improving systems and capacity to consistent of quality data.   Current monitoring and evaluation resources are not sufficient to effectively measure and report comprehensively on performance of the Strategic Plan. UN-Habitat should investment in monitoring and evaluation functions at UN-Habitat Headquarters and at regional and country levels.

7. Management should consider a series of strategic evaluations of "flagship" programmes to establish the extent to which UN-Habitat's work achieve the strategic result of the Strategic Plan. This will increase the evaluability of the Strategic Plan.

1. Introduction

The UN-Habitat Evaluation Unit conducted an evaluability assessment of the UN-Habitat Strategic Plan for 2014-2019 in 2016. The Strategic Plan sets the organization's vision, mission, goal, strategic results with in the overall purpose of realizing a world with economically productive, socially inclusive and environmentally sustainable cities and other human settlements. Broadly stated, an evaluability assessment is a systematic review of a proposed intervention/strategy/ activity intended to determine whether its objectives are adequately defined and is in a condition to be evaluated.

As per the Terms of Reference (Annex 1), the purpose of this evaluability assessment is to: (a) inform UN-Habitat Management and key stakeholders regarding how robust the design of the Strategic Plan is to be readily evaluated in future; and (b) provide recommendations which UN-Habitat Management can use to improve and to revise the Strategic Plan. The main audience of the evaluability assessment is the UN-Habitat Management and the Office of Internal Oversight Services (OIOS), who recommended that UN-Habitat should consider an evaluability assessment of the Strategic plan 2014-2019.[1]

1.1 Background

In April 2011, at its twenty-third session, the Governing Council (GC) of the United Nations Human Settlements Programme requested the Executive Director to develop, in consultation with the Committee of Permanent Representatives, a Strategic Plan for 2014-2019. The Strategic Plan was developed and approved by the GC at its twenty-fourth session in April 2013, through resolution 24/15. The GC also requested UN-Habitat to continue strengthening implementation of results-based management in all the programmes, projects, policies and activities and to maintain emphasis on results for the achievement of the programme objectives, and for the efficient and transparent use of resources. Hence, the Strategic Plan also has a results framework and a plan for measuring performance[2].

1.2 Objectives of the Evaluability Assessment

The evaluability assessment examines the appropriateness of both the design of the Strategic Plan 2014-2019 and its supporting processes for implementation, monitoring and reporting. It identifies strengths and weaknesses in the design and provides recommendations for corrective measures to improve the quality of the plan. It was framed around eight objectives:

(i)   Assess context, relevance, clarity and coherence of the Strategic Plan Design;
(ii)   Assess the quality of the design for achievement of results;
(iii)   Assess SMARTness of the results framework (Theory of Change)
(iv)   Assess appropriateness of organizational setting and support systems put in place to facilitate the implementation of the Strategic Plan;
(v)   Assess the monitoring and evaluation systems for the Strategic Plan;
(vi)   Assess initial progress of implementation and assess what has changed since the implementation of the plan;
(vii)   Assess readiness of the Strategic Plan for mid-term evaluation to take place in 2017 and final evaluation in 2019.

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[1] Evaluation of the United Nations Human Settlements Programme: Report of the Office of Internal Oversight Services (E/AC.51/2015/2).

[2] Institutionalizing Results Based Management: Performance Measurement Plan for the Six Year Strategic Plan (2014-2019.

(viii) Formulate recommendations on the purpose, scope, timing and design of the mid-term and final evaluations of the Strategic Plan.

1.3   Assessment Approach, Focus and Methods

The evaluability assessment was conducted by the Evaluation Unit, supported by the Quality Assurance Unit, Management and Operations Division, evaluation focal points and project managers responsible for the implementation of the Strategic Plan. It was a participatory and a consultative exercise. It relied on two main methods: (i) Review of relevant documents (a list of documents reviewed is in Annex 2), and (ii) interviews and consultations. Semi-structured interviews carried out at UN-Habitat Headquarters and by Skype with staff at regional offices provided information relevant to the assessment's questions and additional information. A list of interviewed staff is in provided in Annex 3.

The assessment is grounded in areas of analytic focus which are: assessing context, relevance, clarity and coherence of the Strategic Plan; examining logic, causal chains and theory of change; examining performance measures, including indicators, data availability, data management, monitoring and reporting systems; assessing evaluation systems to demonstrate results achieved; assessing initial progress of implementation of the Strategic Plan; determining the readiness of the Strategic Plan for midterm evaluation in 2017 and final evaluation in 2019. Table 1 provides an overview of the assessment's objectives and key questions.

Table 1: Evaluability assessment objectives and key questions.

Objective 1: Assess the context, relevance, clarity and coherence of the Strategic Plan's design.
- How relevant is the Strategic Plan in relation to UN-Habitat mandates and priorities of Member States and other UN-Habitat partners?   - Does the Strategic Plan clearly identify the problem and beneficiaries?   - How coherent is the Strategic Plan with other planning documents, including the biennial strategic plans and programme of work, the 2030 Agenda for Sustainable Development, and New Urban Agenda,   - How is the Strategic Plan aligned with programmes and projects implemented in different countries?
Objective 2: Assess the quality of the design of the Strategic Plan for achievement of intended results.
- Is there clarity of the strategic intent of the Strategic Plan?   - Does the Strategic Plan articulate activities, outputs, results, and resources to achieve the results? Are risks and assumptions well-articulated?   - Does the Strategic Plan translate to regional and national priories?   - Are cross-cutting issues mainstreamed and are there mechanisms in place to measure crosscutting priorities?   - What opportunities and challenges relate to translating the Strategic Plan into country programmes and projects?
Objective 3:   Assess SMART-ness of the results framework (Theory of Change), i.e., the existence of clear strategic results, expected accomplishments and indicators to measure results.
- To what extent do the Strategic Plan and its results framework present a clear results causal chain?   - Is the strategic intent supported by Theory of Change, having explicit results framework with clear expected accomplishments, baselines and targets, and indicators of

achievement to measures results?
• Are indicators used good enough to measure the results articulated and have realistic baselines and targets?

Objective 4: Assess appropriateness of organizational setting and support systems to facilitate the implementation of the Strategic Plan
• Is organization setting and operational model facilitating implementation of the plan?
• Are systems in place to link resource allocation to intended results?
• To what extent do the support systems (financial and human resources, administrative procedures, information technology etc.) support the implementation of the Strategic Plan?
• Are there systems to manage partnerships?

Objective 5: Assesses monitoring and evaluation systems for the Strategic Plan
• Are there monitoring and evaluation systems in place and used to gather information on the implementation of the Strategic Plan?
• Does the Strategic Plan have evaluation frameworks and resources to conduct evaluations?
• How is the work at country level, where most of the results are achieved, monitored and assessed?

Objective 6: Assess initial progress of implementation – what has changed since the implementation of the plan?
• To what extent is the progress in the implementation of the Strategic Plan?
• What are main strengths and opportunities, threats and challenges to the implementation of the Strategic Plan?

Objective 7: Assess readiness of the Strategic Plan for mid-term evaluation to take place in 2017 and final evaluation in 2019.
• Is the current Strategic Plan evaluable for mid-term and final evaluation?

Objective 8: Formulate recommendations to guide enhancements that may be required regarding the design of the Strategic Plan.
• How can the design of the Strategic Plan be enhanced based on the evidence provided by the evaluability study?

1.4 Limitations to the Evaluability Assessment

Budgetary constraints forced trade-offs on the evaluability assessment. It was initially anticipated that evaluability study would be undertaken by external consultants. Lack of funds necessitated the Evaluation Unit to undertake the study, and the assessment relied heavily on perception of those interviewed and document reviews. Face-to-face interviews were conducted with staff at Headquarters and Skype interviews with regional level staff. It was not feasible to conduct a detailed examination of performance measurements contained in the Performance Measurement Plan for the Strategic Plan to validate data sources, data collection methods, who collects the data, frequency of data collection, difficulty in data collection, who analyzes the data and how it is used. As a result, the evaluability study had trade-offs in methodology and depth of analysis, but its offers key findings and recommendations that can be used by UN-Habitat Management to improve the next Strategic Plan and UN-Habitat's operations and work.

2.   Scope and Focus of the Evaluability Assessment: Strategic Plan 2014-2019

The Strategic Plan 2014-2019 replaced the UN-Habitat Medium-Term Strategic and Institutional Plan (MTSIP) 2008-2013. Considering the mandate of UN-Habitat, the global urban challenges and opportunities and emerging urban trends, and building on lessons learned from the implementation of the MTSIP for 2008-2013, the Strategic Plan 2014-2019 was developed through a highly consultative process.

2.1   Guiding Principles for Preparation of the Strategic Plan

The preparation of the Strategic Plan was guided by the following basic principles:
a)   The Strategic Plan reflects the official mandates of UN-Habitat, i.e., the Habitat Agenda, the Millennium Development Goals, Sustainable Development Goals, and key General Assembly and Governing Council resolutions;

b)   While the plan reflects some continuity from the Medium-Term Strategic and Institutional Plan, 2008-2013 in terms of focus areas and implementation approaches, it also responds to emerging trends, challenges and opportunities;

c)   Gender, youth, partnerships, outreach and communication, capacity development, climate change and best practices are systematically reflected in all substantive focus areas as cross-cutting issues;

d)   The Strategic Plan's focus areas are also the sub-programmes in the biennial strategic framework and work programme and budget, thus ensuring complete alignment among the three documents;

e)   The Strategic Plan contains a results framework developed before its implementation, unlike the Medium-Term Strategic and Institutional Plan 2008-2013, thus ensuring that performance reporting on the six-year Strategic Plan and the biennial work programme and budget are unified into a single annual report;

f)   The Strategic Plan is implemented through consecutive strategic frameworks and work programmes and budgets;

g)   The Strategic Plan is an outcome of both top-down and bottom-up preparation processes, i.e., combining the Executive Director's new vision and strategic direction, on one hand, with focus areas, regional offices to some extent, a results framework and other components of the plan elaborated through a participatory process that included an open-ended contact group of Member States through the Committee of Permanent Representatives (CPR) and a strategic planning committee comprised of UN-Habitat staff;

h)   The Strategic Plan will be implemented in line with the urgent need for closer cooperation and coordination with other United Nations agencies (One UN approach) and with a view to avoiding overlapping and duplicating programmes and activities.

2.2 Strategic Approach

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

Based on consultations with both internal and external stakeholders and analysis of the evolving development context, the Strategic Plan frames the **vision** of UN-Habitat as: *"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."*

Linked to UN-Habitat's **mission** of responding 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 the **overall goal** of UN-Habitat is*: "well-planed, 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".*

The **strategic result** of the plan is*: "Environmentally, economically and socially sustainable, gender-sensitive and inclusive urban development policies implemented by national, regional and local authorities improves the standard of living of the urban poor and enhanced their participation in the socio-economic life of the city".* [3]

2.3 Focus Areas and Strategic Results of the Strategic Plan

Table 2 provides the seven focus areas and their strategic results.

Focus Area	Strategic Result
Focus area 1: urban legislation, land and governance	City, regional and national authorities have established systems for improved access to land, adopted enabling legislation, and put in place effective decentralized governance that fosters equitable sustainable urban development, including urban safety.
Focus area 2: urban planning and design	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.
Focus area 3: urban	City, regional and national authorities have adopted or

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[3] Addendum: Draft strategic plan 2014-2019 of the United Nations Human Settlements Programme HSP/GC/24/5/Add.2

economy	implemented improved urban strategies and policies supportive of local economic development, inclusive economic participation, creation of decent jobs and livelihoods, and enhanced municipal finance.
Focus area 4: urban basic services	City, regional and national authorities have implemented policies for increasing equitable access to urban basic services and improving the standard of living of the urban poor.
Focus area 5: housing and slum upgrading	City, regional and national authorities have implemented policies for increasing access to adequate housing and improving the standard of living in existing slums.
Focus area 6: risk reduction and rehabilitation	Cities have increased their resilience to the impacts of natural and human-made crises, in an equitable manner, and undertaken rehabilitation in ways that advance sustainable urban development.
Focus area 7: research and capacity development	Knowledge of sustainable urbanization issues disseminated, and capacity enhanced at international, national and local levels in order to improve formulation and implementation of evidence based policies and programmes and to improve public awareness of the benefits of and conditions necessary for sustainable urbanization.

The focus areas correspond to seven branches: (a) urban legislation, land and governance; (b) urban planning and design; (c) urban economy; (d) urban basic services; (e) housing and slum upgrading; (f) risk reduction and rehabilitation; (g) research and capacity development, four regional offices, three liaison offices, the office of the executive director, and three divisions for management of programme, operations and external relations, which correspond to the seven sub-programmes.

In addition to focus areas results, the Strategic Plan specifies (on page 7) that Gender, youth, partnerships, outreach and communication, capacity development, climate change and best practices are systematically reflected in all substantive focus areas as cross-cutting issues.

2.4 Work Programmes and Budgets for 2014-2015, 2016-2017 and 2018-2019

The Strategic Plan does not contain a logic causal chain (Theory of Change), but elaborates that the Strategic Plan sets a basis for the preparation of the more detailed biennial result frameworks and would be implemented through biennial work programmes and budgets for 2014-2015, 2016-2017 and 2018-2019 (page 14). The biennial programme of work and budgets build on the Strategic Framework and biennial strategic frameworks to provide causal links of objectives, expected accomplishments, indicators of achieve achievement, performance measures, outputs and results. They also provide the implementation strategy and external factors that might influence the implementation for each seven sub-programmes that corresponds to focus area of the Strategic Plan. Also, the executive management, and programme support functions are included. Review of the Biennial frameworks and programme of work for 2014-2015 and 2016-2017 revealed more alignment of focus area results and objectives of each sub-programme.

2.5   Performance Measurement Plan for the Strategic Plan 2014-2019

The Strategic Plan provides the organizational strategic results, focus area results and their indicators. The Performance Measurement Plan is a result of a baseline study that was developed 2014. It contains performance data sheets with detailed information, including indicator descriptions, sources of data, data collection methodology and milestones towards planned results. They also contained base line data and targets for 2015, 2017 and 2019 for each indicator.

The performance Measurement Plan was intended to be the basis for monitoring and reporting on the implementation of both the Strategic Plan and the biennial work programmes and budgets. Mid-term evaluation and final evaluation were specified in the Strategic Plan that they would be carried out in 2016 and 2019 respectively.

3.   Key Findings

3.1   Context, Relevance, Clarity and Coherence of the Strategic Plan's Design

The evaluability was assessed by reviewing the current Strategic Plan 2014-2019; associated biennial strategic frameworks and work programme and budgets for 2014-2015 and 2016-2017; and the Performance Measurement Plan for 2014-2019 to determine whether their designs provides adequate framework to enable the evaluation of the Strategic Plan 2014-2019 at a later stage.

The Strategic Plan serves to establish and implement a vision within the organization and to support the organization to make choices and respond to mandates and emerging issues. A strategic plan should contain the following elements: (a) clear vision and objectives; (b) scope and focus; (c) well-defined principles and standards for measuring them; (d) articulation of the implementation strategies; (e) capacity and resources to match with objectives, focus and implementation strategies; and (f) explicit results to be achieved and indicators for measuring progress.

Most of the interviewed staff indicated that the Strategic Plan was developed in a participatory and consultative manner involving UN-Habitat staff, CPR and other stakeholders and placed emphasis on sustainable cities. Some staff indicated that the development process was management driven rather than stakeholders/partners driven. More than two thirds of staff interviewed indicated that the Strategic Plan was better than previous MTSIP in terms of context, relevance, clarity, and coherence; and there was a good effort to bring together headquarters and country's normative and operational work. Interviewed staff also indicated that the Strategic Plan provides a framework for setting UN-Habitat priorities and services a guidance and reference document for UN-Habitat's work, after the reform of the organization. Other interviewed staff questioned the added value of the Strategic Plan vis a vis other organizational change in initiatives, work programmes, polices and strategies.

This evaluability assessment found that the Strategic Plan is relevant to UN-Habitat's organizational mandate and to the international agreements which UN-Habitat is bound to, including the 2030 Agenda for Sustainable and the New Urban Agenda. The Strategic Plan specifies seven focus areas (see table 3) that are crucial to achieving the overall development goal of UN-Habitat and have a potential for catalyzing change at urban level through implementing normative and operational work. The seven focus areas, which correspond to

seven sub-programmes of the work programme and budget, work with four regional and country offices to implement global, regional and country programmes and projects that respond to UN-Habitat mandates, Member states priorities, and are of interest to other partners like the donors and beneficiaries.

The Strategic Plan emphasizes UN-Habitat's catalytic role in monitoring and assessment of urbanization matters, as well as in national policy and institutional capacity development; and working in partnership with key partners, including national governments, local authorities, non-governmental organizations and private sector and being a leading authority in urban issues. Many of the interviewed staff viewed the Strategic Plan as ambitious, in terms of what was intended to be achieved and resources at hand, both in terms of human and financial resources. Some felt it was more of a headquarters document rather than regional and country offices document.

Although the 2030 Agenda for Sustainable Development with its 17 Sustainable Development Goals (SDGs) were not developed at the time the Strategic Plan was developed, there is a high degree of concurrence between SDGs and Strategic Plan's core components, specifically the emphasis place on sustainable cities (SDG 11). This may be attributed to significant contribution by UN-Habitat to global consultations on the post 2015 development Agenda. The 2030 Agenda for the Sustainable Development will guide the work of development actors, including UN-Habitat for the next 15 years. Table 3 indicates alignment of Strategic Plan focus areas and Sustainable Development Goals Targets. Table 3 shows coherence of UN-Habitat's focus areas with the SDG's Goal 11 targets.

Coherent with the Strategic Plan is also the New Urban Agenda that commits to planning, financing, developing, governing, and managing cities and human settlements for sustainable development. The implementation of the New Urban Agenda is organized along the UN-Habitat three-pronged approach of Urban Governance and supportive framework; Urban Planning and Managing Urban Spatial Development; and Means of Implementation, including financial resources of Urban Economy.

Table 3: Coherence of the Strategic Plan with SDGs

UN-Habitat's Focus Areas 2014-2019	Sustainable Development Goal 11 Targets
Focus area 1: urban legislation, land and governance	Target 1.4: By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance.
Focus area 2: urban planning and design	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. 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.
Focus area 3: urban economy	Target 11.7 c: Support least developed countries, including through financial and technical assistance, in building sustainable and resilient buildings utilizing local materials.

Focus area 4: urban basic services	Target 11.2 By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons.
	Target 6.1; By 2030, achieve universal and equitable access to safe and affordable drinking water for all.
Focus area 5: housing and slum upgrading	Target 11.1: By 2030, ensure access for all to adequate safe and affordable housing and basic services and upgrade slums
Focus area 6: risk reduction and rehabilitation	Target 11.7b: 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.

To ensure well alignment with the 2030 Agenda for Sustainable Development, the New Urban Agenda, other recent international agreements as well as lessons learnt in the implementation of the Strategic Plan, UN-Habitat is revising Strategic Plan 2014-2019 for consideration and approval by the GC in April 2017.

Interviews with regional offices staff revealed that the Strategic Plan is not guiding the work that regional offices and countries do or influenced by country-stated priorities. Most programming at country level follows United Nations Development Assistance Framework which means most UN-Habitat projects and programmes are aligned to country programming rather than the UN-Habitat Strategic Plan. In most cases, implementation of the Strategic Plan at regional and country level depends on country-by-country selection of projects and donor priorities. Consequently, it is difficult to assess and aggregate what UN-Habitat is achieving towards its organizational strategic result.

Although all seven focus areas of UN-Habitat are all relevant, some interviewed staff indicated that formulation of the Strategic Plan was not based on comparative advantage, complementarity of other actors and predictable resources. Some said that UN-Habitat's wide experience and knowledge in programming within both development and humanitarian contexts to address vulnerabilities and development of programmatic responses was not used to outline areas of strategic importance. They argued that if such analysis was used, then a situation would not exist where UN-Habitat has a large portfolio (over 50%) in humanitarian and only one staff in the Branch of Risk Reduction and Rehabilitation.

Key finding 1: The Strategic Plan is viewed as a clear, relevant, and coherent plan that is relevant to organizational mandate, international agreements of which UN-Habitat is bound, including the SDGs and the New Urban Agenda. However, its formulation was not informed by analysis of UN-Habitat's wide experience in programming within both programmatic and humanitarian contexts, and with no analysis of risks.

Key finding 2: There is a disconnect between the Strategic Plan and the planning and programming at regional and country levels.

3.2   Quality of the Strategic Plan Design

To determine the quality of the strategic plan, the assessment considered the degree to which each level of the plan is clearly articulated, understood, comprehensive and realistic. Any Strategic Plan should articulate clearly what needs to change at each level and why, and what the organization will do to bring that change.

The Strategic Plan 2014-2019   highlights UN-Habitat's: (i) strategic choice including vision, mission, goal, organizational strategic result, focus areas results and their indicators of achievement; and (ii) strategy for implementation including implementation phases, catalytic role and partnerships, risk management, organizational structure and management, performance measurement, and finance and human resources mobilization approach. It further elaborates that implementation of the plan will be through Biennium work programme and budgets of 2014-2015, 2016-2017 and 2018-2019.

Review of programme budgets for 2014-2015 and 2016-2017 revealed a great alignment of the Strategic Plan with the work programmes. The work programmes articulate results chain, specifying, objectives, and expected accomplishments, indicators of achievement with baselines and targets, and outputs. Resource requirements are also stated, and risks and assumptions outlined as the external factors.

Most of the interviewed staff felt that the Strategic Plan was better designed than the previous MTSIP in terms of serving as a source of guidance for setting priorities of the organization. Many of the interviewed staff felt that inclusiveness and inputs from the members states (CPR) compromised the quality of the Strategic Plan and that it is difficult to see how the Strategic Plan will translate into what needs to change. Again, most of the interviewed staff indicated that linkages between the Strategic Plan and regional and country priories are not clear.

The Strategic Plan also specifies gender, youth, partnerships, outreach and communication, capacity development, climate and best practices to be systematically reflected in all substantive focus areas as cross-cutting issues (page 7).   However, only gender and partnerships are programmed as cross-cutting issues, with expected accomplishment, indicator of achievement, baselines and targets under the Programme Division in the work programme and budgets of 20014-2015 (page 69). For the 2016-2017 work programme, gender, human rights, youth and climate change were programmed as cross cutting issues (page 56). It means no efforts or attempts to programme outreach and communication, capacity development and best practices as cross-cutting issues as originally envisaged in the Strategic Plan have been made. Even for programmed cross-cutting issues (gender, youth, human rights and climate change, their performance baselines and targets are questionable since they are not appearing in the Performance Measurement Plan. Although there have been efforts to establish cross-cutting makers in projects planning, with questions to demonstrate that cross-cutting issues are adequately considered, at sub-programme and programme level, these cross-cutting issues should be evaluable with comprehensiveness.

Several challenges were found regarding the evaluability of human rights. First, both the Strategic Plan and work programmes are not clear on human rights approach UN-Habitat will

apply, since there are 30 articles on different human rights (Universal Declaration of Human Rights 2015). Second, the measurement of progress in the area of human rights, like of other cross-cutting issues, is not elaborated and is tied to only one indicator (i.e., increase in % of human settlements programmes and projects reflection human rights). In addition, although work on cross-cutting issues follow a two-track approach consisting of mainstreaming and issue-specific projects; it is not clear, with exception of gender, how cross-cutting issues are integrated in the work of all focus areas. Apart from Gender, which located in Programme Division, other cross-cutting issues are located in different branches, which minimize their potential of being main-streamlined in all UN-Habitat's work. Efforts to coordinating all cross-cutting issues under one office may improve their evaluability.

The majority of staff interviewed felt that the intent of the Strategic Plan is clear and there were systematic efforts to make it explicit by developing a results framework and the performance Measurement Plan. However, just over half of interviewed staff felt that although the Strategic Plan was understood, it may not necessarily have buy-in of all stakeholders since the plan is not commensurate with resources (both human and financial).

Key finding 3: The assessment finds the Strategic Plan serves as a guidance document for setting priorities of UN-Habitat but with gaps in its design. How realistic and comprehensive is the organizational goal to align other UN-Habitat policies, initiative, projects, projects, modalities and partnership is difficult to determine as it represent broad statement of intention.

Key finding 4: Principles of result-based management are applied to formulation of biennial strategic plans and biennial work programmes through which the Strategic Plan is implemented. However, some significant statements of intent found in the Strategic Plan were not incorporated in the work programme and budgets may be difficult to evaluate. In particular, cross-cutting issues pose challenges for evaluability.

3.3 Clarity of the Causal Chain – Theory of Change

The assessment of clarity of the causal chain was conducted by applying principles of results-based management (RBM) to determine whether there was causal chains/theory of change connecting outputs, expected accomplishments, and objectives of concerned focus areas/sub-programmes and their link to overall organizational strategic result and goal. The assessment also examined the drivers necessary to produce the results; assumptions likely to affect the achievement of the results; and understanding of the broader context in which the strategy operates.

As a stand-alone document, the Strategic Plan provides the organizational goal, its strategic result, focus areas results and their indicators of achievement. Although it is specified that the Strategic Plan was developed following the analysis of UN-Habitat's strengths, weaknesses, opportunities and threats (SWOT), the results framework presented on page 15 of the Strategic Plan (HSP/GC/24/5/Add.2) lacks the theory of change.

Results-based management (RBM) is applied in development of the biennial strategic frameworks and programme of work and budgets and in these two documents, causal linkages of results are evident, with clear objectives, expected accomplishments, indicators of achievement, baselines and targets, and outputs. Key strategies for implementation and assumptions (detailed as external factors) that may affect the implementation are also outlined. However, the challenge

to the evaluability lies in the lack of explicitly stated logical connections of the causal chain from inputs, outputs, expected accomplishments, strategic results of each sub-programme to organizational strategic results. The way the causal chain is described in the work programmes, it is difficult to understand how one level leads or contributes to another level.

To ensure effective planning, monitoring and reporting on progress made towards implementation of the strategic plan, a baseline study was carried out and resulted in developing the Performance Measurement Plan for the Strategic Plan that contains performance data sheets. The data sheets provide detailed information, including indicator descriptions, sources of data, data collection methodology and baselines and targets. This evaluability assessment finds that objectives of sub-programmes (focus areas results) lack the indicators to measure the specified results and some indictors are not good enough to measure the specified expected accomplishments. For example, on page 23, under sub-programme 1, increased capacity cannot be adequately measured by an increase in number of consultative legal reforms or increase in number of programmes.

Key Finding 5: The Strategic Plan 2014-2019 lacks explicitly stated logical connections from outputs to outcomes and from outcomes to impact. However, the causal chains are established in the work programme and budget documents, together with indicators, baselines and targets. Also, the work programme and budgets provide the implementation strategies and external facts that a likely to affect the implementation.

Key Finding 6: While causal-chains are present in the biennial work programmes and budget, it is difficult to understand how one level connects to the next level and the "if-then" statements need to be established and some indicators cannot measure the specified expected accomplishments.

3.4   Appropriateness of Mechanisms and Support Systems for Implementation of the Strategic Plan

UN-Habitat has undergone organization reform process since 2011 and is operating using the project-based model that is intended to increase efficiency, productivity, effectiveness. The organization delivers its work through seven branches, each corresponding to a sub-programme and a focus area. The organization has developed regional strategies, several policies, systems and procedures that are expected to support the implementation of the Strategic Plan. The organization also has the accountability framework in place.

However, most work-related systems and human and financial systems used are UN system wide (i.e., IMDIS, Inspira, Umoja) and taking into account that UN-Habitat works mostly at country level and in emergency situations, using these system wide systems at country level has always been a challenge.   Umoja system which has been introduced as an integrated single platform for all financial transactions has proved to have many challenges and it is and too early to assess its effectiveness. Recruitment of staff through Inspira has proved cumbersome and UN-Habitat is turning to UNOPS for consultant recruitments. A country level, UN-Habitat uses UNDP systems.

IMDIS specifically monitors the work programme and budget and PAAS is used for implementation of projects and programmes. PAAS system (for monitoring purposes) is not

working. This is because of inadequacy of resources to put the monitoring data from projects. Monitoring the work programme through IMDIS is also challenged by lack of information from country activities. The monitoring module in IMDIS is structured according to the work programme and the country level staff claim it cannot capture what they do and achieve.

The implementation of the Strategic Plan is further limited by lack of clarity and linkages between global initiatives and country operations. Review of most global programmes indicates their objectives are aligning with the objectives of the Strategic Plan, but for country operations the alignment is far less clear.

More than half of the interviewed staff indicated that although UN-Habitat delivers it work in partnership with others, there is no effective mechanism in place to govern and manage its partnerships. This means it is difficult to assess what UN-Habitat partners achieve and how it contributes to overall goal and strategic result of UN-Habitat. Perhaps the new developed UN-Habitat Partnership Strategy will guidance of engagement and accountability of UN-Habitat partners.

Similarly, interviewed staff indicated that allocation of resources across the seven focus areas is not based on any analysis of resource requirements. Two staff members interviewed indicated that the Strategic Plan was not costed, and this was a lost opportunity to use the Strategic Plan as a fund-raising document. It was also raised by interviewed staff that decline in core resources is affecting the implementation, monitoring and reporting, end evaluation of the Strategic Plan.

Key Finding 7: The present support systems and mechanisms seem to facilitate the implementation of the Strategic Plan but there is a room for improvement. Developed policies, strategies, and other initiatives may improve the evaluability of the Strategic Plan if they are geared and used with unified strategic intent of supporting the achievement of planed results.

3.5   Appropriateness of Monitoring and Evaluation Systems

The Strategic Plan specifies (on page 21) that the plan will be systematically monitored in order to effectively manage the achievement of results, and that monitoring activities will be based on the results frameworks, including baselines of the biennial work programmes and budgets. It also indicates that reporting will be based on information and data collected on continuous basis and entered into Project Accrual and Accountability System (PAAS) and IMDIS. Although UN-Habitat has committed to a culture of results and has put in place monitoring and evaluation systems lack of sufficient resources for monitoring and evaluation functions makes measuring results difficult.

In practice, UN-Habitat is supposed to monitor and track the progress made in implementing the Strategic Plan, work programme and budget and programmes and projects through PAAS. However, he main reporting mechanism on implementation of Strategic Plan is the annual performance report, which complied manually through information templates that are filled at branch, regional and country levels, and complied by the Quality Assurance Unit located in the Management and Operations Division. This presents a challenge in terms of validity of data.

Many of the interviewed staff indicated that UN-Habitat is challenged by managing multiple monitoring and reporting systems (i.e., PAAS, IMDIS, Umoja, Partners Database, etc.) and these systems are not compatible. Many programme managers argue that reporting requirements are

complex, have high transaction costs and consume inordinate amount of time, especially at critical reporting peaks, disrupting them from implementing development projects and the monitoring, reporting and evaluation are not prioritized and allocated adequate resources. This has resulted data gaps and difficult to track and assess what the UN-Habitat work is achieving. Regional staff indicated that reporting through IMDIS is impossible for the work they do and is not a worth effort and there is no reporting capacity at regional and country levels.

Although there has been progress in improving the evaluation culture in UN-Habitat notably by establishing the Evaluation Unit in 2012, developing the UN-Habitat Evaluation Policy in 2013, and supporting frameworks for conducting evaluations, the capacity to plan, manage, conduct, report and follow up is still inadequate. The financial and human resources for the valuation function are inadequate to promote and facilitate a comprehensive evaluation function that would provide critical and timely information on achievement of results, strengthens decision-making, accountability and learning.

The Strategic Plan specifies that there will be mid-term evaluation in 2016 and final evaluation in 2019. The mid-term evaluation is intended to assess the main building blocks of the Strategic Plan, its implementation and give recommendations for improvement / adjustment of the plan, if necessary. It will provide evaluation evidence on the relevance, efficiency and effectiveness of the UN-Habitat's work under the Strategic Plan. In addition to evaluation frameworks of the Strategic Plan, the organization has created a set of research priorities, including inequality index estimation, around the Strategic Plan and its outcomes. However, inadequate investment in evaluation may not make it possible to conduct the mid-term evaluation. Already, the management has started revision of the Strategic Plan and postponed the mid-term evaluation. It is important that the nature and resources for the mid-term evaluation and final evaluation of the implementation of the Strategic Plan are identified in the relevant work programme and budgets. At country level, where implementation of programmes and projects occur, there no monitoring and evaluation capacity and no national monitoring systems specific for UN-Habitat are put in place.

Key Finding 8: The Strategic Plan is formulated with monitoring and evaluation frameworks and there are monitoring and evaluation systems in place. However, monitoring and evaluation functions, in practice, are weak because they are not adequately funded.

Key Finding 9: Integrated Monitoring and Documentation Information System (IMDIS) and the Project Accrual and Accountability System (PAAS), are not used at country level to monitor implementation of UN-Habitat projects and programmes.

3.6   Initial Assessment of Processes and Implementation of the Strategic Plan

The Strategic Plan 2014-2019 is being implemented through three successive biennial programmes of work and budgets (2014-2015, 2016-2017 and 2018-2019). Progress made in implementation of the Strategic Plan and work programme and budget is reported through UN-Habitat Annual Progress Report. According to the 2015 annual report, delivery rate of the 2014-2015 work programme and budget was 92%.

About two thirds of interviewed staff indicated that involvement and engagement of UN-Habitat partners at policy and programme levels remain a challenge as some partners are not conversant with how to get involved with UN-Habitat programmes. However, engagement with the Committee of Permanent Representatives (CPR) during the preparation of the results-based

strategic framework and work programme and budget documents, and follow-up to the implementation of the Strategic Plan has been ensured through consultations and sharing of documents.

According to UN-Habitat *modus operandi*, most programming occurs in close consultation with governments and other UN-Habitat partners at the regional and country levels and the results UN-Habitat seeks are achieved in partnership with governments and other partners. The challenge is how to attribute and determine what UN-Habitat is achieving. Mechanisms should be found to aggregated results meaningfully at both the country and global levels and these results should remain central to the implementation of the Strategic Plan.

Review of the Regional Strategic Plans developed before 2016 show that these does not clearly describe the planned regional strategies and activities towards the Strategic Plan within the context and priorities of regional concern. Most regional staff interviewed indicated that regional strategies have resulted from priorities across country offices in the regional and alignment to those priorities.

The adequacy of financial and human resources to achieve the planned results is also difficult to determine. This is because the results to be achieved are not associated with evidence-based resource requirements.

The Strategic Plan specifies that during the implementation of the Plan, UN-Habitat would actively work towards consolidating and broadening the existing donor base and increase the project portfolio and non-earmarked resources (page 23). It also specifies that non-conventional venues for fundraising will be pursued (page 24). However, despite having developed the UN-Habitat Resource Mobilization Strategy and Action Plan, UN-Habitat remains exposed to risk of unpredictable funding. Most of the increased voluntary contributions are limited to ear-marked funding and non-earmarked voluntary contributions have been declining resulting into shortfalls in core functions.

UN-Habitat belongs under to the UN Secretariat while also operating as a programme, and this poses a challenge of complying with UN secretariat requirements, which at times conflict with what UN-Habitat partners and donors want the Agency to do as a programme. This challenge is more pronounce in humanitarian context where, the administrative and support systems do not keep with speed and pace at which humanitarian operations are needed. For instance, UN-Habitat operates in high-risk environments with its 64% of its country portfolio in financial terms located in emergency-affected contexts.

About two thirds of interviewed staff highlighted that some internal functions and processes such as internal coordination, information and knowledge management, and risk management need strengthening. However, with the development of a knowledge management strategy and the communication strategy, these functions are expected to improve when the strategies are implemented.

> *Key Finding 10: Progress reported on the implementation of the Strategic Plan is impressive. However, actual translation of the Strategic Plan to country programmes remains a challenge and there is a need to conceptualize and examine how the global Strategic Plan adds value to country programmes and projects in the context of UN-Habitat's normative, operational and humanitarian work.*

> *Key Finding 11: Internal communication, coordination and knowledge management with in UN-Habitat need to improve.*

4.   Lessons Learned

This evaluability assessment examined the extent to which the current Strategic Plan for 2014-2019 is evaluable. The following are the lessons learned from the assessment.

(i)   The Strategic Plan is grounded in a clear version and relevant to UN-Habitat mandates and priorities of it key stakeholders and what UN-Habitat aspires to achieve. However, what it intends to achieve is referenced broadly without explaining what changes the Strategic Plan needs to make happen and with what resources.

(ii)   The understanding the Strategic Plan and the strengths and weaknesses of its causal linkages, are key areas for potential improvement and need to include articulating transformative changes UN-Habitat wants to achieve. The Strategic Plan and the work programmes and budgets, in their current form in terms of causal chains, logic and assumptions, are not strong at all levels to support credible and reliable evaluation. Specifically, all focus area results are missing indicators and baselines and targets to measure and evaluate performance.

(iii)   Application of results-based management in development of the biennial strategic plans and work programme and budgets, and in project and programme planning increases the evaluability of the Strategic Plan. However, poor quality of results, unrealistic indicators and performance measures (that is in terms of the way they are crafted for less measurable and poor availability of data), and weak monitoring and evaluation systems presents a challenge of evaluability.

(iv)   There is still a disconnect between Strategic Plan results and resource allocation. There is inadequate funding of core functions of planning, monitoring and evaluation and reporting functions. Ongoing work to improve resource-based planning and management need to link to the strategic results that the organization is trying to achieve.

(v)   There are key gaps in alignment of the Strategic Plan with regional and national priorities. Programme planning at regional and country level occurs in negations with governments and key UN-Habitat partners. To a large extent, UN-Habitat partnerships are less monitored and evaluated despite the fact the results UN-Habitat seeks to achieve are achieved in partnership with governments, as well as non-governmental organizations and civil society.

(vi)   The approach applied to mainstreaming cross-cutting issues is not well-positioned, although UN-Habitat's work on cross-cutting issues follows a two-track approach of mainstreaming and issue-specific projects. The role of the Programmed Division in coordinating the all cross-cutting issues could be more defined. Presently only the Gender Unit is located in the Programme Division.

(vii) Resource requirements specified in the work programme and budgets to achieve the anticipated results have not been forthcoming and the evaluability assessment could was not able to determine the adequacy of the resources to achieve the anticipated results.

(viii) There is demand for evaluation of the Strategic Plan, through mid-term evaluation and final evaluation, key gaps monitoring and evaluation systems, and evidence around resources and capacity, alignment with regional and national capacities and partners, and lack of strategic evaluations pose a challenge for evaluability of the Strategic Plan. Currently, the Management has postponed the mid-term evaluation that was supposed to inform the revision of the Strategic Plan.

5.   Recommendations

8.   With the adoption of the Sustainable Development Goals in 2015 and the New Urban Agenda in 2016, and lessons learned from the implementation of the Strategic Plan 2014-2019, these should be revised with explicit consideration of what needs to change within UN-Habitat and how these changes support efforts achieve the Strategic Plan's strategic result.

9.   Considering the growing demand for evidence of performance of organizations, the assessment recommends that the development of the 2018-2019 work programme and budget should focus on refining and adjusting causal chains to ensure that the Theories of Change between the UN-Habitat goal, organizational objective, sub-programme objectives, expected accomplishments and outputs are clear at all levels. And that performance measures including indicators of achievement with the baselines and targets are measurable.

10. Clear and consistent communication about the understanding and logic of the Strategic Plan in relative other UN-Habitat policies, strategies, initiatives, priorities and global commitments including the SDGs and the New Urban Agenda, to all levels of UN-Habitat internal and external stakeholders in need to improve the likelihood of achieving intended results of the Strategic Plan.

11. UN-Habitat should consider all four cross-cutting issues, gender, youth, climate change and human rights to be under programme office these would ensure the mainstreaming of the these cross-cutting issues are not influenced by different Branches.

12. To enhance the evaluability of the Strategic Plan, UN-Habitat should put emphasis on monitoring its global, regional and country programmes and project through PAAS. This monitoring should be geared towards project/programme outcomes and results that contribute to the Strategic Plan's results. At the same time, the organization should be clear on what are its measurement approaches to monitor and report results at global, regional and country level.

13. UN-Habitat's ability to demonstrate evidence of performance towards its goal and strategic result depends on improving systems and capacity to consistent of quality data. Current monitoring and evaluation resources are not sufficient to effectively measure and report comprehensively on the Strategic Plan performance. UN-Habitat should investment in the monitoring and evaluation functions at Headquarters as well at regional and country levels.

14. Management should consider series of strategic evaluations to establish the extent to which UN-Habitat's work achieve the strategic result of the Strategic Plan. This will increase the evaluability of the final evaluation of the Strategic Plan in 2019.

ANNEX 1:

Evaluability Study of UN-Habitat Strategic Plan 2014-2019
Terms of Reference (TOR)

1.   Introduction and Background

The United Nation Human Settlements Programme (UN-Habitat) is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all. Since its establishment in 1976, UN-Habitat has responded to a broad mandate by developing and implementing normative, analytical and operational activities. Its mandate derives from: (i) the **outcomes of relevant international conferences** , especially the Vancouver Declaration on Human Settlements (1976), the Istanbul Declaration on Human Settlements and the Habitat Agenda (1976), the Declaration on Cities and other Human Settlements, and (ii) specific mandates through various **UN General Assembly and UN-Habitat Governing Council resolutions** such as   Millennium Declaration (GA res.55/2),   in particular the Millennium Development Goal 7 and its target of achieving significant improvements in the lives of at least 100 million slum dwellers by 2020. In 2002, Governments attending the World Summit on Sustainable Development (WSSD) further mandated UN-Habitat to monitor and report on progress towards the achievement of MDG targets on access to safe drinking water and to halving the proportion of people who do not have access to basic sanitation.

In April 2013, taking note of the progress made in the implementation of the medium-term strategic and institutional plan for 2008–2013, the Governing Council approved the strategic plan for the period 2014–2019. It also requested UN-Habitat to continue strengthening implementation of results-based management in all the programmes, projects, policies and activities and to maintain emphasis on results for the achievement of the programme objectives, and for the efficient and transparent use of resources, to that end, subjected to United Nations processes of review, evaluation and oversight.

The vision of the Strategic Plan is that *"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" with the goal of "well-planed, 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". Through delivery of the Strategic Plan it is expected that "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 socio-economic life of the city".* [4]

The preparation of the Strategic Plan was guided by the following basic principles:

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[4] Addendum: Draft strategic plan 2014-2019 of the United Nations Human Settlements Programme HSP/GC/24/5/Add.2

a) The plan reflects the official mandates of UN-Habitat, i.e., the Habitat Agenda, the Millennium Development Goals, and key General Assembly and Governing Council resolutions;

b) While the plan reflects some continuity form the medium-term strategic and institutional plan 2008-2013 in terms of focus areas and implementation approaches, it also responds to emerging trends, challenges and opportunities;

c) Gender, youth partnerships, outreach and communication, capacity development, climate change and best practices are systematically reflected in all substantive focus areas as cross-cutting issues;

d) The strategic plans' focus areas are also the subprogrammes in the biennial strategic framework and work programme and budget, thus ensuring complete alignment among the three documents;

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

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

g) The strategic plan will be implemented in line with the urgent need for closer cooperation and coordination with other United Nations agencies and with a view to avoiding overlapping and duplicating programmes and activities.

2.   Purpose and Objectives of the Evaluability Study

The evaluability study is a technical assessment of basic parameters of the Strategic Plan that will make it possible to be evaluated at a later stage in terms of results planned and the processes that lead to achievement of these results. The plan has evaluation frameworks for the mid-term evaluation in 2017 and final evaluation in 2019.

The evaluability study will assess the appropriateness of both the design of the Strategic Plan 2014-2019 and the processes. It will identify strengths and weaknesses in the design and provide recommendations for corrective measures to improve the quality of the plan.

The evaluability assessment of the Strategic Plan is included in the UN-Habitat Evaluation Plan for 2015 as part of other priority activities to be implemented by the Evaluation Unit. It was also one of the recommendations from the OIOS evaluation of UN-Habitat report.

Specifically, the evaluability study will assess:
1) Context and clarity of the strategic plan;
2) The quality of the design for achievement of results;
3) SMARTness of the results framework (Theory of Change), i.e. the existence of clear strategic results, expected accomplishments and indicators to measure results;
4) Appropriateness of mechanisms and support systems put in place for implementation of the strategic plan;

5)   Monitoring and evaluation systems for the strategic plan;
6)   Initial assessment of processes and implementation - What has changed since the implementation of the plan?
7)   Assess the readiness for the mid-term evaluation to take place in 2017 and end evaluation in 2019;
8)   Formulate recommendations on the purpose, scope, timing and design of the mid-term and final evaluations of the Strategic Plan.

3.   Scope and Focus

The evaluability assessment is expected to review the use of theory of change/ logic model, existence and availability of relevant information, conduciveness of context and accountability arrangements in place for the implementation of the Strategic Plan.

The level of the Strategic Plan's evaluability will depend on a clear theory of change/ logic model; clear goals and objectives; availability of baseline data and SMART indicators; existence of monitoring frameworks and system; a relevant conducive context with adequate resources and capacities; and clear management structure and responsibilities.

3.   Approach and Methodology

The evaluability study will be conducted by the Evaluation Unit, supported by the Quality Assurance Unit, Operations Division, evaluation focal points and project managers for the implementation of the Strategic Plan.

The assessment will be a participatory and a consultative exercise. It will largely consist of qualitative analysis, which includes: desk review and qualitative data collection through individual interviews, focus group discussions and stakeholder workshops. A stakeholder mapping exercise will also be conducted as part of the assessment.

The Strategic Plan will be reviewed to assess the quality of the design. In addition, other planning documents including the strategic plan 2014-2015 and 2016-2017 and their respective work programmes will be reviewed to assess coherence of the documents with the strategic plan 2014-2019. Also some project documents approved since 2014 will be reviewed.

4.   Basic Questions for the Evaluability Study

(a) Context

- Does the strategic plan reflect official mandates and priorities of UN-Habitat?
- Does the Strategic Plan clearly identify the problem and beneficiaries?
- How well did lessons learned from the implementation of the Medium-Term Strategic and Institutional Plan 2008-2013 inform the formulation of the Strategic Plan 2014-2019?
- How relevant and coherent are other planning documents, including the Strategic Plan, biennial programmes of work and project documents?

(b) Assessment of the quality of the design

- Is there clarity of the strategic intent of the Strategic Plan?

- Is the strategic intent supported Theory of Change, having explicit results framework with clear expected accomplishments, baselines and targets, and indicators to measures results?
- Does the Strategic Plan articulate levels of activities, financial resources, results and strategies?
- Does the Strategic Plan have a monitoring system to gather and systematize information with defined responsibilities, resources and periodicity?
- Are issues on gender equality, human rights, youth analyses and climate change aspects articulated in the plan and disaggregated data available?
- What other parameters need to be taken into consideration to assess the design of the strategic plan?

(c) Initial assessment of the implementation and processes

- What has been the progress in the implementation of the Strategic Plan?
- What is the level of stakeholders' involvement and their perspectives towards the Strategic Plan?
- Does the Strategic Plan have resources and capacities to undertake the mid-term and final evaluations?
- How is the adequacy of the institutional (e.g. evaluation culture, groups of interest that could influence the independence of the evaluations, etc.)?
- Does the Strategic Plan have a clear management structure?
- Do partners know their responsibilities, accountabilities and ownership of the Strategic Plan?
- Does the Strategic Plan have a transparent performance monitoring and reporting system?
- To what extent do the support systems (financial and administrative procedures, human resources, information technology etc.) support the implementation of the Strategic Plan?
- What are main strengths and opportunities, threats and challenges to the implementation of the Strategic Plan?

5. Work Schedule and Deliverables

The review will be conducted over the period of August to December 2015.

The Evaluation Unit will prepare a *draft report* to be reviewed by UN-Habitat Management.

The *final evaluation report* (including Executive Summary and Appendices) will not exceed 30 pages (excluding Executive Summary and Appendices). In general, the report will be presented in a way that is technically easy to comprehend for non-specialists.

6. Provisional Time Frame

#	Task Description	Aug 15				Sept 15				Oct 15				Nov 15				Dec 15			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
1	Develop TOR for the review	X	X																		
2	Conduct stakeholder mapping			X	X																

No.	Task																						
3	Review documentation			X	X	X	X																
4	Determine the information needed					X	X																
5	Interview main stakeholders								X	X	X	X											
6	Prepare analysis required by TOR/ Draft Review Report									X	X	X	X										
7	Presentation of preliminary Findings to UN-Habitat													X	X								
9	Review and Revision of the Draft Report															X	X	X	X	X	X		
10	Delivery of Final Evaluation Report (including editing and layout)																					X	X

ANNEX 2:

Documents Reviewed

1. HSG/GC/25/5/Add.2. Proposed Work Programme and Budget for the biennium 2014-2015 & Draft Strategic Plan 2014-2019 of the United Nations Human Settlements Programme

2. HSP/GC/24/5. Work Programme and budget for the biennium 2014-2015

3. HSP/GC/25/5. Work Programme and budget for the biennium 2016-2017

4. Institutionalizing Results based Management: Performance Measurement Plan for the Six Year Strategic Plan 2014-2019

5. E/AC/51/2015/2. Evaluation of the United Nations Human Settlements Programme. Report of the Office of Internal Oversight.

6. Annual Progress Report 2015: Implementation of the Strategic Plan (2014-2019)

7. A/RES/70/1. Transforming Our World: The 2030 Agenda for Sustainable Development

8. UN-Habitat Programme Accountability Framework, 2015

9. Project Based Management Policy, 2012

10. Youth and New Urban Agenda, 2013

11. Gender Equality Action Plan, 2014-2019

12. Climate Change Strategy, 2014-2019

13. Human Rights Strategy, 2012

14. UN-Habitat Regional Strategy – Africa

15. UN-Habitat Regional Strategy – Arab States

16. UN-Habitat Regional Strategy – Latin America and Caribbean

17. UN-Habitat Regional Strategy – Asia and Pacific

18. UN-Habitat Regional Strategy – Arab States

ANNEX 3:

List of Persons Interviewed

1. Dorothy Mutizwa-Mangiza, Head, Quality Assurance Unit, Management and Operations Division
2. Pacome Kossy, Quality Assurance Unit, Management and Operations Division
3. Naison Mutizwa-Mangiza, Policy and Strategy Adviser, office of the Executive Director
4. Jane Nyakairu, Officer-in-Charge, Donor Relations and Income, Management and Operations Division
5. Rosa Muraguri-Mwololo, Programme Advisory Group (PAG) Secretary, Programme Division
6. Rafael Tuts, Director, Programme Division
7. Eduardo Moreno, Branch Coordinator, Research and Capacity Building Branch
8. Andre Dzikus, Acting Branch Coordinator, Urban Basic Services
9. Oyebanji Oyelaran-Oyeyinka, Acting Director, Regional Office for Africa
10. Angela Mwai, Unit Leader, Gender Coordination and Support Unit, Programme Division
11. Channe Oguzhan, Housing Rights and Human Rights-Based Approach to Development, Housing and Slum Upgrading Branch
12. Douglas Ragan, Unit Leader, Youth and Livelihood Unit, Urban Economy Branch
13. Elkin Velasquez, Director, Regional Office for Latin America and the Caribbean
14. Robert Lewis-Lettington, Branch Coordinator (OIC), Urban Legislation, Land and Governance Branch
15. Thomas Chiramba, Regional Office for Africa
16. Alioune Badiane, retired-Director, Programme Divisioni
17. Bruno Dercon, Senior Human Settlements Officer, Regional Office for Asia and the Pacific