

جمعية موئل الأمم المتحدة التابعة لبرنامج  
الأمم المتحدة للمستوطنات البشرية  
الدورة الثانية  
نيروبي، 5-9 حزيران/يونيه 2023  
البند 11 من جدول الأعمال المؤقت\*  
الخطة الاستراتيجية لموئل الأمم المتحدة  
للفترة 2024-2027

## تقييم منتصف المدة لتنفيذ الخطة الاستراتيجية للفترة 2020-2023

### مذكرة من الأمانة

### أولاً- مقدمة وولاية التقييم

1- تتعلق هذه المذكرة بتقييم منتصف المدة لتنفيذ الخطة الاستراتيجية لبرنامج الأمم المتحدة للمستوطنات البشرية (موئل الأمم المتحدة) للفترة 2020-2023. وقد صيغت الخطة الاستراتيجية في البداية بوصفها خطة مدتها ست سنوات تغطي الفترة 2020-2025، بغرض تنفيذ قرار مجلس إدارة موئل الأمم المتحدة 3/26 المؤرخ أيار/مايو 2017، الذي طلب فيه المجلس إلى المديرية التنفيذية التشاور مع لجنة الممثلين الدائمين والعمل معها عن كثب في إعداد خطة استراتيجية سداسية موجهة نحو تحقيق النتائج. ومع ذلك، أُقرت لاحقاً أهمية مواصلة دورة الخطة الاستراتيجية مع الدورة الرباعية السنوات لجمعية موئل الأمم المتحدة التابعة لبرنامج الأمم المتحدة للمستوطنات البشرية (جمعية موئل الأمم المتحدة)، ووافقت جمعية موئل الأمم المتحدة، في دورتها الأولى التي عقدت في أيار/مايو 2019، في قرارها 1/1 على الخطة الاستراتيجية للفترة 2020-2023 بدلاً من الفترة 2020-2025.

2- وبعد ذلك، أوصى المجلس التنفيذي في دورته الثانية لعام 2021، في الجزء (د) بشأن مواصلة الاستعراض الشامل للسياسات الذي يجري كل أربع سنوات مع دورات التخطيط لبرنامج الأمم المتحدة للمستوطنات البشرية، من المقرر 6/2021، المتعلق ببرنامج العمل والميزانية، وتنفيذ الخطة الاستراتيجية للفترة 2020-2023 ومواءمة دورات تخطيط البرنامج مع عملية الاستعراض الشامل للسياسات الذي يجري كل أربع سنوات، بأن تنظر جمعية موئل الأمم المتحدة، في دورتها الثانية لعام 2023، في الموافقة على تمديد الخطة الاستراتيجية الحالية للفترة 2020-2023 حتى عام 2025 من أجل مواصلة دورة تخطيط موئل الأمم المتحدة مع الاستعراض الشامل

للسياسات الذي يجري كل أربع سنوات. وأيد المجلس التنفيذي، في دورته الثانية لعام 2022، المعقودة في تشرين الثاني/نوفمبر، مقترحاً بإجراء تقييم منتصف المدة للخطة الاستراتيجية في الربع الأول من عام 2023.

### ثانياً- التخطيط لتقييم منتصف المدة

3- تمت الموافقة على الخطة الاستراتيجية للفترة 2020-2023 مع إطار تقييم يشمل تقييمات منتصف المدة والتقييمات النهائية. وخلال دورة المجلس التنفيذي الثانية لعام 2022، قُدم التقرير السنوي لعام 2021 بشأن تنفيذ الخطة الاستراتيجية وأبلغ المجلس بأن موئل الأمم المتحدة سيُجري تقييم منتصف المدة للخطة الاستراتيجية في الربع الأول من عام 2023. وأحاط المجلس التنفيذي علماً، في المقرر 5/2022، بالتقرير السنوي لعام 2021 وطلب إلى المديرية التنفيذية أن تقدم تقريراً إلى المجلس التنفيذي في دورته الأولى لعام 2023 عن تقييم منتصف المدة لتنفيذ الخطة الاستراتيجية للفترة 2020-2023 من أجل تقييم التقدم المحرز نحو تحقيق النتيجة الاستراتيجية للخطة الاستراتيجية.

4- وقد أعدت لجنة إدارة برنامج موئل الأمم المتحدة مسودة اختصاصات تقييم منتصف المدة لتنفيذ الخطة الاستراتيجية للفترة 2020-2023 وناقشتها خلال اجتماعها الذي عقد في 26 كانون الثاني/يناير 2023. وقررت اللجنة ما يلي:

(أ) لا يمكن اعتبار التقييم تقييماً لمنتصف المدة إلا بعد موافقة جمعية موئل الأمم المتحدة، في دورتها الثانية في حزيران/يونيه 2023، على تمديد الخطة الاستراتيجية حتى عام 2025؛

(ب) إعادة تعميم مشروع الاختصاصات وتمديد الموعد النهائي لتلقي التعليقات حتى 14 شباط/فبراير 2023 من أجل السماح بإجراء مزيد من المشاورات بشأن الوثيقة.

5- وفي وقت لاحق، نُقح مشروع الاختصاصات استناداً إلى التعليقات الواردة. ووافقت المديرية التنفيذية على الاختصاصات المنقحة في 1 آذار/مارس 2023، وهو ما أتاح وقتاً كافياً لإخطار أصحاب المصلحة الرئيسيين، بمن فيهم أعضاء المجلس التنفيذي، وإشراكهم في عملية التقييم، ولبدء عملية تعيين جهة (جهات) التقييم الخارجية. وترد الاختصاصات في مرفق هذه المذكرة دون تحرير رسمي.

6- وبناء على ذلك، سيجري تقييم الخطة الاستراتيجية مباشرة بعد الدورة الثانية لجمعية موئل الأمم المتحدة، التي ستنظر خلالها الجمعية في إمكانية الموافقة على تمديد الخطة الاستراتيجية الحالية للفترة 2020-2023 حتى عام 2025.

## Terms of reference for the midterm evaluation of the implementation of the UN-Habitat strategic plan for the period 2020–2023\*

### I. Introduction and Mandate for the Evaluation

1. These TOR concern the mid-term evaluation of the implementation of the UN-Habitat Strategic Plan 2020-2023. The plan was approved by UN-Habitat Assembly in May 2019. It was formulated as six-year strategic plan for the period 2020–2025, following the UN-Habitat Governing Council resolution 26/3 of May 2017 which requested UN-Habitat, in consultation with the Committee of Permanent Representatives (CPR), to prepare as 6-year results-oriented strategic plan. However, the United Nations Habitat Assembly recognized the importance of aligning the cycle of the strategic plan with the four-year cycle of the United Nations Habitat Assembly and with the move by other UN entities to adopt four-year planning cycles and consequently, in resolution HSP/HA/1/L.4, approved the Strategic Plan for the period 2020-2023, instead of 2020-2025 at its first session of May 2019.

2. Subsequently, the Executive Board of UN-Habitat at its second session, in November 2022, for the year 2022, through decision 2021/6 on alignment of the strategic planning of UN-Habitat with the planning cycles of the quadrennial comprehensive policy review, recommended that United Nations Habitat Assembly at its second session of May 2023 should consider approving the extension of the strategic plan for the period 2020-2023 until 2025. When approved, this mid-term evaluation carried out in 2<sup>nd</sup> quarter of 2023, to cover the period 2020- May 2023.

3. An internal mid-term review was conducted a head of the Committee of Permanent Representative (CPR) High -Level meeting of June – July 2021. The review was found that the strategic plan remains relevant document, providing a framework for recovery from COVID-19 pandemic and road map to achieving the SDGs. The CPR review found the review being a milestone in evaluating the progress of implementing the strategic plan. It welcomed efforts by UN-Habitat to strengthen programming and contributing to different outcomes across the strategic plan despite financial constraints the organization faces. It also recognized challenges associated with monitoring the implementation of the strategic plan, the results framework and means of verification of certain indicators, and stressed the need for external independent evaluation of the strategic plan<sup>1</sup>.

4. The Strategic Plan for 2020-2023 was approved with an evaluation framework of mid-term and end-term evaluations. Specifically, paragraph 210 states that a mid-term evaluation will be carried out to assess performance of the strategic plan in terms of achievements of expected accomplishments (outcomes), relevance, efficiency, effectiveness, and sustainability. It would allow corrective action to be taken during the second half of the period covered by the strategic plan. The evaluation is in accordance with the new Administrative Instruction on evaluation in the United Nations Secretariat (ST/AI/2021/3) and UN-Habitat Evaluation Policy 2023, which require organizations to evaluate all programmed activities, including strategies and policies by organizations themselves, by OIOS or by external organizations such as the Joint Inspection Unit (JIU)

5. It is anticipated that the external mid-term evaluation will be an opportunity to further steer the implementation of the strategic plan by providing evaluative information, lessons learned and recommendations to push for mid-course corrections and maximize successful implementation of the strategic plan of the remaining period. The evaluative knowledge will further guide the preparation of the next strategic plan.

### II. Background and Context

6. The United Nations (UN) General Assembly mandates UN-Habitat to promote socially and environmentally sustainable towns and cities with two goals of providing adequate shelter for all and sustainable development. The idea of creating a new global agreement based on sustainable development, to replace the Millennium Development Goals (MDGs), was raised at the 2012

\* The annex has not been formally edited.

<sup>1</sup> Outcomes Draft Outcomes for consideration by the CPR during the High-Level Mid-term Review, 30 June 2021.

UN conference on sustainable Development. Three years later the idea resulted in the 2030 Agenda for sustainable development with its 17 Sustainable Development Goals (SDGs).

7. UN-Habitat, as focal point for sustainable urbanization and human settlements, was designated the lead agency in the UN system on SDG 11 of making cities and human settlements inclusive, safer, resilient, and sustainable. It is designated as a custodian agency for 9 of 15 indicators under the SDG 11 and supports the monitoring and reporting of 4 in other urban related SDGs. In addition, UN-Habitat leads the methodologic development of guides and tools for urban related SDGs indicators and targets. The organization provides technical assistance and support to national and local governments in laying the foundation for sustainable urban development, including the implementation, follow-up and review of the New Urban Agenda, in collaboration with other United Nations system entities.

8. In 2016, world leaders adopted the New Urban Agenda, which sets a new global standard for sustainable urban development.<sup>2</sup> The New Urban Agenda is a roadmap for building cities that can serve as engines of prosperity and centres of cultural and social well-being while protecting the environment. The agenda addresses ways in which cities are planned, designed, managed, governed and financed to achieve sustainable development goals, focusing on transformation towards social inclusion and ending poverty, as well as enhancing urban prosperity and opportunities for all and environmentally sustainable and resilient urban development.

9. In addition, in 2018, UN Senior Management Group (UNSDG) recognized urbanization as a “mega trend” and called upon UN-Habitat to lead the development of the UN System-wide Strategy on Sustainable Urban Development. The strategy which was approved by the Chief Executive Board for Coordination (CEB) in April 2019<sup>3</sup> is aligned with the 2030 Agenda for sustainable development and other relevant global agreements and policies. It is intended to facilitate cooperation to advance system-wide coherence for sustainable urbanization and to guide how the UN system coordinates its efforts to assist Member States to harness the opportunities and meet the challenges of rapid urbanization for attainment of the SDGs and other global trends.

10. Pursuant to its various mandates, UN-Habitat works on two levels to achieve its goals, effectiveness and impact. At the operational level, it undertakes technical cooperation projects. At the normative level, it seeks to influence governments and non-governmental actors in formulating, adopting, implementing and enforcing policies, norms and standards conducive to sustainable human settlements and sustainable urbanization. Since 2007, its work has been guided by successive, multi-year strategic plans of 2008-2013, 2014-2019 and 2020-2023.

11. In the current strategic plan for 2020 to 2023, UN-Habitat restructured its substantive work around its four mutually reinforcing domains of change (subprogrammes), established intentionally to leverage sustainable urban development to address broader global challenges of poverty, prosperity, climate change, and crisis prevention, namely:

- (a) Reduced spatial inequality and poverty in communities across urban-rural continuum.
- (b) Enhanced shared prosperity of cities and regions.
- (c) Strengthening climate action and improved urban environment; and
- (d) Effective urban crisis prevention and response.

### III. Evolution and Reform of UN-Habitat

12. UN-Habitat’s evolution reflects the growing importance of urbanization as a priority to the United Nations and its Member States. Its history and development are rooted in three landmark Conferences on Human Settlements. The first, Habitat, held in Vancouver, Canada, in 1976, led to the establishment by the General Assembly of the United Nations Centre on Human Settlements (UNCHS). The second conference, Habitat II, took place in Istanbul, Turkey, in 1996, where Member States adopted the Istanbul Declaration and the Habitat Agenda and gave UN-Habitat the mandate of providing adequate shelter for all and sustainable development. The Third United Nations Conference on Housing and Sustainable Development (Habitat III) held in Quito, in October 2016, resulted in the New Urban Agenda outcome document, which stipulates the importance of urbanization as a source of development and an engine for prosperity and human progress, as reflected in the 2030 Agenda for

<sup>2</sup> UN, The New Urban Agenda: Key Commitments, 20 October 2016, <https://www.un.org/sustainabledevelopment/blog/2016/10/newurbanagenda/>.

<sup>3</sup> UN System-Wide Strategy on Sustainable Urban Development 2019.

Sustainable Development. The New Urban Agenda puts in place actions to change the path of urbanization and identifies key actors to carry out the changes.

13. The UN General Assembly, through resolution 56/2006, elevated UNCHS into a full-fledged Secretariat programme, UN-Habitat, in 2001.<sup>4</sup> In the period from 2001-2004, UN-Habitat witnessed rapid growth in the programme's staff, activities and budget. The 2005 OIOS evaluation of UN-Habitat recommended that UN-Habitat to become more strategic and focused. This led to the formulation of the agency's six-year Medium-Term Strategic and Institutional Plan (MTSIP) 2008-2013. The development of the strategic plan 2014-2019 drew from the lessons learned from the implementation of the MTSIP 2008-2013. During the implementation of the MTSP 2014-2019, a new reform was initiated by the current Executive Director that aimed at turning the organization into a trusted, transparent and accountable agency, whose expertise is relevant, valued and demanded.

14. A new three-tier governance structure of UN-Habitat was approved by the General Assembly in December 2018. The Committee of Permanent Representatives was retained, and the United Nations Habitat Assembly and the Executive Board were established in 2019. The JIU review of the UN-Habitat Administration and Management in 2022, found that a new governance structure has led to more opportunities for Member States to engage in the UN-Habitat, enhance their oversight and therefore increase the accountability of the organization. The Executive Board, composed of 36 members, elected by the United Nations Habitat Assembly, meets in regular session in Nairobi two or three times a year and approves and oversees the implementation of the annual programme of work and budget, in accordance with strategic plans and political guidelines provided by the United Nations Habitat Assembly.

#### IV. Overview of the Strategic Plan for the Period 2020-2023

15. The basis of the strategic plan is the vision of better quality of life for all in urbanizing world. The vision is encapsulated in the plan's 4 domains of change with their 12 related outcomes as outlined in the table 1 below. The four domains are to address pressing areas of development such as poverty, prosperity, climate change action and crisis prevention

##### Four domains of change and 12 outcomes of the UN-Habitat Strategic Plan 2020-2023

<i>Domain of Change</i>	<i>Title</i>	<i>Related outcomes</i>
Subprogramme 1	Reduced spatial inequality and poverty in communities across urban-rural continuum.	(i) Increased and equal access to basic services, sustainable mobility and public space; (ii) Increased and secure access to land and adequate and affordable housing; (iii) Effective settlements growth and regeneration.
Subprogramme 2	Enhanced shared prosperity of cities and regions.	(i) Improved spatial connectivity and productivity; (ii) Increased and equitably distributed locally generated revenues; (iii) Expanded deployment of frontier technologies and innovations.
Subprogramme 3	Strengthening climate action and improved urban environment	(i) Reduced greenhouse gas emissions and improved air quality (ii) Improved resource efficiency and protection of ecological assets (iii) Effective adaptation of communities and infrastructure to climate change
Subprogramme 4	Effective urban crisis prevention and response	(i) Enhanced social integration and inclusive communities; (ii) Improved living standards and inclusion of migrants, refugees and internally displaced persons; (iii) Enhanced resilience of the built environment and infrastructure

<sup>4</sup> Resolution 56/2006.

16. The implementation of the plan is through annual programme of works and budgets, driven through projects and programmes related to normative and operations activities. In addition to 4 domains of change, the strategic plan outlines four drivers of change: Policy and Legislation, Urban Planning and Design; Governance; and Financing Mechanism. These drivers of change are supposed to work together to deliver services and products that will result in the achievement of the objectives of the strategic plan.

17. Changes in UN-Habitat mandate and the efficiency and effectiveness of its governance structure have been under review since 2007. A new three-tier governance structure was endorsed by the General Assembly in its resolution 73/239 in December 2018. The Committee of Permanent Representatives was retained, and the UN-Habitat Assembly and the Executive Board were established in 2019. The JIU review on UN-Habitat and Management found that the establishment of the UN-Habitat Assembly on the basis of universal membership, as well as the creation of the Executive Board with the power to take decisions and hold much more frequent meetings than the previous Governing Council, has been viewed as a positive change to resolve the main challenges faced by the previous governance structure. The increased frequency of meetings of the governing bodies leads to more opportunities for Member States to engage in UN-Habitat and provide guidance and oversight to its secretariat. The accountability of the secretariat has also increased as the Executive Director is required to report much more frequently to the Executive Board. At the same time, it must be noted that the work and costs associated with more frequent reporting have increased for the secretariat and these must be absorbed within existing resources. This mid-term review should assess the effectiveness of the new UN-Habitat Governance Structure in the implementation of the strategic plan.

18. In 2020, the organization adopted a revised organizational structure to strengthen integrated programming to improve impact of its work by supporting national and local governments to accelerate the implementation of the New Urban Agenda to achieve urban related SDGs and other global commitments. The strategic plan is being implemented taking into account of: (i) the need to support Member States in the implementation of the New Urban Agenda; (ii) UN-Habitat being a centre of excellence and innovation; (iii) regional and global urban trends, (iv) the reforms of the United Nations development system, and the role of UN-Habitat in facilitating the UN systemwide approach to sustainable urban development; (v) diversity pertaining to difference communities at countries, (vi) leveraging partnerships with local and regional governments, sister UN entities, the private sector and other development actors and stakeholders, and (v) integrating social inclusion dimensions and cross-cutting thematic areas in programming and implementation.

19. 2020 was the first year of the implementation of the strategic plan 2020-2023 and the year of Covid-19 Global Pandemic. UN-Habitat has supported Covid-19 response at global, national and city levels focusing on the densely populated urban areas, with over 75 projects in over 40 countries and 300 cities. The organizational performance enablers of monitoring and knowledge, innovation, policy advocacy, inter-governmental relations, UN systemwide coordination, communication and outreach, partnerships, capacity building, systems and processes are expected to support the desired change set in the strategic plan.

20. The basis for monitoring, reporting and evaluating the implementation of the strategic plan is ideally its results framework which contains strategic results and outcome results, with corresponding indicators of achievement to measure the achievements. However, due to capacity gaps, it has been difficult to use the results framework for monitoring and reporting on the implementation of the strategic plan and the annual work programmes and budgets. Alternative means to review and monitor have been deployed and the strategic plan implementation is reported on through the annual reports. The 2020 and 2021 annual reports of the implementation of the strategic plan are accessible on the UN-Habitat website [www.unhabitat.org](http://www.unhabitat.org). It is expected that this mid-term review will give guidance of the way forward on the monitoring and report on the implementations of the Strategic Plan.

## V. Purpose, objectives, and scope of mid-term evaluation

21. This mid-term evaluation serves accountability and learning purposes. It is intended to: (i) provide evidence on whether the strategic plan is on track towards achieving the plan's results; and (ii) enhance learning by identifying constraints, challenges and inform necessary revisions and implementation changes for the remaining period of the strategic plan; and (iii) guide efforts in the preparation of the next strategic plan.

22. Specific objectives are:

(a) Assess progress towards achieving the overall strategic result and domain outcomes, as contained in the strategic plan results framework for 2020-2023.

- (b) Assess the adequacy of monitor and reporting on of the implementation of the Strategic Plan taking into account the resource constraints.
- (c) Assess the continued relevance, efficiency, effectiveness and sustainability of the strategic plan and how Covid-19 impacted on the implementation of the plan.
- (d) Assess efforts to assist Member States in the implementation of the New Urban Agenda to accelerate the achievement of urban related SDGs and other global commitments, including consideration of the appropriateness of partnerships and coordination modalities in promoting international, regional, national, sub-national and local governments cooperation on implementation of the strategic plan.
- (e) Assess how cross-cutting (gender equality, human rights, youth, disabilities, social and environmental safe guards) are integrated in designs and implementation of projects and programmes and the strategic plan.
- (f) Identify areas of improvement, lessons learned and give strategic, programmatic, structural and management recommendations for improving the implementation of the strategic plan for the remaining period, with particular emphasis on improving the performance against the outcomes across the 4 domains.

23. In terms of scope the evaluation will focus on whether UN-Habitat is on tract of achieving transformational results, and what needs to be done to ensure UN-Habitat systems are geared to enabling programmes to achieve the transformation. The following high-level questions will guide the process:

- (a) Is UN-Habitat's strategic plan and interventions still relevant to the changing global context contributing to implementation of global agendas (SDGs, Climate Action, inequalities, etc.)?
- (b) How far has UN-Habitat progressed towards the achievement of its overall strategic result and domain outcomes as specified in the strategic plan results framework for 2020-2023?
- (c) To what extent has UN-Habitat utilized the reforms of the development system and management of the United Nations to implement the Strategic Plan 2020-2023 and what are the factors influencing the ability of UN-Habitat to utilize the reforms?
- (d) How has UN-Habitat facilitated the UN systemwide approach to sustainable urban development to enhance the implement the strategic plan, including through collaboration with other UN agencies to plan and implement UN development activities at global, regional and country levels in support Member States implement the New Urban Agenda to achieve urban related SDGs and other global commitments?
- (e) How is the Strategic plan facilitating more integrated programming and solutions that can work at scale?
- (f) What has changed and what are elements of continuity since the adoption of the Strategic Plan 2020-2023, which followed the implementation of 2014-2019 strategic plan?

## VI. Evaluation Questions based on Evaluation Criteria

24. The evaluation questions will include and may further be expanded upon by consultants.

### Relevance

- (a) To what extent is the strategic plan aligned to the transformative commitments and key drivers of the New Urban Agenda as they pertain to the achievement of the urban related SDGs and other global commitments?
- (b) How useful are UN-Habitat's deliverables/outputs to the needs of the direct beneficiaries? Is there evidence for general acceptance and utilization of the Strategic Plan's outputs by targeted beneficiaries?
- (c) Are partnership approaches appropriate to the Strategic Plan? How appropriate and relevant are the execution and implementation modalities?
- (d) To what extent are cross-cutting issues effectively considered and integrated into programme design and implementation of the strategic plan?

**Efficiency**

(a) How have UN-Habitat's and partner resources been applied to achieve the strategic plan results? What progress has UN-Habitat made in raising non-earmarked and earmarked funds to finance its strategic plan? How has it used available resources to mobilize investment for affordable housing, basic services, and urban infrastructure?

(b) To what extent have the UN-Habitat new organizational structure adopted in 2020 affected the implementation of the Strategic Plan 2020-2023?

(c) Has UN-Habitat delivered what it promised, in terms of quantity, quality (specifications) and timeliness? -? What factors impeded or facilitated the production of such outputs?

(d) Is there evidence on how the deliverables are contributing to the achievement of the strategic Plan 's objectives?

(e) Are monitoring and evaluation indicators appropriate or is there a need to establish or improve these indicators?

(f) What needs to change to improve the delivery of the strategic plan?

**Effectiveness**

(a) How effectively has UN-Habitat measured progressed towards the achievement of strategic results contained in the domains change and how can the measurement be improved?

(b) How effective has UN-Habitat been in implementing the strategic plan at regional and country level to integrate housing, spatial planning, human settlements, and urban development into the United Nations Sustainable Development Frameworks, analytical planning mechanisms (Common Country Analysis), and implementation agreements?

(c) What strategic, programmatic, structural and management adjustments should be undertaken to improve performance in the implementation of the remainder of the strategic plan period, particularly, against related outcomes across the four domains of change

(d) How successful has UN-Habitat been in working with Member States to elevate the New Urban Agenda as road map for the achievement of the SDGs and other global commitments?

(e) What problems in implementation need to be resolved? What are the flaws, if any, in design, implementation, monitoring and evaluation?

**Sustainability**

(a) What key global issues has UN-Habitat dealt with effectively in the implementation of the strategic plan?

(b) Have UN-Habitat programmes /projects improved ability to promote and develop sustainable urban settlements?

(c) Is there adequate stakeholder commitment?

(d) Do the stakeholders have a sense of ownership?

(e) What mechanisms been put in place to ensure the sustainability of emerging results?

**Impact**

(a) To what extent is UN-Habitat progressing towards the achievement of the plan's strategic results?

(b) How has the absence of non-earmarked funding limited its impact?

(c) What is the evidence of emerging impact? Based on the indicators, is there evidence of early potential success?



## VII. Approach and Methodology

### A. Approach

25. The evaluation should employ a mix of approaches and methods. A results-based approach (Theory of Change Approach) should be applied to demonstrate how the strategic plan was supposed to be implemented to achieve its results under conditions and assumptions needed for the causal changes to take place. Also, the Context Input Process Product (CIPP) approach should be used to assess the plan's implementation structures, management systems and procedures, collaboration, coordination, and partnerships. In addition, the evaluation should be inclusive, participatory and consultative with key partners and stakeholders, including the Executive Board members and donors. It should be conducted in a transparent way in line with the Norms and Standards of evaluations in UN system.

### B. Methods

26. A variety of methods should be applied:

(a) **Desk review** of relevant strategic plan documents and regional strategic plans; global programmes/flagships relevant reports and decisions of the Secretary-General and resolutions of the General Assembly; annual progress reports on the implementation of the strategic plan; and evaluation reports produced during the strategic plan implementation period from 2020 to 2023;

(b) **Interviews** with various stakeholders, including relevant UN-Habitat staff, Executive Board members, donors, associations of local governments, and other relevant key UN-Habitat partners. In-depth interviews should include leadership of major development partners, government and non-government key informants and leaders of the communities where UN-Habitat partners are active. Interview should cover UN-Habitat's footprint across the globe and should aim at achieving a broad picture of implementation achievements and the challenges presented. Interviews should include questions aimed at eliciting stakeholder views about what might improve, whether UN-Habitat's approach and focus achieves optimum transformation changes, and what opportunities exist for scaling up and expanding on gains made.

(c) **Survey** should be used focusing on the transformational aspects of UN-Habitat's delivery. This means the survey should be administered across a sample of programmes which are identified as transformational, as well as a sample of programmes which have not necessarily had transformational elements built in. In the survey, there should be questions aimed at each level of stakeholder as well as some general questions to: Members of Executive Board; Branches, Regional and Country and project offices – all staff in these offices; Implementing partners – as many as possible, but a high percentage of staff from identified partners; Development partners – communities and their organizations, professional, local governments, broadly across the identified projects.

(d) **Group meetings** for consultations and validation of review findings.

27. The evaluation consultants will describe expected data collection instruments and analysis to be used to in the evaluation inception report. Analysis and synthesis of information should be presented logically to give an overall assessment of progress in the implementation of the strategic plan.

## VIII. Stakeholder Involvement

28. One of the key determinants of evaluation utilization is the extent to which stakeholders are meaningfully involved in the evaluation process. It is expected that this evaluation will be participatory, involving both internal and external key stakeholders. This will include representatives of UN-Habitat branches and regional offices, cross-cutting issues focal points, representatives of governing bodies (Executive Board), Donors, and other relevant Habitat partners.

## IX. Management and Responsibilities

29. The independent Evaluation Unit will manage the evaluation process, ensuring that the evaluation is conducted by a suitable evaluation team; providing technical support and advice on methodology; explaining evaluation standards and ensuring they are respected; ensuring contractual requirements are met; approving all deliverables (TOR, Inception Reports; draft and final evaluation reports); sharing the evaluation results; supporting use and follow-up of the implementation of the evaluation recommendations

30. The strategic Planning and Monitoring Branch assisted by the Global Solutions Division will be responsible for providing required documentation. Other Offices, Branches and Regional Offices will support evaluation process by providing other documents as requested.

31. An Evaluation Reference Group (ERG) will be established to oversee the evaluation process with representatives from the Programme Division, Division of Management and Operations and OED, including the Independent Evaluation Unit and Executive Board. The Reference Group will be responsible for review and endorsement of main evaluation deliverables including the inception report, drafts and final mid-term evaluation report. Responsibilities of the ERG will be:

- (a) Assisting in identifying other stakeholders to be consulted during the evaluation process;
- (b) Participating in meetings of the reference group;
- (c) Providing inputs and quality assurance on the key evaluation products: TOR, Inception report and draft evaluation report; and
- (d) Participating in validation meeting of the final mid-term evaluation report.

## X. Qualifications and Experience of the Evaluation Team

32. The evaluation will be conducted by two independent external consultants. The consultants must form a team with proven and extensive experience in carrying out institutional, programme and project evaluations and have working experience and/or solid technical knowledge of UN-Habitat. One consultant will be the lead consultant with overall responsibility for delivery of a quality evaluation report in accordance with norms and standards for evaluation in UN-Habitat.

33. The two International Consultants are expected to have:

- (a) Extensive evaluation experience. The consultants should have ability to present credible findings derived from evidence and putting conclusions and recommendations supported by the findings.
- (b) Specific knowledge and understanding of UN-Habitat and its mandate.
- (c) More than 15 years of programme management experience in results-based management working with international development and/or sustainable urbanization.
- (d) Advanced academic degree in political sciences, social economy, governance, information technology, planning, local public administration, or similar relevant fields.
- (e) Recent and relevant experience in working in the United Nations system and inter-agency coherence and coordination.
- (f) Fluent in English (understanding, reading and writing) is a requirement.

## XI. Provisional Time Schedule

34. The conduct of the mid-term evaluation will take place during ultimo January – March 2017 and is estimated to take 6 weeks spread over 10 weeks (2.5 months). The table below indicates timelines and expected deliverables for the mid-term evaluation process.

<i>Item</i>	<i>Description</i>	<i>Timeframe</i>
1	Development, feedback and approval of TOR,	January - February 2023
3	Advertisement and Recruitment of the evaluation consultant	March -May 2023
4	Inception phase, including document review, development of inception report, work plan, questionnaires, etc.	June 2023
5	Data collection phase: Collection of data through interviews, projects analysis, surveys, stakeholder consultations, etc.	July 2023
6	Report writing Draft report, Presentation of findings Reviews of the report	August 2023
7	Submission of the final draft	August 2023

## **XII. Key Deliverables**

35. The three primary deliverables for this evaluation are:

(a) **Inception report** (not more than 15 pages). The consultant is expected to review relevant information including TOR and develop fully informed inception report, detailing how the evaluation is to be conducted, what is to be delivered and when. The inception report should include evaluation purpose and objectives, scope and focus, evaluation issues and tailored questions, methodology, evaluation work plan and deliverables. Once approved, it will become the key management document for the evaluation, guiding the evaluation delivery in accordance with UN-Habitat's expectations. The inception report should include:

- (i) Context of evaluation
- (ii) Purpose, objectives and scope of the evaluation
- (iii) Theory of Change (Reconstruction of Intervention logic)
- (iv) Approach and Methodology for the evaluation
- (v) Evaluation Questions and judgement criteria
- (vi) Data collection and analysis methods
- (vii) Stakeholder mapping
- (viii) Consultation arrangements to maximize the relevance, credibility, quality and uptake of the evaluation
- (ix) Work plan and timelines of evaluation

(b) **Draft evaluation report (s)**. The consultant will prepare draft evaluation report (s) to be reviewed and endorsed the Evaluation Reference Group. It should contain an executive summary that can act as standalone document. The executive summary should include an overview of what is evaluated, purpose and objectives of the evaluation and intended audience, the evaluation methodology, most important findings and main recommendations.

(c) **Final evaluation report** should not exceed 50 pages (including Executive Summary). In general, the report should be technically easy to comprehend for non- evaluation specialists, containing detailed evaluation findings, lessons learned and recommendations (a standard format of UN-Habitat evaluation reports will be provided).

## **XIII. Resources and Payment**

36. The evaluation consultant will be paid a professional evaluation fee based on the level of expertise and experience. DSA will be paid only when travelling on mission outside duty station of the consultants. Travel to UN-Habitat Headquarters, Nairobi is anticipated. Where applicable, travel costs of the consultants (airplane ticket economy class), transfers and DSA as per the UN rate will be covered by the organization in addition to the professional fee.

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