CPR Familiarization Workshop
Planning, Monitoring, Evaluation and Audits

Monday, 10 September 2018
Nairobi, Kenya
“Without goals and plans to reach them, you are like a ship that has set sail with no destination”.

Fitzhugh J. Dodson
(clinical psychologist, lecturer and educator)

“I have accumulated many intellectual debts throughout my life as an economist. Richard Stone was perhaps the most profound influence; from him I learned about measurement – how little we can say without it and how important it is to get it right.”

Angus Deaton
2015 Nobel Prize in Economics
(The Great Escape)
UN-Habitat Planning Cycle so far...

- **6-year Strategic Plan**
  - Overarching framework providing the vision, mission, goals and strategic direction of the organization for a 6-year period.

- **3 consecutive Biennial Strategic Frameworks**
  - UN Secretariat requirement, and principal policy directive
  - Bridges UN-Habitat 6-year strategic plan and UN Secretariat planning and budgeting cycle
  - First step towards the implementation of the 6-year strategic plan

- **3 consecutive Biennial work Programmes and Budgets**
  - Second phase of the UN Secretariat planning and budget cycle
  - Implementation document that operationalizes the strategic framework and the strategic plan with outputs and resources both RB and XB

- **6 Annual Work Plans**
  - Break down the biennial work programme and budget into 2 annual operating plans
  - Provide details on output delivery
  - Last layer of planning at corporate level

- **Projects to deliver work programme outputs**
  - Operational level
  - Vehicles that deliver work programme outputs
  - Vehicles for achieving strategic results
UN SG’s reform agenda...

- Reform of the peace and security architecture,
- Development system reform, and
- Management reform
UN SG’s reform agenda...

Management reform, includes improvement of the planning and budgetary processes:

❑ Moving from a biennial to an annual process

❑ Shortening the planning and budgetary cycle from five to three years

❑ Presenting programme planning and performance information in annual regular budget

❑ Refining elements of the results-based-budgeting framework
UN SG’s reform agenda...

6-year Strategic Plan

3 consecutive Biennial Strategic Frameworks

3 consecutive Biennial Work Programmes and Budgets

6 Annual Work Plans

Projects to deliver work programme outputs

6 Annual Work Programmes and Budgets
Monitoring and Reporting Frameworks...

1. Annual progress report on the implementation of the 6-year strategic plan

2. 6-monthly reviews (senior management performance reviews)

3. Continuous monitoring in IMDIS (leads to Programme Performance Reports)
   Continuous collection of evidence

4. Donor reporting at project level, as agreed
Evaluations: Why?

UN-Habitat subscribes to the UNEG understanding of evaluation, which defines evaluation as “...an assessment, conducted as systematically and impartially as possible, of a activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc.

The purpose of evaluation is to promote accountability and learning. Evaluation aims at determining the relevance, effectiveness, efficiency, sustainability and impact of the interventions and contributions of the organizations of the UN system.
Evaluations: Common Types of Evaluations in UN-Habitat...

- **Project / programme evaluation**
  - A results assessment of an individual project to determine results achieved, its relevance, efficiency, effectiveness, sustainability and impact outlook.

- **Sub-programme / programme evaluation**
  - An assessment of a sub-programme or part of a sub-programme’s expected accomplishments and its outcomes.
  - Focus is on assessing programme design and theory, process and programme achievements and results at outcome and impact levels.

- **Country programme evaluation**
  - A systemic assessment of the contributions made by the UN-Habitat to sustainable urbanization at the country level. It focuses on a set of interventions and their overall success in achieving expected accomplishments and meeting objectives.
Evaluations: Common Types of Evaluations in UN-Habitat...

**Institutional (e.g., Regional office) evaluation**

- An assessment of the work of the regional office involves assessing the contributions made by UN-Habitat to sustainable urbanization and objectives of the Regional Strategic Plan focusing on programming elements, such as collaboration with other UN-Habitat entities, capacity development, innovation, partnership strategies and regional-level results.

**Thematic evaluation**

- An assessment of a thematic area of work. It analyzes multiple projects addressing a theme (e.g., housing financing, integration of gender equality, capacity building, etc.) with a view to understanding the combined results in an area and better understanding the opportunities, challenges and gaps in programming and results. It can be conducted at the global, regional or country level.

**Policy or strategy evaluation**

- An evaluation, which emphasizes ways in which the evaluation findings can influence policy and strategic processes.
Audit Functions in UN-Habitat...

UN-Habitat has internal and external audit functions: The *Financial Regulations and Rules of the United Nations* provide OIOS and BOA the exclusive rights to conduct respectively internal and external audit on UN-Habitat.

Mandate and scope: **Internal audit** provides assurance on the economy, effectiveness and efficiency on the management and utilization of resources and internal controls. **External audit** certifies UN-Habitat financial statements.

Frequency: OIOS performs about 4 internal audits on the operations, BOA 1 annual audit on the financial statements.
Audit Functions in UN-Habitat...

UN-Habitat internal and external audit functions apply best international practices in auditing: (i) operationally independent; (ii) direct reporting to member states; (iii) security of tenure; (iv) international auditing standards; and (v) public disclosure.

Implementation of audit recommendations monitored and reported in the Executive Director Scorecard and to the General Assembly; in 2017 implementation rate: 69% (internal audit) and 100% (external audit).
Thank You!