
Terms of Reference

1. Introduction

The Ninth Session of the World Urban Forum (WUF9) to be held in Kuala Lumpur, Malaysia took place from 7 to 13 February 2018. The Theme of WUF9 “Cities 2030, Cities for All: Implementing the New Urban Agenda” – placed the Forum’s focus on the New Urban Agenda as a tool and accelerator for achieving the 2030 Agenda and its Sustainable Development Goals.

WUF9 is part of the six-year World Urban Forum Programme, which runs from 2018-2023. The WUF programme allows for medium-term planning and it is a key catalytic vehicle for mobilizing partnerships and networks, an advocacy and awareness-raising platform as well as a knowledge platform contributing to the implementation, monitoring and review of the New Urban Agenda and the urban dimensions of the Sustainable Development Goals.

The programme integrates results-based management with specific indicators and short and medium term (4/6 years) targets developed to measure results of UN-Habitat entities, branches and regional offices related to WUF in advancing UN-Habitat’s work and strategy, as well as contributing to the implementation, monitoring and reporting on the implementation of New Urban Agenda and the urban dimensions of the Sustainable Development Goals.

This ToRs have been developed to assess the WUF9 impact and outcomes, as reflected in the Governing Council resolution 26/6. The evaluation will be carried out as a corporate evaluation, conducted by the external consultant, managed by the UN-Habitat Evaluation Unit and guided by an Evaluation Reference Group. This is in line with the UN-Habitat Evaluation Policy.

Evaluation of the World Urban Forum is in accordance with the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME) – ST/SGB/2016/6, specifically to determine as systematically and objectively as possible the relevance, efficiency, effectiveness and impact of the organizations activities in relation to their objectives.

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1 OP5, GC26/6. “Further requests the Executive Director, in consultation with the Committee of Permanent Representatives, to assess the impact and outcome of each session of the Forum using a results-based approach, including various evaluation tools and mechanisms”.

2 Paragraph 44: “Centralized evaluations: All evaluations that are prioritized by UN-Habitat due to their strategic, thematic or demonstration importance will be conducted as corporate centralized evaluations by external consultants or the Evaluation Unit” [...] They will be managed by the Evaluation Unit in consultation with the relevant programme unit.”
The UN-Habitat Governing Council (GC), during its 22nd Session of April 2009, through resolution 22/10, noting the growing interest in the World Urban Forum, requested the lessons-learned review of previous sessions, 2002-2008, with a view to improving the planning, organization and effectiveness of future sessions. The review was carried out by an external consultant and resulted in 19 recommendations.

Recommendation 9, on planning future World Urban Forums sessions using a results-based management approach, specifically requested for expected results and success criteria to be clearly articulated in the World Urban Forum planning documents. The Seventh session of the World Urban Forum (WUF7) held in April 2014 was the first one planned and implemented using a results-based approach.

The GC Resolution 23/5 further mandates UN-Habitat to assess the impact and outcome of each WUF session using a results-based approach and to incorporate that more distinctly into the programme of work of the UN-Habitat.

The evaluation structure of World Urban Forum programme, contains the following milestones:

<table>
<thead>
<tr>
<th>Mid Term Evaluation Date:</th>
<th>December 2020</th>
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<tr>
<td>End-of-Project Evaluation Date:</td>
<td>December 2023</td>
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The World Urban Forum programme will be subject to an external and independent mid-term and ex-post evaluation. This evaluation of WUF9 will feed into the mid-term evaluation and end-programme evaluations planned for the WUF programme. Since WUF7, the WUF programme uses a logical framework. The independent evaluation should assess the outcomes and impact of WUF9 in relation to this logical framework, as well as other planning documents such as the subprogrammes and regional offices WUF9 logframes.

In addition to this evaluation, external and independent mid-term and end-of-project evaluation for the six year programme, a self-assessment conducted by the World Urban Forum Secretariat in collaboration with the host country, will start immediately before the holding of an edition of the World Urban Forum continuing all through the conference implementation, during which the evaluation team will undertake observations, participants' views as well as surveys. The self-evaluation will be available for the use of the external evaluator.

2. Background and Context

The United Nations Human Settlements (UN-Habitat) is the lead United Nations agency for Cities and Human Settlements. The agency was established as the United Nations Centre for Human Settlements (UNCHS), through the United Nations General Assembly Resolution 32/162 of December 1977, following the first global Conference of United Nations on Human Settlements that was held in Vancouver, Canada, in 1976.

United Nations General Assembly Resolution A/RES/56/206 strengthened the mandate and status of UNCHS, and the Centre was transformed to the United Nations Human Settlements
Programme (UN-Habitat). Through the same resolution 56/206, the World Urban Forum was established as a non-legislative technical forum in which experts could exchange views in the years when the Governing Council did not meet. Earlier, through resolution 18/5 of 16 February 2001 the Governing Council had requested the Executive Director of UN-Habitat to promote a merger of the Urban Environment Forum and the International Forum on Urban Poverty into a new urban forum, with a view to strengthening the coordination of international support to the implementation of the Habitat Agenda.

The Forum is an open and inclusive gathering that brings together participants from all over the world representing governments at national, regional and local levels, academia, civil society organizations, parliamentarians, foundations, professionals, women and youth groups and the private sector as partners working for better cities as well as United Nations agencies, intergovernmental organizations and media.

The United Nations General Assembly in its resolution 69/226 recognizes the World Urban Forum as the foremost global arena for interaction among policymakers, local government leaders, non-governmental organizations and expert practitioners in the field of sustainable urban development and human settlements.

In paragraph 167 of the New Urban Agenda, adopted at the United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in October 2016, participating States requested the report of the implementation of the Agenda to incorporate, to the extent possible, the inputs of multilateral organizations and processes where appropriate, civil society, the private sector and academia and to build on existing platforms and processes such as the World Urban Forum convened by UN-Habitat.

2.1 Evaluation of the WUF9 impact and outcomes

WUF9 is the first of three WUFs planned in the WUF project document covering the period from 2018 to 2023. The host of the WUF9 is the Government of Malaysia and the city of Kuala Lumpur. It will take place from 7 to 13 February 2018. The Theme of WUF9 “Cities 2030, Cities for All: Implementing the New Urban Agenda” – places the Forum’s focus on the New Urban Agenda as a tool and accelerator for achieving the 2030 Agenda and its Sustainable Development Goals.

The five main expected accomplishments of the Forum are:

EA 1: Awareness is raised on sustainable urban development among stakeholders and constituencies, including the public;

3 The United Nations General Assembly decided, in its resolution 56/206 (2001), that the Forum would be a “non-legislative technical forum in which experts can exchange views in the years when the Governing Council of the United Nations Human Settlements Programme does not meet.” At the same session, the General Assembly, in paragraph 7 of its resolution 56/205, encouraged “…local authorities and other Habitat Agenda partners” to participate, as appropriate, in the World Urban Forum in its role as an advisory body to the Executive Director of UN-Habitat.
EA 2: Collective knowledge on sustainable urban development is improved through inclusive open debates, sharing of lessons learned and the exchange of urban solutions, good practices and policies;

EA 3: Coordination and cooperation is increased within the United Nations system and with different stakeholders and constituencies for an effective implementation of the New Urban Agenda;

EA 4: Substantive and strategic inputs from multilateral organizations, national and subnational governments and stakeholders, are provided into the reporting of the implementation of the New Urban Agenda (in line with Op. 167 of the New Urban Agenda);

EA 5: UN-Habitat profile is raised, and strategic programming supported with specific focus on implementing and subsequently feed the six years Strategic Plan and biennial Work Programme and Budget.

The WUF programme logical framework contains key indicators to measure achievement of expected accomplishments. In addition to the WUF Programme logical framework to further assess outcomes, and as part of the programme implementation to increase its impact, logical frameworks for the seven UN-Habitat subprogrammes and regional strategies with WUF-specific expected accomplishments and indicators of achievement as well as proposed medium-term impact measurements have been developed by the WUF Secretariat in collaboration with the UN-Habitat branches and regional offices.

2.2 UN-Habitat’s Implementation Approach to WUF

The Governing Council, through resolution GC26/6 gave directives on how WUF9 and future sessions of WUF should be implemented. The resolution requested the Executive Director to improve and define a timely planning process, identifying focused objectives and measurable indicators of success, designing conducive event formats and strengthening reporting mechanisms to enable the effective collection of the substantive outcomes of sessions of the Forum. It further requested appropriate coordination within the UN-Habitat subprogrammes and with the regional offices and through the interdivisional support mechanism of the agency to ensure the success of the sessions of the Forum.

The same resolution requested the Executive Director to promote the engagement of all relevant stakeholders towards the implementation of the New Urban Agenda in collaboration with the host city of each session of the Forum.

The logical framework of WUF project document, as part of the results-based approach, has specific indicators as well as short and medium term (4/6 years) targets which will be worked out to measure results of sub programmes and regional strategies related to WUF9 and in advancing both the UN-Habitat work and strategy, and impacts in the implementation of the New Urban Agenda and the urban dimension of the Sustainable Development Goals.
Partnerships and networking together with resource mobilization are key components of the programme, as well as a strengthened and innovative capacity building dimension.

The purpose of the WUF Programme is to contribute to the advancement of the coordinated implementation of the New Urban Agenda; to ensure that sustainable urban development is increasingly incorporated in the political and media global agenda; and to ensure that knowledge and awareness are created at all level, including the general public. In particular, the programme, while addressing the overall issue related to rapid urbanization with its challenges and opportunities, seeks to contribute to bridge the existing gaps on:

- Lack of legitimated, fully inclusive global platforms within the UN system for exchange of experience and knowledge on sustainable urbanization
- Poor sectorial integration, coordination and cooperation among different constituencies dealing with sustainable urban development related subjects, which may hamper an effective implementation of the New Urban Agenda.
- Insufficient advocacy and awareness on sustainable urbanization, which if improved could be the key to include the item in the global political and media agenda
- Need to create a strong platform that will substantively feed in the follow-up and review process of the New Urban Agenda
- Need to raise the profile of UN-Habitat as a focal point for the United Nations system in implementing the New Urban Agenda in an integrated and collaborative way

In addition, the programme seeks to contribute to raising the profile of UN-Habitat as a leading agency in the field of urbanization, along with the consolidation of its knowledge base and the incorporation of the conference outcomes in the strategies and work of the agency from the normative to the operation level.

Other key specific elements guiding the WUF programme are:

1. Coherent programme of the event based on thematic threads
2. Results-oriented sessions with formats conducive to draw conclusions and produce relevant outcomes
3. Highly qualitative speakers’ panels ensuring geographic, partners’ category, age and gender balance
4. Strong mobilization at the global, regional and country levels using out-posted staff and offices along with other available tools
5. Strategic linkage with the New Urban Agenda and the Sustainable Development Goals, mainstreaming them in all substantive debates
6. Expanded participation and inclusiveness (including remote participation) using live streaming social media and other available tools
7. Innovations introduced at all levels, as long as they are suitable to a better achievement of objectives.
A final substantive report will be prepared by the WUF Secretariat after every session of the World Urban Forum to be published and officially presented during the subsequent session of the UN-Habitat Governing Council.

3. **Purpose of the Evaluation**

The main purpose of this evaluation is to assess impact and outcomes of the Ninth session of the World Urban Forum not only after the event but within a reasonable time (one year) in which the impact and outcomes could be fully measurable.

The key users of the evaluation are UN-Habitat management and staff; the governing bodies, donors, partners, experts in the field of urban development, policy makers and other key stakeholders. The assessment will be based on evaluation criteria of relevance, effectiveness, efficiency, sustainability and impact. The evaluation will identify impact, outcomes, achievements, lessons, challenges and opportunities for the World Urban Forum. The evaluation is expected to be instrumental in providing recommendations for the effective implementation of the WUF Programme.

4. **Objectives of the Evaluation**

The objectives of the evaluation are to assess the impact and outcomes of WUF9, including the achievement of expected accomplishments and performance; promote learning, feedback and knowledge sharing.

4.1 **Key Evaluation Questions**

The evaluation will focus on the following sets of key questions, which may be expanded by the Evaluation Team as deemed appropriate:

a) How was the WUF9 linked to the implementation of the UN-Habitat work programme, its Strategic Framework 2014-2019, the New Urban Agenda and the 2030 Agenda?

b) To what extent was the WUF9 programme linked to the WUF9 theme and relevant for the targeted audiences?

c) In what ways do the WUF9 outcomes contribute to relevant UN-Habitat strategies, and work effectiveness of UN-Habitat with focus on the Work Programme, budget and sub-programmes?

d) To what extent do the WUF9 outcomes contribute to improving collective knowledge on sustainable urbanization? And to the implementation of the New Urban Agenda and the achievement of the 2030 Agenda?

e) To what extent do the WUF9 outcomes directly contribute to increasing the level of coordination and cooperation within and between stakeholder groups? What are the most innovative and effective approaches or formats used?
f) How do the WUF9 outcomes contribute to raising awareness on sustainable urbanization among stakeholders and constituencies and the general public?

g) How do the WUF9 outcomes contribute to the reporting on the New Urban Agenda by gathering substantive and strategic inputs from multilateral organisations, national and subnational governments and stakeholders?

h) How do the WUF9 outcomes impact the preparations of the UN-Habitat Strategic Framework 2020-2025? How effective is it in providing inputs to the UN-Habitat governing bodies?

5. Scope of the Evaluation

The evaluation is expected to assess impact and outcomes of WUF9. The evaluation analysis will be based on the expected accomplishments identified in the logical framework for WUF, as well as the logical frameworks for subprogrammes and regional offices, as well as other tools for measuring medium-term impact. The evaluation period will end one year after the celebration of WUF9 to properly capture its impact.

6. Evaluation Approach and Methodology

The evaluation approach will be a result-based approach (Programme Theory Evaluation), using the Programme logical framework and WUF related subprogrammes and regional offices logframes, as well as other evaluation tools to properly measure outcomes and impact. Further, the evaluation will be inclusive, participatory and highly consultative with partners and stakeholders. It will be conducted in a transparent way as an external and independent evaluation in line with the Norms and Standards for Evaluation in the UN system and the UN-Habitat Evaluation Policy.

The evaluation will be conducted in phases.

**Document Review Phase.** This phase will include a review of policy documents relating to WUF, its project document, logical framework, subprogrammes and regional logframes, concept note, as well as reports of previous WUFs. It will also include the review of WUF9 events’ reports and UN-Habitat main sessions reports, as well as other reports, including from the Host Country.

**Data Collection Phase.** After the period of six months, nine months after the WUF9, several participant surveys (i.e., Questionnaire to be administered in three languages) will be conducted to assess impact and outcomes of the WUF9. The evaluator will map key informants for interviews whose roles could support the evaluation of the impact of WUF in the implementation of the New Urban Agenda or in the key WUF goals. In addition, follow-up interviews will be conducted.

**Draft inception report**
A Draft inception will be shared with the Evaluation Reference Group members for review, comments and addressing factual errors.

**Follow-up and draft report**
A post–survey and follow-up interviews will be conducted, between the month tenth and eleventh after the WUF9 to share with external partners and stakeholders the draft findings on the impact and outcomes of the Forum. The draft report will be shared with the Evaluation Reference Group.

**Methods to be used**
A variety of methods will be applied to collect information as outlined below:
- Review of relevant documents to be provided by the WUF Secretariat; including project logical framework, resolutions on WUF, WUF9 documentation, website and previous WUF reports.
- Interviews with external participants using semi-structured interviews and focused group discussions (a transparent criterion will be used for the selection of the interviews)
- Interviews with UN-Habitat entities, branches and regional offices
- Several participants’ surveys will be administered with the aim of identifying results of WUF9
- Interviews with national and subnational stakeholders
- If considered by the evaluator, interviews with members of the host country organizing committee as well as UN staff members such as the WUF Secretariat or others.

**7. Evaluation Criteria to be applied**

**Relevance**
The evaluation will assess whether the WUF9 programme’s impact and outcomes are consistent with global sustainable urbanization issues and needs.

It will assess how well the WUF9 outcomes are aligned with UN-Habitat’s Strategic Plan 2014-2019 and Programme of Work 2018-2019 and the expected accomplishment of focus areas.

**Effectiveness**
The evaluation will assess whether the WUF9 outcomes achieved its intended expected accomplishments.

**Efficiency**
The evaluation will assess the cost-effectiveness and timeliness. It will describe any cost- or time-saving innovative measures put in place to achieving WUF9 programme results.

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4 A Survey to be administered to all participants registered in the WUF9 registration database. Survey software should ensure only one response per registrant. The post-WUF9 survey shall be open for three weeks, with reminders sent out before the response deadline.
Sustainability
Sustainability is understood as the probability of continued long-term WUF9 programme derived results and impacts.

Impact
This will be an assessment of the likelihood of WUF9 impact.

Cross-cutting Issues
The evaluation will first determine if the integration of cross-cutting issues (gender equality, human rights, youth and climate change) can be evaluated or not (evaluability) and then make use of evaluation indicators, data collection methods and tools to collect gender related data and analyze that data.

Other criteria to be considered will include attribution, innovation and catalytic role.

8. Stakeholder Involvement
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 external stakeholders, partners, beneficiaries of WUF9, Committee of Permanent Representatives (CPR), donors and other interested parties. Some key stakeholders, including those stakeholders involved in the implementation and users/recipients/beneficiaries will participate through interviews, questionnaires or focus group discussions. The extent to which different stakeholder groups should participate will be discussed with the Evaluator given implications of costs, timing and other practical aspects, such scope of data collection and analysis.

Stakeholders will be kept informed of the evaluation processes including design, information collection, and evaluation reporting and results dissemination to create a positive attitude for the evaluation and enhance utilization. Some will be involved in providing information through interviews and surveys.

The evaluation will target all groups of participants, including organizers, participants, and donors.

Key participants’ stakeholder groups include:
- **Local authorities, regional/local governments and municipalities:** mayors, representatives of local authority councils, townships, prefectures and provinces.
- **Civil society organizations:** representatives of women’s organizations, youth organizations, social/peoples’ movements, indigenous peoples’ organizations, trade unions, faith-based organizations, professional associations and foundations.
- **National governments:** heads of state, heads of government, representatives of governments, diplomats.
- **Parliamentarians**
- **Professionals**
9. Management and conduct of the evaluation

The evaluation has been mandated by the Governing Council. The Evaluation Unit of UN-Habitat will manage and provide support to the evaluation process, ensuring that the evaluation is contracted to a suitable candidate; providing advice on methodology and code of conduct of evaluation; providing technical support as required; ensuring that contractual requirements are met; and approving all deliverables (evaluation work plan, draft and final evaluation reports). The WUF secretarial will be responsible for providing information, documentation required as well as coordination with relevant WUF stakeholders for provision of evaluation information. The WUF Secretariat will promote the evaluation during WUF9, informing participants and other target groups of the purpose of the evaluation and to encourage them to complete WUF surveys and participate in interviews.

Evaluation Reference Group (ERG) will be established to oversee the evaluation processes with members from WUF Secretariat, Evaluation Unit, Division of Management and Operations, Programme Division, External Relations Division and one UN representative from the Department of Management with experience on Evaluations. Its role is to guide the evaluation process and ensure quality of process and outputs of the evaluation. The group will endorse the TOR, inception report and draft evaluation reports. The evaluation will be supported by the WUF9 Secretariat in terms of evaluation budget and provision of required information.

An experienced evaluation consultant will be hired to conduct the evaluation. The consultant be knowledgeable of UN-Habitat’s global mandate and its operations. He/she should have proven expertise in facilitating different types of consultative and evaluative group discussions. Additional resources to support the consultant in data collection and interviews will be required.

10. Qualifications of the Consultant

Education

Advanced academic degree in economics, sociology statistics, urban planning, project management, or other related study areas.

Work Experience

Minimum of 10 years of proven evaluation experience. Knowledge and understanding of UN and UN-Habitat’s role in promoting sustainable urbanization and human settlements issues in
general. Experience in delivery of advocacy and global outreach through programmes and experience in results-based management.

**Language**

Fluency as well as excellent writing skills in English is required; working knowledge of other United Nations official languages is an advantage.

**11. Work Schedule**

The evaluation will be conducted over two paid months spread over a period of 9 months from April to December 2018. The evaluator is expected to prepare a detailed work plan that will operationalize the evaluation. The provisional time table as follows.

**12. Deliverables**

The three primary deliverables for this evaluation are expected from consultants:

(a) **Inception report.** The evaluator will prepare an evaluation inception report to operationalize and direct the evaluation. The work plan will include interview protocols and questionnaires. The work plan will outline how the evaluation will be carried out. Once approved by the Reference Group, it will become the key management document for the evaluation, guiding evaluation delivery in accordance with UN-Habitat’s expectations throughout the performance of contract.

(b) **Draft evaluation reports.** The evaluator will prepare evaluation report draft(s) to be reviewed by the Reference Group. The draft should follow UN-Habitat’s standard format for evaluation reports (Annex II: Requirements for UN-Habitat Evaluation Reports). The drafts may be more than one, until a draft is approved to have met the basic requirements of UN-Habitat reports.

(c) **Final evaluation report** (including Executive Summary and Annexes) prepared in English and following the UN-Habitat’s standard format of evaluation report. The report should not exceed 50 pages (excluding Executive Summary). In general, the report should be technically easy to comprehend for non-specialists.

**13. Resources**

The consultants will be paid an evaluation fee based on the level of expertise and experience. DSA will be paid only when travelling on mission outside official duty stations of the consultant. All travel costs will be covered by UN-Habitat.