In-depth evaluation of the United Nations Human Settlement Programme
Status of the Implementation of OIOS Recommendations;
as of March 2006

Note by the UN-HABITAT Secretariat

1. In June 2002, the Committee for Programme and Coordination (CPC) decided that an in-depth evaluation should be carried on United Nations Human Settlements Programme (UN-HABITAT), by the Office of Internal Oversight Services (OIOS). The in-depth evaluation was to be strategic and forward looking.

2. The evaluation was carried out in 2004. In June 2005, the CPC considered the report of the OIOS on the in-depth evaluation of the UN-HABITAT (E/AC.51/2005/3). Earlier, an unedited copy of the report was presented to the Governing Council of UN-HABITAT at its 20th session for review.

3. The CPC agreed with the main finding of the report and was satisfied with the 13 recommendations made by OIOS. The Committee endorsed recommendation 1, 2 and 5-13 as some delegations had expressed reservations on the adoption of recommendations 3 and 4 on mainstreaming housing rights and consolidating the two UN-HABITAT flagship reports.

4. The Status of the implementation of 13 recommendations is indicated in the Plan of Implementation Matrix which shows: (i) recommendation by OIOS; (ii) status of implementation; (iii) time frames; and (iv) UN-HABITAT’s offices responsible for coordinating the implementation.

5. In summary, three recommendations have been fully implemented; two partially implemented; five under implementation and two were not endorsed by the CPC.

6. The OIOS is also following up on the implementation of the recommendations and their last review was on 31 December 2005. Comments by both UN-HABITAT and OIOS on each recommendation are provided. UN-HABITAT is pleased with the progress made so far and is desirous of speedy implementation of the remaining recommendations.

7. Attached, are the Plan of Implementation of the recommendations and the report of OIOS on the in-depth evaluation of UN-HABITAT.
<table>
<thead>
<tr>
<th>Rec. No.</th>
<th>Recommendation by OIOS</th>
<th>Status of implementation</th>
<th>Time Frame</th>
<th>Coordinating Section</th>
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<tr>
<td>1</td>
<td><strong>Sharpening the focus of UN-UNHABITAT</strong>&lt;br&gt;Given its very broad mandate and the very limited scale of its available resources, UN-Habitat should identify a few critical areas of its mandates on which to focus in order to have the greatest impact within the constraints imposed by its approved work programme. This process of identifying areas of focus should result in proposals to be submitted to the Committee of Permanent Representatives in the first half of 2006 (see paras. 71 and 77 of the evaluation report).&lt;br&gt;&lt;br&gt;<strong>UN-HABITAT’s comments:</strong>&lt;br&gt;UN-HABITAT embarked on a comprehensive reform process since 1999 (strategic vision). Since joining UN-HABITAT in 2000, the Executive Director(ED), with the general guidance and support of the Governing Council(GC), has taken a number of measures to further strengthen these reforms and refine the agency’s strategic vision. A new Adviser on Strategic Policy and Planning was appointed and took over from the previous one who retired. He is working on a draft review in consultation with the Senior Management, the ED, the Deputy Executive Director(DED) – also recently appointed. The Adviser underwent executive training for this purpose in December 2005, Columbia University, in New York.&lt;br&gt;• Progress report submitted to CPR in November 2005.&lt;br&gt;• Draft Terms of Reference prepared and submitted to CPR January 2006.&lt;br&gt;• Draft proposal for implementation to be submitted to CPR in the first half of 2006.&lt;br&gt;&lt;br&gt;<strong>OIOS’ comments:</strong>&lt;br&gt;Implementation is in progress (pending receipt by OIOS of the proposals to be submitted to the CPR in the first half of 2006, and outcome of the meeting).</td>
<td>Under Implementation.</td>
<td>Proposals to be submitted to CPR in the first half of 2006 for discussions.</td>
<td>OED and PSD.</td>
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<td></td>
<td><strong>Recommendation</strong></td>
<td><strong>Implementation</strong></td>
<td><strong>UN-HABITAT’s comments</strong></td>
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<td>2</td>
<td><strong>Improve the planning, management and funding of the global campaigns</strong>&lt;br&gt;The Shelter and Sustainable Human Settlements Development Division should enhance the impact of the global campaigns, through a strategic review and programming exercise, by (a) refining the current campaign model on the basis of past lessons; (b) assisting the sustainability of the campaign momentum beyond the launch event by developing and sharing, at the planning stage, the strategic plans of action with traditional donors and potential new donors; and (c) mobilizing adequate resources for campaign activities (see paras. 13 to 15 of the evaluation report).&lt;br&gt;&lt;br&gt;<strong>UN-HABITAT’s comments:</strong>&lt;br&gt;Pursuant to the OIOS report as well as resolution 20/12 of the Governing Council and the report on the evaluation of the campaigns, the campaigns managers undertook an Agency wide consultation as well as with some CPR members which lead to the preparation of a draft forward looking strategic plan. The draft was discussed by the CPR and is now being finalized. Campaign managers, under the leadership of the Director of Global Division and in collaboration with RTCD and other relevant units, to review current campaign model and strategic plans of actions, and make recommendations for improvement. A forward looking strategic plan was elaborated in November and presented to the CPR meeting on December 1st, 2005.&lt;br&gt;&lt;br&gt;<strong>OIOS’ comments:</strong>&lt;br&gt;Implementation In progress; pending receipt by OIOS for review of forward looking strategic plan and outcome of the CPR meeting, as well as at later date (to be determined by the timeline of the strategic plan), a review of the results of implementation of the strategic plan.</td>
<td>Under implementation.</td>
<td>A forward looking strategic plan reviewed by CPR in December 2005, it is being finalized.</td>
<td>Shelter Branch &amp; Urban Development Branch of the Global Division; and RTCD.</td>
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<td>3</td>
<td><strong>Mainstream housing rights</strong>&lt;br&gt;The Executive Director should establish an in-house task force to mainstream housing rights, including security of tenure and slum upgrading, in all aspects of UN-Habitat activities in the same way that gender issues have been mainstreamed (see paras. 17 and 18 of the evaluation report).&lt;br&gt;&lt;br&gt;<strong>UN-HABITAT’s comments:</strong>&lt;br&gt;Although the recommendation was not endorsed by CPC, UN-HABITAT is a member of UNDG task force responsible for implementing SG reform of mainstreaming a human rights approach in UN activities. On this basis an in-house task force composed of staff from relevant units of UN-HABITAT has been set up to develop strategy and guidelines to mainstream housing rights.</td>
<td>Recommendation was not endorsed by the CPC.</td>
<td>Shelter Branch, Housing Rights Section.</td>
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Consolidate flagship reports

UN-Habitat should publish one flagship report every other year and publicize it through extensive launch activities, utilizing the lessons learned from the launch of the 2003 edition of the Global Report on Human Settlements, *the Challenge of Slums*. All UN-Habitat publications, including its flagship reports, should contain a summary of key findings with policy implications, and these findings should be publicized through press releases and interviews. All publications should be sent for review to professional and policy journals concerned with human settlements, and the reviews discussed at the managerial level (see para. 30 of the evaluation report)

UN-HABITAT’s comments:
The consolidation of the reports was not endorsed by the CPC. The Committee, however, recommended the implementation of the other elements of the recommendation: improving coherence and internal consistency of inputs into the report through its ownership and guidance of the substantive report preparatory process, as well as the recommendation of the OIOS regarding the dissemination, publicity, professional reviews and evaluation of the flagship report.
(i) Unit(s) responsible for the preparation of the reports to develop a draft proposal on how to maintain the quality of the reports, avoid duplication and improve the coherence and internal consistency of inputs into the reports. The proposal will also include a component on the consultative process for capturing users’ feedback and needs. (GC and WUF).
(ii) The Monitoring and Research Division will work with Information Services Section to develop action plan for publicizing and disseminating the reports.

Proposal, including detailed plan of implementation, is currently under preparation to be submitted to the ED in her current capacity as Acting Director of the Monitoring & Research Division by mid-March 2006. In the meantime, action to improve coherence and internal consistency of the inputs into the *Global Report on Human Settlements* has already been taken by organizing periodic meetings of main authors with the Global Research Network on Human Settlements (HS-Net) Advisory Board to discuss, review and harmonize authors’ substantive inputs.

OIOS’ comments:
Implementation in progress; pending receipt by OIOS for review, the proposal and detailed plan of implementation, as well as review of results of implementation of the proposal at a later date.

Not Endorsed by CPC but some aspects under implementation.

Proposal, including detailed plan of implementation and time frames to be submitted to Head of the Division. Implementation will begin once proposal is finalized and approved by the Executive Director.

Monitoring and Research Division, and ISS.
Eliminate gaps in research
The Monitoring and Research Division should prioritize its programme of research to eliminate the critical gaps in coverage that it has identified. One priority should be to provide guidance and leadership to the Human Settlements Network, focusing it on policy-oriented research (see paras. 32 and 33 of the evaluation report).

UN-HABITAT’s comments:
UN-Habitat cannot, on its own, fill all of the numerous gaps identified. These gaps were identified within the context of a global urban research agenda and not necessarily with respect to UN-Habitat’s own research programme. However, UN-Habitat does contribute to the filling of these research gaps and its principal mechanism of doing so is the Global Report on Human Settlements, which is based on research from all over the world. UN-Habitat also encourages members of the Global Research Network on Human Settlements (HS-Net) to carry out research relevant to the identified gaps.

Based on research gaps identified, the Monitoring and Research Division to develop medium-term research priorities to guide selection of topics for future issues of the Global Report on Human Settlements as well as the work of the Global Research Network on Human Settlements (HS-Net).

- Prioritization will be consistent with action taken under recommendation 1
- A document proposing medium-term research priorities and topics for future issues of the Global Report on Human Settlements is currently being prepared and shall be submitted to the Executive Director for approval by mid-March 2006

OIOS’ comments:
Implementation in progress; pending receipt by OIOS of document proposing medium-term research priorities, as well as review of topics for the Global Report on Human Settlements for coverage of critical gaps identified.
### 6 (a) Best Practices and Local Leadership Programme

UN-Habitat management ensure that the lessons learned from the Best Practices and Local Leadership Programme are more systematically integrated into the work of the other UN-Habitat units;

**UN-HABITAT’s Comments:**
An internal task force, which includes representatives from all Divisions, has been constituted. It prepared its recommendations to the Executive Director for approval.

**OIOS’ comments:**
In Progress; pending review of evidence of systematic integration of lessons learned from Best Practices and Local Leadership Programme in work of other UN-Habitat units.

### 6 (b) The guidelines and mode of operation of the Best Practices and Local Leadership Programme should be reviewed in order to focus its work more sharply on human settlements and urban poverty issues (see para. 35 of the evaluation report).

**UN-HABITAT’s comments:**
An internal task force, which includes representatives from all Divisions, has been constituted. It prepared its recommendations to the Executive Director and is waiting for approval.

**OIOS’ comments:**
Implementation in Progress; pending review of recommendations for sharpening guidelines and mode of operation of the BPLLP to focus on human settlements and urban poverty issues.

| Task force submitted recommendations to the ED by end of January 2006. | Task force (convened by MRD) submitted recommendations to the ED, once approved, guidelines will be updated immediately. | Monitoring & Research Division (Best Practices and Leadership Section). |
Evaluate the impact of the UN-Habitat programme managers
An evaluation of the role and effectiveness of the UN-Habitat programme managers (HPMs) should be conducted early in 2007 for review by senior management at both UN-Habitat and UNDP (see para. 46 of the evaluation report).

UN-HABITAT’s comments:
The first step of the evaluation exercise, Self-evaluation by HPMs, was completed in February 2006. The second Step, where the HPMs are to be evaluated by headquarters (March- May) is well advanced. The final step, an independent evaluation by external consultants will be carried out in June-September 2006, pending availability of funds. The ToRs of the independent evaluation are finalized, after consultation with the CPR. The UN-HABITAT Executive Director wrote to the CPR requesting specific financial contributions of US$200,000, a budget for the independent evaluation.

OIOS' comments:
Implementation in progress; pending completion of the evaluation and review of its findings.

8 (a) Relevant pilot projects involving direct technical assistance should be designed to scale up
The governing policy in regard to technical assistance for which UN Habitat is the executing agency should be that relevant pilot projects which involve direct technical assistance for slum upgrading be designed to scale up, if they are assessed to have had a positive impact;

UN-HABITAT’s comments:
A new UN-HABITAT Monitoring and Evaluation Policy is being developed. The first draft is under review and shall be circulated to CPR for comments. The policy will be printed before end of April 2006. It provides clear institutional management for Monitoring and Evaluation functions including, guidelines and criteria for assessing successful projects for scaling up. It also emphasizes the importance of incorporating lessons learned into planning and designing of new projects and Programmes.

OIOS' comments:
Implementation in progress: Pending receipt by OIOS of the new policy being developed, and review at later stage of evidence of scaling up of successful projects.
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<th>8(b)</th>
<th>In the context of addressing the problem of raising medium- to long-term domestic capital, a critical element of moving to scale, the Slum Upgrading Facility should clearly define its role and the division of labour vis-à-vis other international organizations and lending institutions;</th>
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<td><strong>UN-HABITAT’s comments:</strong></td>
<td>Inter-institutional arrangements with the World Bank and other regional and international financial institutions as well as the specific role and operation of SUF are captured in the SUF operations manual. A grant agreement has been signed by the World Bank Trust Fund of the Cities alliance and UN-HABITAT on the SUF. The SUF Design Phase has been extended by request of donors to April 2006; the Pilot Phase starts January 2006. SUF Progress Report 3 was submitted to the SUF Consultative Board on 30 November. The Pilot Phase will end December 2008.</td>
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<td><strong>OIOS’ comments:</strong></td>
<td>Implementation in progress; pending OIOS review at later stage of clarity of the role and division of labour between SUF and other international organizations and lending institutions</td>
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<td>8(c)</td>
<td>The Financial Rules and Regulations of the United Nations Habitat and Human Settlements Foundation should be published and promulgated by the end of 2005 (see paras. 47-49, 58 and 59 of the evaluation report).</td>
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<td><strong>UN-HABITAT’s comments:</strong></td>
<td>UN-HABITAT, with the help of an expert identified by the Controller, prepared draft Rules and Regulations of the UNHHSF. Initial comments were received from the Controller’s office and UN Office of Legal Affairs and were incorporated into the draft Rules and Regulations. The final draft of the Financial Rules and a manual on Operational Procedures and Guidelines were prepared and submitted to the Controller for his approval, following extensive consultations with the Controller’s Office as well the Legal Office. UN-HABITAT is waiting for the approval by the Controller’s Office.</td>
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<td><strong>OIOS’ comments:</strong></td>
<td>Implementation in progress; pending OIOS receipt of confirmation of the approval, publication and promulgation of the Financial Rules and Regulations.</td>
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<tr>
<th></th>
<th>Implemented</th>
<th>SUF updated policy in place.</th>
<th>Financing Human Settlements Division.</th>
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<td>8(b)</td>
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<tr>
<td>8(c)</td>
<td>Under implementation</td>
<td>Waiting for approval from New York. UN-HABITAT following up as a matter of priority.</td>
<td>Programme Support Division (PSD)</td>
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9(a) Early involvement of human settlements experts in post-conflict and disaster assessment and reconstruction

UN-Habitat, through its involvement in the Executive Committee on Humanitarian Affairs, should promote the early involvement of human settlements experts in post-conflict and disaster assessment and reconstruction in order to ensure that human settlements reconstruction follows best practices; to be fully integrated into the United Nations humanitarian and reconstruction process, UN-Habitat must become a member of the Inter-Agency Standing Committee;

UN-HABITAT’s comments:
UN-HABITAT has been participating on a regular basis in ECHA’s meetings and has been striving to promote such an involvement.
UN-HABITAT has also been participating in most IASC meetings informally. In the aftermath of the recent Asian Tsunami, UN-HABITAT was formally invited to be a member of the IASC Tsunami Taskforce.
UN-HABITAT has already formally briefed the IASC Tsunami Taskforce (on 2 March, and 27 April 2005) on UN-HABITAT and shelter recovery strategy and provided its contribution. UN-HABITAT participating fully in IASC cluster arrangements convened for Humanitarian Response Review, and leading or co-leading various sub-clusters at Geneva and field level (eg. Pakistan)Disaster Management Programme and Regional Offices to consider undertaking a review of remaining obstacles to early involvement of human settlements experts in post-conflict and disaster assessment and reconstruction and make recommendations for improvement building on latest best practices

The next draft of the UN-HABITAT strategic policy paper will be submitted to the CPR prior to and following the World Urban Forum in mid-2006. However, official membership into the IASC has not materialized despite UN-HABITAT’s appeal to the Chair – the Under-Secretary-General for Humanitarian Affairs. The CPR might consider to contact his office directly.

OIOS’ comments:
Implementation in progress; pending later review by OIOS of evidence of early involvement of HS experts in post-conflict and disaster assessment and reconstruction. UN-Habitat is requested to update this item as and when such events take place, in order to facilitate easy review.

Under Implementation. UN-HABITAT Strategic policy paper to be discussed by the CPR in March 2006. Disaster Management Programme.
| 9(b) | The Department of Political Affairs should consider inviting UN Habitat to participate in the meetings of the Executive Committee on Peace and Security, as and when appropriate (see paras. 50-52 of the Evaluation Report).  

**UN-HABITAT’s comments:**  
UN-HABITAT has been invited to participate in the Executive Committee on Peace and Security (ECPS) task force in the case of Zimbabwe. Official admission into regular ECPS sessions is not yet confirmed.  

**OIOS’ comments:**  
Implementation in progress; pending OIOS review of continued and regular invitation and participation. | Implemented. | OED and Disaster Management Programme. |
|---|---|---|
| 10 | **Fund-raising activities**  
UN-Habitat should clarify who within the organizational set-up is responsible for coordinating fund-raising and raising funds for the global campaigns, global programmes and technical assistance projects (see paras. 55, 58 and 59 of the evaluation report).  

**UN-HABITAT’s comments:**  
Prior to the appointment of the Deputy Executive Director the fund raising activities were spearheaded by the Executive Director. The Deputy Executive Director is now responsible for coordinating all fundraising activities within UN-Habitat – supported by the ED.  

**OIOS’ comments:**  
COMPLETED: OIOS will review, at time of the triennial review, the regularization of this task under the Deputy Executive Director. | Implemented. | OED, PSD and all Divisions. |
| 11 | **Appointment of a Deputy Executive Director**  
The appointment of a Deputy Executive Director of UN-Habitat should be expedited to ensure that this senior manager is available full time to focus on the administrative infrastructure and cross-cutting issues (see para. 61 of the evaluation report).  

**UN-HABITAT’s comments**  
COMPLETED. The Secretary-General appointed Ms Inga Björk-Klevb (Sweden), as the new Deputy Executive Director of UN-HABITAT. She assumed her post in January 2006  

**OIOS’ comments:** COMPLETED | Implemented. | By end of 2005. | Deputy Executive Director. |
| 12 | Secretariat support to Member States  
In order to strengthen the support provided to the Committee of Permanent Representatives and the Governing Council, UN-Habitat should streamline the functions of the secretariat of the Governing Council by reassigning its inter-agency affairs responsibilities to another organizational unit (see para. 62 of the evaluation report).  

**UN-HABITAT’s comments**  
The inter-agency affairs responsibilities have been reassigned from the Secretariat of Governing Council to the Office of the Executive Director (OED). A full time staff member in the OED has been assigned these duties.  

**OIOS’ comments:**  
COMPLETED. OIOS will review at the time of the triennial the effectiveness and efficiency of this new arrangement. | Implemented. | Implemented by end of June 2005. | OED with support of UN-HABITAT Liaison Offices now responsible for Inter-Agency Affairs. |
|---|---|---|---|
| 13 | **Capacity of the Evaluation and Monitoring Unit**  
UN-Habitat should increase the capacity of the Monitoring and Evaluation (M&E) Unit by at least one post to better meet its requirements and to improve the quality of evaluation and monitoring activities (see paras. 68-70 of the evaluation report).  

**UN-HABITAT’s Comments**  
Programme Support Division to include in the Programme budget 2008-2009 an additional post for M&E Unit. Meanwhile, various options are under consideration to provide an additional professional post to the unit. In the meantime the Chief of the M&E Unit has been appointed at P-5 level.  

**OIOS’ comments:**  
Implementation in progress; pending recruitment of at least one professional post to the Unit. | Under Implementation. | M&E Unit to have one additional professional post by start of 2008, pending budget approval. | Programme Support Division (PSD) and the M&E Unit. |