

# Impact Evaluation of UN-Habitat's Housing Approach to Adequate, Affordable Housing and Poverty Reduction 2008-2019

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Global Report



UN-HABITAT

## **Impact Evaluation of UN-Habitat's Housing Approach to Adequate, Affordable Housing and Poverty Reduction 2008-2019**

### **Global Report**

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### **Acknowledgements**

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**Evaluation Report 4/2020**

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**UN-HABITAT**

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City of urban Bogota with high rise buildings, Colombia © unsplash



## ACRONYMS AND ABBREVIATIONS

3PA	Three-pronged approach
ACP	African, Caribbean and Pacific
AH4All	Adequate Housing for All
AGFE	Advisory Group on Forced Evictions
CCA	Country Cooperation Assessment
CCCI	Cities and Climate Change Initiative
CDU	Community Development Unit
CO	Country office
CPI	City Prosperity Initiative
CSO	Civil society organization
DRR	Disaster risk reduction
EC	European Commission
EGM	Expert group meeting
ENOF	Enhanced Normative and Operational Framework
ERG	Evaluation Reference Group
EU	European Union
FA	Focal Area
FISUS	Fiji Citywide Informal Settlement Upgrading Strategy
GC	Governing Council
GDP	Gross Domestic Product
GEU	Gender Equality Unit
GHS	Global Housing Strategy
GHS 2025	Global Housing Strategy to the Year 2025
GLTN	Global Land Tool Network
GRHS	Global Report on Human Settlements
GUO	Global Urban Observatory
GSS 2000	Global Shelter Strategy to the Year 2000
H@C	Housing at the Centre
HA	Housing Approach
Habitat III	United Nations Conference on Housing and Sustainable Urban Development
HAPs	Habitat Agenda Partners
HBE	Home-based enterprise
HDP	Humanitarian, development and peacebuilding
HLP	Housing, land and property
HRBA	Human Right Based Approach
HSUB	Housing and Slum Upgrading Branch
HU	Housing Unit
IPCC	Intergovernmental Panel on Climate Change
IYSH	International Year of Shelter for the Homeless
KII	Key informant interview
KM	Knowledge Management
LIC	Low income country
LUO	Local Urban Observatory
MC2CM	Mediterranean City-to-City Migration

## ACRONYMS AND ABBREVIATIONS

MDG	Millennium Development Goal
MGI	McKinsey Global Institute
MIC	Middle-income country
MTE	Mid-term evaluation
MTSIP	Medium Term Strategic and Institutional Plan
NGO	Non-governmental organization
NUA	New Urban Agenda
NUP	National Urban Policy
OHCHR	Office of the High Commissioner for Human Rights
OIOS	Office of Internal Oversight Services
PAAS	Project Accrual and Accountability System
PAF	Portfolio Analysis Framework
PAG	Project Advisory Group
PCPPP	People's Charter for Peace, Progress and Prosperity
PFES	Planning, Finance and Economy Section
PPG	Policy and Plan for Gender Equality and the Empowerment of Women for 2014-19
PSUP	Participatory Slum Upgrading Programme
RBM	Results-Based Management
RO	Regional office
ROAf	Regional Office for Africa
ROAP	Regional Office for Asia and the Pacific
ROAS	Regional office for the Arab States
ROLAC	Regional Office for Latin America and the Caribbean
RTAH	Right to adequate housing
SDG	Sustainable Development Goal
Sida	Swedish International Development Cooperation Agency
SP	Strategic Plan
SSA	Sub-Saharan Africa
SU	Slum Upgrading Unit
SUD	Sustainable urban development
SWCR	State of World's Cities Report
ToC	Theory of Change
TOR	Terms of Reference
UCLG-A	United Cities and Local Governments of Africa
UEFB	Urban Economy and Finance Branch
UN	United Nations
UN-Habitat	United Nations Human Settlements Programme
UN-SWAP	UN System Wide Action Plan on Gender Equality and the Empowerment of Women
UNGA	United Nations General Assembly
VAA	Value Added Analysis
WCR	World Cities Report
WUF	World Urban Forum

## EXECUTIVE SUMMARY

### Background and context

UN-Habitat, the United Nations Human Settlements Programme is the UN agency mandated to promote adequate housing for all and sustainable urbanization. These twin aims, together with its Governing Council and United Nations General Assembly resolutions and organizational policies and strategies have influenced its approach to delivering its mandate.

The world is urbanizing rapidly, and as it does so the global housing challenge is growing equally. Some 50% of the world's population is now urban and this figure is projected to increase to 60% by 2030. Occurring in parallel is the urbanization of poverty, which is evidenced by the proliferation and expansion of slums in which in some developing countries 80% of urban dwellers live.

UN-Habitat, governments, donors and non-government actors have a critical role to play in addressing these challenges, which UN-Habitat is doing through its Housing Approach. The evaluation assessed the impact of UN-Habitat's Housing Approach on adequate and affordable housing and urban poverty reduction between 2008 and 2019.

### Purpose, objectives and scope of the evaluation

#### Objectives

The Terms of Reference (TOR) identified five objectives for the evaluation:

1. Determine to what extent identified changes in adequate and affordable housing and poverty reduction in countries can be attributed to UN-Habitat's Housing Approach, policy frameworks, programmes and capacity building.
2. Determine to what extent UN-Habitat has influenced political commitment to adequate and affordable housing issues at global, regional and country levels and assisted selected countries to deliver on such commitments.
3. Assess UN-Habitat's impact on vulnerable poor groups with the intent of assessing how the Housing Approach has created better opportunities to improve the living standards of poor people and ensure their housing rights.
4. Assess how other cross-cutting issues such as gender, youth, and climate change have been impacted by the UN-Habitat's Housing Approach.
5. Identify lessons and make recommendations on how the Housing Approach and related work could be modified to increase impact.

#### Scope

The evaluation covers the evolution, implementation and impacts of UN-Habitat's Housing Approach during the period 2008-2019 and encompasses both the Mid-Term Strategic and Institutional Plan (MTSIP) 2008-2013 and the Strategic Plan (SP) 2014-2019. The evaluation assesses the implementation of the Housing Approach at the global, regional and country/local level.

#### Target audiences

While the evaluation findings will be of interest to a wide range of UN agencies, donors, academics and civil society organizations concerned with housing, poverty, urban development and human rights, the primary target audiences for this evaluation are:

- The UN-Habitat Independent Evaluation Unit: this is the first systematic evaluation of the Housing approach commissioned by the Independent Evaluation Unit, and it proposes guidelines to develop evaluation methodologies for future evaluations.
- UN-Habitat, and in particular UN-Habitat Management and Governing bodies, the new Land, Housing and Shelter Section; the Regional Offices and the Country Offices; relevant Head Office sections/units

- The Swedish International Development Cooperation Agency (Sida) provided significant support to UN-Habitat work and they are the funder of this evaluation, and other key donors.

### Contributions to UN-Habitat's current reorganization

The evaluation is considered timely as it can contribute to UN-Habitat's current reorganization and contribute to their vision for the future.

## Articulating the Housing Approach

UN-Habitat has produced a number of documents and publications describing its housing policies and strategies. The Housing Approach is understood by UN-Habitat as an integrated package of Advocacy, Knowledge, Policy Advice, Technical Assistance and Capacity Building and Implementation, which has been endorsed by the Governing Council.

The primary goal of the Housing Approach is to increase access to adequate housing through policy reform, operationalisation of housing strategies and implementation of housing programmes and projects. The Housing Approach is an implementation model of housing reform based on (1) the recognition and promotion of adequate housing rights, (2) the revision of housing-related laws, policy and regulatory frameworks, (3) the adoption of improved housing policy and strategic frameworks, and (4) the implementation of improved housing and slum-related programmes and projects.

While there is a broad consensus on the elements of these strategies, they are dynamic and evolving concepts and paradigms — such as the Adequate Housing For All (AH4All) Programme, Global Housing Strategy to the Year 2025 (GHS 2025) and Housing at the Centre Approach (H@C) — and there is no agreed and documented definition of the "Housing Approach". So, for the purposes of this evaluation, the consultants developed an operational definition that could be applied consistently across regions and time to identify which of the components of the Housing Approach were being applied in different countries. The exhaustive review and interview process involved in developing this definition is described in Section 3 of the main report

Box 1 lists the five programmatic elements that appear in most discussions of the Housing Approach. It also includes three additional elements proposed by the evaluation consultants to provide a broader framework for assessing the development impacts of the Housing Approach.

### Box 1: The Housing Approach Framework used in the evaluation

#### The 5 fundamental elements or types of intervention

1. Knowledge management
2. Advocacy
3. Policy advice
4. Technical assistance and capacity development
5. Supporting the Implementation of adequate housing and slum upgrading

#### Additional elements for assessing the housing approach within a broader development framework

6. Integration of the 5 elements into an integrated country housing strategy
7. Incorporating cross-cutting themes (gender, human rights, youth and climate change)
8. Sustainability of country housing programmes

This framework guided the articulation of a generic Housing Approach Theory of Change used to design the evaluation and to interpret the findings.

The Housing Approach has a range of strategic objectives relating to increasing access to adequate housing and the reduction of poverty. Box 2 lists the different strategic objectives of the Housing Approach identified by the consultants. These strategic objectives are context-specific; but several objectives can be combined within a specific housing strategy or program.

The logic of the Housing Approach (Figure 2) is based on the implementation of UN-Habitat's 5 programmatic areas, which together are designed to deliver outputs and outcomes intended to influence country housing stakeholders' knowledge, commitment and capacity, in order to trigger and influence the reform and implementation of improved housing frameworks.

## Box 2: The Housing Approach strategic objectives on adequate housing and poverty reduction

### Adequate housing

- Increase access to adequate housing to all
- Increase access to adequate housing to low-income households
- Support diversification of adequate housing solutions
- Support diversification of government interventions in providing adequate housing
- Support advocacy groups
- Support self-organising housing initiatives (by NGO or INGO)
- Provide adequate housing to crisis affected populations (conflict, disaster, migration, etc.)
- Improve living conditions in existing slums/informal settlements

### Poverty reduction and cross-cutting issues

- Increase housing affordability for low-income households
- Increase housing affordability for all
- Improve access to economic resources, affordable goods and services for low-income households
- Improve social inclusion and integration at city-wide scale
- Support gender or age sensitive housing strategies or programmes
- Improve access to adequate housing for poor vulnerable groups (women, children, youth, older persons and persons with disabilities)
- Support climate change responsive housing strategies or programmes

The framework understands that the Housing Approach as an organisational strategy providing a systematic approach to address adequate housing issues that incorporates a core strategy to promote housing reforms that will trigger implementation of improved housing interventions.

The Housing Approach Framework was applied to all country programmes to document the extent to which the different components were incorporated and to identify regional variations in how the Approach has been applied (see Section 4).

The application of the Housing Approach does not always involve all the five elements – the application varies across the different levels and geographies, from global to local, from region to region, and from country to country. It may also be proactive or demand-driven, and hence have different entry points. Also, the five elements do not necessarily need to be structured sequentially

and implemented in a linear manner; but rather can be implemented more flexibly or iteratively.

## The Evaluation Approach and Methodology

The evaluation, which covered the period 2008-2019, was conducted between September 2019 and April 2020. The independent evaluation team comprised two international consultants, Simon Deprez (impact evaluation expert) and Michael Majale (housing policy expert), supported by a development evaluation expert, Michael Bamberger.

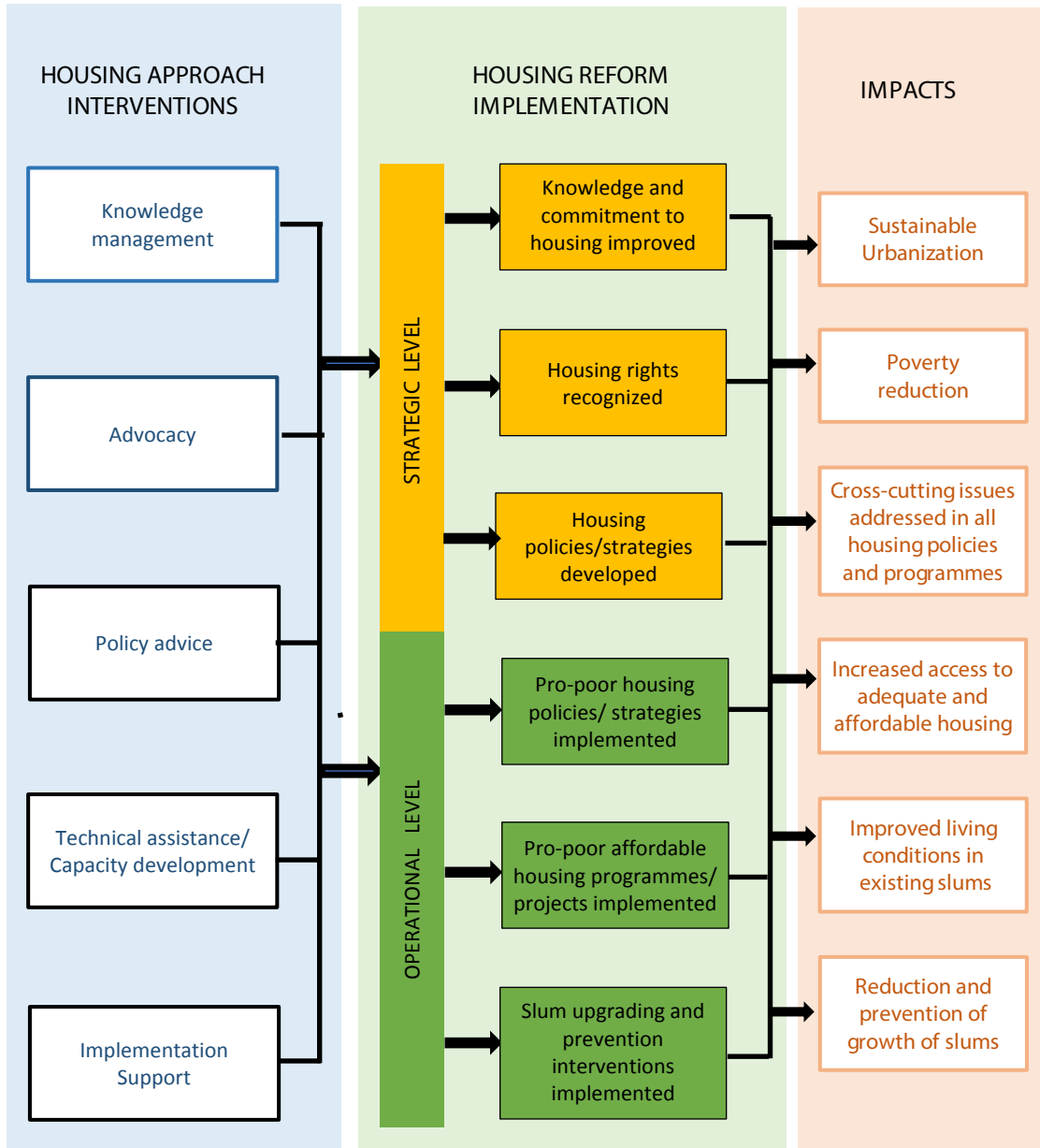
This was the first global evaluation commissioned to assess the impact of UN-Habitat Housing Approach and consequently a new methodology had to be developed. A 7-step methodology was used (Box 3).

The methodology incorporated some innovative elements including complexity-responsive evaluation, an expanded portfolio analysis framework, an expanded theory of change and value-added analysis (an adaptation of contribution analysis tailored to the more limited data availability for the present study). While the ability to fully apply some of these methodologies were limited by the time and data constraints in this evaluation, recommendations were developed (see Section 7) on how these methodologies could be applied in future UN-Habitat evaluations.

To complement available UN-Habitat sources, a questionnaire was sent to 50 Country Offices (COs) through the respective Regional Offices (ROs). Responses were received from only fifteen (15) COs. While this number is too small to be able to generalize to all countries, it did include almost all of the countries included in the sample of three countries selected from each region for more in-depth analysis.

The Impact on adequate housing was assessed through a series of widely-used indicators, including the UN-Habitat MTSIP and SP indicators of achievements; key Millennium Development Goal (MDG) and Sustainable Development Goal (SDG) indicators; and the “Illustrative indicators of the progressive realization of the adequate housing rights”.

**Figure 1: Summary of the Theory of Change**



The focus was on the seven criteria of adequate housing, as defined by the UN Office of the High Commissioner for Human Rights (OHCHR) and UN-Habitat: (1) Security of tenure; (2) Availability of services, facilities, and infrastructure; (3) Affordability; (4) Habitability; (5) Accessibility; (6) Location; and (7) Cultural adequacy.

Impact on Affordable Housing was included in the broader analysis of the impact on adequate housing. However, due to limited data availability, many widely-used indicators such as those related to public housing assistance, homelessness, or proportion on income dedicated to housing expenditure could not be used.

Impact on poverty reduction was assessed through a selection of widely used indicators, and included selected SDG 1 indicators, and a series of adequate housing criteria acknowledged to contribute to poverty reduction. However, it was not possible to incorporate any comparison groups into the analysis, so it was not possible to rigorously assess the degree to which the reported changes in these criteria could be attributed to UN-Habitat.

### Box 3: The evaluation methodology

1. Defining the key evaluation questions
2. Articulating the Housing Approach and developing a Theory of Change
3. Definition of the programmes to be covered by the evaluation.
4. The levels of analysis:
  - a. Global
  - b. Regional
  - c. Country
5. Using portfolio analysis to identify comparator and case study countries
6. Dimensions of the evaluation:
  - a. Relevance
  - b. Impact:
    - Impacts on adequate housing
    - Impacts on poverty
    - Structural indicators (process and outcomes)
  - c. Sustainability
  - d. Contribution to MDG 7 and MDG 11
  - e. Value-added of the Housing Approach
7. Lessons learned: Adapting the original evaluation design to regional and country contexts

Value added analysis: As a comprehensive contribution analysis (CA) was not possible within the limitations of the present evaluation, a Value-Added analysis (VAA) was conducted instead, which addressed the same questions within the constraints of limited data.

## Limitations of the Evaluation

The evaluation faced two major limitations in estimating the Housing Approach achievements: limited aggregation of quantitative data on the Housing Approach, and limited indicators to quantify impact on adequate housing. It is very difficult to estimate the scale and intensity of impact of the Housing Approach on adequate housing and poverty reduction. Most UN-Habitat monitoring data only cover structural indicators at the policy level, and do not capture the numbers of people supported at the country, regional or global level.

Limited data availability, time and resources did not permit the application of more rigorous evaluation designs such as counterfactual analysis and quasi-experimental designs.

The complexity of some of the programmes and projects – which were being implemented in widely varying contexts, and/or which had multiple objectives, expected accomplishment and activities, among which were housing-related ones – presented significant assessment challenges. These were compounded by the reporting and data limitations.

## Implementation of the Housing Approach

Over the 2008-2019 period, when combined, housing and slum programmes together represented about 13% of UN-Habitat programmes. This compares with urban governance, finance and planning (26% of programmes), post-disaster and post-conflict (12%), water and sanitation (7%), land (4%) and resilience (5%) While the figures only provide an approximate estimate because many activities combine several different activities, it is clear that over the period under review housing and slums have not been the central focus of most UN-Habitat country programmes.

Figure 2: Housing programmes per intervention scope



- 2% Gender Focus programs
- 9% Other Housing related programs
- 24% Non-directly related to the Housing Approach
- 9% Normative Programs
- 19% Slum Upgrading and Prevention
- 28% Post-crisis Interventions
- 9% Land related programs



Country programme portfolios considered consistent with the Housing Approach were identified through a review of project information available in UN-Habitat's online Project Accrual and Accountability (PAAS) system. Of the 95 countries (in 2019) in the UN-Habitat portfolio, 51 were found to have housing portfolios broadly consistent with the Housing Approach framework that included most of the key components, and had been able to achieve the most Housing Approach outputs (i.e. national housing sector profile; national housing policy; housing policy implementation strategy; local housing programme(s); national housing programme; building code; slum upgrading and prevention policies or strategies; local PSUP). These included countries from the four main regions (e.g. Mozambique, Iraq, Myanmar, Mexico).

Among the key Housing Approach components Knowledge management is typically the first intervention to be implemented to support housing policy reforms at country level. The most widely used knowledge product is the Housing Sector Profile. Policy advice is another widely used component of the Housing Approach, with its core objective being to achieve improved housing reforms. Technical assistance and capacity building have lower reported frequencies, but this may be an under-estimation as these are often included in other activities and not reported. Operational interventions are not widely used but are sometimes implemented in parallel

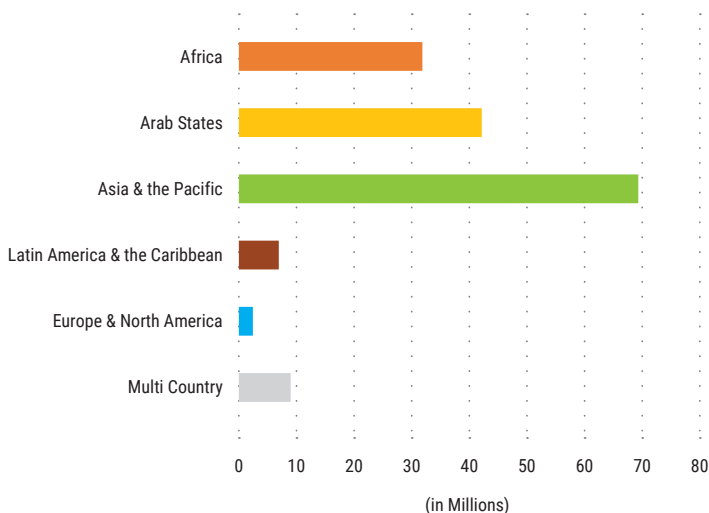
to normative interventions and can serve different objectives: 1) to demonstrate the feasibility of a policy or strategy; 2) to support capacity building of stakeholders; or 3) to directly improve the housing conditions of slum dwellers or crisis affected populations.

Very few country portfolios (e.g. Lesotho, Afghanistan, Iraq, Cuba) have covered the full range of Housing Approach components. Rather, most include the revision and improvement of housing policy or slum upgrading and prevention frameworks; but few reach the stage of supporting the implementation of national housing programmes.

## Regional variations

There are important inter- and intra-regional variations and inter-country differences that influence the implementation of the Housing Approach and its components. While knowledge management is a common component across the board, implementation is most common in Asia-Pacific (e.g. Afghanistan, Myanmar and Sr Lanka) and Arab States countries (e.g. Egypt, Lebanon, Saudi Arabia) while policy advice has been the main area of intervention in Latin America and the Caribbean (LAC) countries. In Africa the Housing Approach has been more widely adopted, but with variations reflecting the differences between sub-regions and countries.

**Figure 3: Housing programmes portfolio per region (budget)**



The coverage of strategic objectives on adequate housing and poverty varies significantly between regions, even if the main goal of 'Increase access to adequate housing to all' remains the common theme. The focus on different strategic objectives is determined by the unique characteristic of each country housing context.

The coverage of both strategic objectives and intervention scopes is also demand-driven, reflecting the opportunities for the COs to support and influence the priorities of national and international housing sector stakeholders.

## Housing Approach outcomes (products)

The evaluation design is based upon a Theory of Change which is organized around a logical sequence involving inputs – activities – outputs (products) – outcomes – impacts. This section describes the outputs directly resulting from the 5 main programmatic elements of the Housing Approach (advocacy, policy, knowledge management, technical assistance and support to program implementation). The following section then discusses findings with respect to outcomes and impacts.



## Outputs at global (and regional) level

Significant outputs have been achieved at the global level including:

**Knowledge management:** UN-Habitat's long-term mandate, involvement and expertise in housing has enabled it to produce numerous normative products – flagships publications, report series, fact sheets, guides, tools, etc., including 52 publications on housing rights,

**Advocacy:** UN-Habitat has made the most of its convening power to organize global and regional events that have attracted vast numbers of housing partners and stakeholders. For example, World Urban Forum (WUF) events have increasingly drawn thousands of participants and growing numbers of countries, underscoring the added value of UN-Habitat's advocacy activities.

**Global Frameworks:** UN-Habitat has played a central role in the development of several global housing frameworks, including the 2030 Agenda for Sustainable Development, The New Urban Agenda (NUA) and the Global Housing Strategy to the Year 2025 (GHS 2025), which have influenced pro-poor housing policies in several countries around the world.

**Networks:** UN-Habitat has initiated and coordinates several global networks, which are efficient and effective platforms for both normative and operational activities, including knowledge sharing, advocacy, awareness raising and policy influencing. Notable among these is the Global Land Tool Network (GLTN), which is committed to increasing access to land and tenure security for all, with a particular focus on the poor, women and youth. An estimated 300,000 households (1.2 million) people in 13 countries have benefitted from UN-Habitat and the GLTN's normative frameworks and tools on land and tenure security.

## Outputs at country level

**Knowledge management:** The National Housing Profile is the most widely used knowledge product. Since 2008, profiles have been published for a total of 30 countries across all the regions (e.g. Zambia, Mozambique, Egypt, Afghanistan, Mexico). In addition, UN-Habitat has produced numerous other reports on housing conditions at regional, country and local levels. These include reports or profiles on cities or neighbourhoods,

including slums (e.g. urban profiles produced under the Participatory Slum Upgrading Programme (PSUP) for Lesotho, Haiti, Solomon Islands; and neighbourhood profiles for Lebanon). UN-Habitat has produced numerous normative documents and materials that recommend approaches, frameworks, and tools to address pro-poor affordable housing.

**Policy advice:** UN-Habitat contributed to the adoption of at least 22 improved national land and housing policies from 2008 to 2019. It also influenced the adoption of at 21 national slum upgrading and prevention policies or strategies and 32 citywide slum upgrading and prevention strategies.

**Technical Assistance and Capacity Building:** UN-Habitat provides a wide variety of different types of technical assistance and capacity building support. These range from consultancy-type technical assistance and support to national and local governments to various forms of capacity building, ranging from workshops to webinars. It is not possible to aggregate and compare consolidated quantitative results in terms of technical assistance provided to city, regional and national authorities for several reasons. Key among these is the lack of comprehensive records of baselines; technical assistance components and activities; and follow-up monitoring and evaluation.

**Project and Programme Implementation:** At country level, the operational programmes and projects implemented or supported by UN-Habitat can be classified into four categories: 1) pilot projects which aim to demonstrate the feasibility of an approach or a strategy, and also serve as an advocacy tool; 2) support to public housing programmes; 3) post-crisis (natural and conflict) recovery and reconstruction interventions and 4) slum upgrading and prevention interventions. The data availability and quality assessment has revealed several limitations on the collection of information on programme/project outcomes, impacts and direct and indirect beneficiaries. Many quantitative impacts on direct housing assistance have been achieved through post-crisis projects, mainly in Asia and the Arab States. Slum upgrading projects have mainly focused on increasing tenure security and access to improved water, sanitation and other basic services and amenities, especially for the poor, women, and other vulnerable and disadvantaged groups.

## Key Findings

### Part 1: Responding to the 5 main questions included in the Terms of Reference

#### **Question 1: To what extent can identified changes in adequate and affordable housing and poverty reduction be attributed to UN-Habitat's Housing Approach?**

The contribution of UN-Habitat interventions to improving adequate housing and poverty reduction can be widely observed but is difficult to precisely define and quantify. In addition to limited availability of monitoring data, it is difficult to attribute observed changes to UN-Habitat because scale and temporality of the agency's programmes on one side and indicators on the other are often inconsistent. For example, SDGs are tracked at national level and most UN-Habitat programmes operate at the local level.

Most significant evidence of impacts from UN-Habitat's Housing Approach on adequate housing and poverty reduction are direct housing intervention such as pilot projects, and post-conflict and post disaster reconstruction projects. The latter are predominantly found in war-affected countries in the different regions, e.g. Somalia, South Sudan (Africa) Iraq, Palestine (Arab States), Afghanistan (Asia and the Pacific); and natural disaster prone regions, e.g. Madagascar, Mozambique (Africa), Myanmar, Sri Lanka (Asia and the Pacific).

However, changes in adequate housing are difficult to assess as no indicators sets covering all dimension of adequate housing exist.

#### **Support to housing programmes implementation**

The Housing Approach has provided support to and implemented numerous pilot projects. These projects are an important part of the Housing Approach operational activities. The number of people directly benefiting from the implementation of pilot projects is often quite limited (typically a few dozen households); but if these interventions are well-designed and monitored, they can make a valuable contribution, including as an advocacy tool, as they can demonstrate and promote innovative and inclusive approaches and influence policy and regulatory reforms.

In most countries UN-Habitat has only a limited influence on the implementation of national housing programmes through the Housing Approach. This is especially because the windows of opportunity for UN-Habitat to trigger the development of housing strategies and programmes are often quite limited. Skills and capacities brought by UN-Habitat to authorities however have a significant impact on the improvement of housing strategies, especially at the first steps of the housing reforms process. In this regard this Housing Approach supports the quality of the housing framework to be developed but has not yet achieved any specific illustrative indicators of the realisation of adequate housing rights.

#### **Question 2: To what extent has UN-Habitat influenced political commitment to adequate housing at global, regional and country levels?**

The UN-Habitat Housing Approach has proven to have significant impacts on the adoption of housing and slum upgrading and prevention policies consistent with global housing frameworks, which are acknowledged as a pre-condition for the achievement of adequate housing rights development of pro-poor housing programmes.

Global events and conferences and related activities have sensitized many governments on adequate housing issues and have motivated the endorsement on several international (both global and regional) declaration and frameworks (e.g. NUA, GHS, Kigali Declaration, the Housing at the Centre approach, etc.).

The participation of national authorities in global and regional events (e.g. Habitat III, WUFs) has fostered the discussion of adequate housing issues at country level and has in several cases influenced the positioning of country housing stakeholders. However, the case studies show that this influence evolves slowly over time, and some impacts identified at country level must be attributed to the participation and involvement of key stakeholders and staff at UN-Habitat events (e.g. Mexico City Human Rights declaration) which took place several years earlier.

The Housing Approach has contributed to promoting the development of improved policies; however, the agency has limited influence on the adoption and implementation of these frameworks.

There is convincing evidence that the Housing Approach has significantly impacted on the creation of enabling policy frameworks for the development of housing strategies and programmes.

The assessment of the long-term impacts of the policies that have been adopted is a complex process. An intermediate step could be to assess the favourable conditions in which UN-Habitat is more likely able to trigger and influence housing reforms, in order to support the long-term global Housing Approach effectiveness and impact.

### Knowledge management

Knowledge products (including analytical reports, housing profiles; and guides), both online and print, have been a key source of information for many stakeholders, helping to build knowledge and know-how on housing issues, especially for low-income, vulnerable and marginalized populations. The impact of these normative products has mainly been to promote knowledge and evidenced-based advocacy to support the political commitment to engage in housing reforms.

It is difficult to assess how these knowledge products contributed to the achievement of adequate housing rights, but they have certainly encouraged further actions by different stakeholders. Evidence of this impact is strong, especially on the advocacy influence of the global frameworks and events.

**Question 3: To what extent has UN-Habitat created better opportunities to improve the living standards of poor people and ensure their housing rights?**

While fully recognizing the important information gaps, there is no doubt that UN-Habitat housing interventions influence the improvement of living conditions and multiple dimensions of poverty.

The most direct contribution to the improvement of living conditions of poor and marginalized people is direct housing interventions such as post-disaster housing reconstruction projects, or slum upgrading interventions.

The slum upgrading interventions produce significant impacts on access to adequate housing for low-income urban populations, even if the focus on improvement of homes is not always the central objectives of many.

Globally, through the PSUP, over 500,000 people have benefited from improved living conditions. Water and sanitation improvements alone have benefitted 98,225 slum dwellers; and additional 800,000 have improved security of tenure.

Significant impacts on improvement of living conditions have been achieved in the Asia and Pacific region, where the regional People's Process approach enabled the construction of over one million housing units, especially in the contexts of post disaster interventions, such as in response to the 2010 floods in Pakistan (32,000 households supported). In the Arab States region, post-conflict housing reconstruction projects have improved the housing conditions of thousands (e.g. over 4,000 durable shelter units constructed for vulnerable IDPs and returnees in Iraq).

Impact on poverty reduction can be significant, especially at process and outcome levels. Most impact are likely to be achieved at process level by the adoption of pro-poor housing policies, however these frameworks have shown limitation to address the poorest. At outcome level, impacts of UN-Habitat housing interventions on poverty reduction are certain, especially on access to basic services, security of tenure and economic stability.

Demonstration of impacts from housing interventions on the multiple dimensions of poverty represents a real opportunity for UN-Habitat to demonstrate the impact of the Housing Approach.

**Question 4: How have cross-cutting issues such as gender, youth and climate change been impacted by UN-Habitat's Housing Approach?**

Gender, Youth and Climate Change are mainstreamed themes that most housing programmes address. to some extent. In addition, some housing programmes and projects specifically focus on one of these topics. (e.g. 'Cities and Climate Change Initiative (CCI): with additional focus on decentralisation, gender and youth 2012-2014); 'Gender-sensitive Durable Shelter Support' projects in Iraq; 'Youth Empowerment for Urban Development 2017-2018' project.

Many key reports and knowledge products developed at country, regional or global level address the link between housing and the UN-Habitat cross-cutting issues.

Some UN-Habitat ROs or COs have developed specific expertise on some of the cross-cutting issues (Urban resilience in Southern Africa, Climate Change in South Asia).

At global level, UN-Habitat continues to be recognized for its expertise of housing issues related to indigenous populations, but a decrease in funding for normative and advocacy activities has adversely affected the agency's reach and impact.

**Question 5: What are the lessons learned.**  
(recommendations are included in the following section).

### Key lessons learned on impacts

- Many impacts are not documented due to lack of follow-up and monitoring. This is a real missed opportunity to demonstrate UN-Habitat impact.
- Impact on housing in terms of number of people supported is quite low due to a limited number of implementation programmes.
- UN-Habitat influence on housing stakeholders and frameworks normally develops slowly over long periods of time.
- Success of housing reforms need enabling environments or sometimes shocks to the existing system (change of regime, crisis, ...), the continuous presence of UN-Habitat in a particular country is also needed to take advantage of these opportunities.
- National housing policies rarely address the needs of the poorest, and there is no evidence that housing for the poor can be addressed exclusively through formal housing programmes, as most poor households do not have access to formal banking, social or welfare system.
- There is often a discrepancy between government commitment at global level and the housing frameworks they develop, adopt and implement in country.

- UN-Habitat still benefits from its recognized leadership position on housing through its many past achievements and positioning with respect to the promotion of the right to adequate housing (RTAH). This recognition has however declined (especially from civil society) as the agency moved away from an advocacy role.
- UN-Habitat is one of many actors working towards the realization of the right to adequate housing. Their actions may or may not be complementary. At the same time, some have greater competence and are more active than UN-Habitat on some technical issues (e.g. international non-governmental organizations (INGOs) and research institutions) or advocacy (e.g. civil society). In several areas UN-Habitat leadership on key housing issues is being challenged (advocacy in Asia, housing finance in Asia and Africa).

### Challenges

The following are areas the evaluation identified where UN-Habitat faces challenges.

1. While UN-Habitat has proved successful at encouraging governments to make commitments at international conferences, they have been less successful in getting governments to implement the commitments once they return home.
2. Less successful in providing support to public housing programmes. A number of key informants reported that some national housing programmes felt that UN-Habitat had not been able to provide them with direct support or to lobby governments on their behalf.
3. UN-Habitat's technical assistance services are relatively costly. This has two main consequences: 1) Many national and local governments cannot afford to pay for the services despite being in great need of them; and 2) They are not competitive in a number of countries (e.g. in Latin America), which have local capacity to undertake some of the technical assistance activities at lower cost.

4. UN-Habitat is perceived as having moved away from their earlier role as a forceful promoter of adequate housing (including advocacy role on housing rights). It is perceived that the focus has moved from housing to broader issues of urban development, and from an advocacy to a facilitating role.
5. UN-Habitat's strong linkages to civil society have been weakened. It is perceived that the strong working relationships with civil society now receive lower priority as UN-Habitat now focuses more on broader urban development issues.

### The challenges of ensuring Sustainability

The key conditions that UN-Habitat has promoted to foster the implementation of housing reforms, namely increased knowledge and capacities, have good prospects for sustainability and will continue to impact on the improvement of housing frameworks.

However, the Housing Approach depends on the implementation of housing programmes in a sustainable and scalable way, which requires political commitment and financial support, both conditions over which UN-Habitat has a very limited influence.

The sustainability of housing operational interventions is poorly documented. The analysis has shown that adequate housing criteria are a relevant framework to promote and assess the sustainability of intervention impacts on adequate housing and poverty reduction. The more of the seven adequate housing criteria that are provided and ensured, the more and longer will the beneficiaries enjoy the outcomes and impact of adequate housing.

While recognizing the organizational and financial constraints on the capacity of UN-Habitat to ensure the sustainability of Housing Approach interventions, there are a number of steps that UN-Habitat could take to enhance sustainability prospects. These include requiring, within the real-world constraints within which programmes and projects operate, that all of its pilot projects, technical assistance and implementation initiatives should include a strategy to promote sustainability.

## Part 2: Comparative advantage: Areas where UN-Habitat has demonstrated value-added

### UN-Habitat's areas of value-added

The following are some of the areas where UN-Habitat is widely recognized as contributing value-added:

1. Recognized as the mandated lead-agency of the UN on housing and urban development.
2. Recognized expertise and achievements in the field of housing, including slum upgrading and affordable housing. This has enabled UN-Habitat to offer high quality technical assistance to national and local governments.
3. Recognized as a source of policy advice and as a promoter of innovative housing issues.
4. Convening power to organize regional and global conferences on topics relating to housing. Some of these conferences have played a vital advocacy and policy influencing role in the formulation and updating of key housing global frameworks (NUA, GHS 2025).
5. Leader in knowledge management on housing and related areas. UN-Habitat has published many key publications or housing related topics which are widely consulted by policy makers.
6. Leading authority and promoter of pro-poor housing strategies and extensive experience working in informal urban areas.
7. Expertise in disaster relief. In contrast to many agencies that only focus on short-term emergency relief, UN-Habitat is able to link disaster relief to long-term development.
8. Ability to achieve greater numerical impact in terms of improving the living conditions of vulnerable and marginalized groups through post-crisis (disaster and conflict) housing interventions.

## Technical assistance and capacity building

Technical assistance and capacity building through the Housing Approach to national and local authorities and other Habitat Agenda Partners (HAPs) has significantly impacted on the improvement of housing policies and strategies, especially in the initial stages of the housing framework reform process.

The use of competencies and skills acquired through the technical assistance and capacity building is not monitored. The extent to which stakeholders use this knowledge and skills to improve policies, strategies and programmes is therefore largely unknown. There is however significant anecdotal evidence on the impact.

## Key recommendations

### Policy and Strategic Level

#### Restore the prominence of housing within UN-Habitat

- Reintroduce, reemphasize, and proactively promote the Housing at the Centre (H@C) as a core element of the NUA, so as to recast housing as a core element of UN-Habitat's mandate.
- Strengthen linkages with other UN-Habitat programmes and with national and international partners involved in housing.

#### Strengthen the coherence of the Housing Approach

- Develop, elaborate, document and promote a clear, agreed articulation of the Housing Approach,
- Clarify the purpose and application of the Housing Approach at the global, regional, national and programme/project level.
- Test and demonstrate the strategic principles of the Housing Approach.
- Strengthen the Housing Approach as a strategic framework to promote the HRBA to housing and slum upgrading.

#### Leverage UN-Habitat's recognized strengths

- Capitalize on the mandate as the lead UN agency on housing.
- Capitalize on its recognized expertise in housing.
- Capitalize on its recognition as a source of policy advice.

- Capitalize on its competence and comparative advantage in the fields of post-crisis recovery and reconstruction, and the humanitarian, development and peacebuilding (HDP) nexus.
- Use convening power to bring to together key partners and stakeholders.
- Strengthen the role of knowledge management.

#### Continue to strengthen knowledge management

- Mobilize and invest the requisite resources (human, financial, technological) to strengthen the role of knowledge management.
- Use knowledge products and other relevant advocacy communication tools for visibility/awareness and fundraising purposes.

#### Strengthen the focus on improving the living standards of poor and vulnerable groups and on poverty reduction at all levels

- Demonstrate housing interventions impacts on poverty dimensions.
- Improve documentation outcomes of poverty initiatives.
- Develop guidelines on developing and implementing pro-poor housing strategies.

## Planning and Management

#### Review and address the major challenges facing the Housing Approach

- Make technical assistance services more attractive cost-wise and country specificity-wise.
- Assess whether UN-Habitat shall engage into large-scale housing programmes.
- Strengthen advocacy capacity of COs.
- Strengthen capacity to support and follow-up national housing programmes.
- Re-establish UN-Habitat's strong links with civil society.
- Review and address areas where UN-Habitat is facing challenges (e.g. finance, evictions).
- Develop results-based evaluation framework, with objectives and indicators consistent with the Housing Approach.
- Track sustainability of programmes.



### **Provide guidelines on implementing the Housing Approach**

- Provide guidelines on implementing the Housing Approach in-line with other development areas in the UN-Habitat portfolio.

### **Strengthen UN-Habitat's information base**

- Commission a review of PAAS and other current reporting systems assess the quality of the data and identify any changes that are required.

### **Review and strengthen demonstration of outcomes and impacts**

- Develop results frameworks based on the adequate housing criteria.
- Develop guidance to assess of the total quantitative impact on housing.
- Monitor impacts brought by policy achievements.
- Monitor the use and impact of knowledge products.

### **Strengthen sustainability**

- Ensure all interventions include a comprehensive 'Strategy for Sustainability', and where appropriate for replicability and scalability.
- Ensure that technical assistance and capacity building provided through the Housing Approach is also geared towards ensuring sustainability of interventions.

## **Regional Level**

### **Focus more strongly on the development context within which housing programmes operate**

- Include of all adequate housing dimensions and vulnerable groups.
- Engage more with pro-poor housing stakeholders.
- Provide guidelines on implementing the Housing Approach in line with other development areas.

### **Capitalize on the unique aspects of each regional programme**

- Understand and capitalize on the unique strengths of each regional programme.

### **Continue to support normative activities**

- Ensure effective knowledge production and dissemination strategies within the communication practices and constraints of each region and country.

## **Country Level**

### **Multi-year country housing programmes**

- Each country should have a multi-year country housing programme which is reviewed and updated annually, and evaluated every few years.

### **Strengthen country programme reporting and documentation**

- More complete, consistent and higher quality reporting is required for all projects and programmes.
- Enforce compliance to PAAS reporting.

### **Plan for sustainability**

- All (relevant) housing programmes and projects implemented at country level should include a strategy to track and maximize sustainability.

### **Improve delivery of impacts**

- Foster impact at country level from achievements reached at global level.
- Support and engage in pro-poor housing provision at scale.
- Engage and support more physical housing improvements.

## **Monitoring and Evaluation**

### **Mobilize additional resources to strengthen monitoring and evaluation**

- Mobilize adequate additional resources to strengthen and fully implement the current Evaluation Framework.

### **Strengthen monitoring and reporting**

- Prioritize the establishment and enforcement of robust minimum standards of monitoring and reporting for all programmes
- Assign sufficient resources (human, financial, technical, support services) to cover this function.
- Operationalize the Housing Approach as the monitoring and evaluation framework
- Develop a Portfolio Analysis framework

### **Develop an evaluation framework and multi-year evaluation strategy**

- Design, test and implement an evaluation framework and strategy that ensures that all country programmes and individual housing interventions are periodically evaluated
- Develop a system to regularly evaluate the outcomes and impacts of all UN-Habitat interventions should be considered a priority.
- Develop and test evaluation methodologies for each of the five key components of the Housing Approach.
- Develop special methodologies for evaluating cross-cutting themes
- Integrate big data and data science into the evaluation toolkit.



# 1. INTRODUCTION

## 1.1 Background and context

The United Nations Human Settlements Programme (UN-Habitat) is the UN agency mandated to promote adequate housing for all and sustainable urbanization. These twin aims, together with its Governing Council (GC) and United Nations General Assembly (UNGA) resolutions and organizational policies and strategies have informed its 'Housing Approach' through which it seeks to deliver on its mandate. The purpose of the present evaluation is to assess the impact of UN-Habitat's Housing Approach on the provision of adequate and affordable housing, as well urban poverty reduction, between 2008 and 2019, in the context explained below.

The world is urbanizing rapidly, and as it does so the global housing challenge is growing equally. Some 50% of the world's population is now urban and this figure is projected to increase to 60% by 2030. Almost all (90%) of the global urban population growth during this period will take place in developing regions of the world, in particular in Asia and Africa. The growth in numbers has been paralleled by the urbanization of poverty, through which an increasing proportion of the world's poor are to be found in cities and towns, as opposed to rural areas as was previously the case in many developing countries. In 2010 around 40% of the world's population, or roughly 1.2 billion people, was living in poverty<sup>1</sup> in urban areas. This number is projected to rise to over 50% by 2030<sup>2</sup>.

By 2030, nearly 4 billion people, 80% of the world's urban dwellers, will need adequate housing. For housing to be adequate, it must meet seven criteria – (i) Security of tenure; (ii) Availability of services, facilities, and infrastructure; (iii) Affordability; (iv) Habitability; (v) Accessibility; (vi) Location; and (vii) Cultural adequacy<sup>3</sup> – which are explained in Annex 2. This translates into the need to complete 96,150 housing units per day with secure tenure and basic infrastructure and services from now until 2030 to progressively realize the right to adequate housing for all.<sup>4</sup> The housing need is greatest in developing countries, where in some cases over 80% of the population lives in slums,<sup>5</sup> which are characterized by insecurity of tenure; a lack of basic urban services;

and poor quality and overcrowded housing conditions. Moreover, slums are often located in hazardous areas such as flood plains and hillsides, where the residents, most of whom are women and youth, are especially vulnerable to climate change events. In many countries, forced evictions and slum demolitions continue unabated, despite it being recognized as a gross violation of human rights.<sup>6</sup>

UN-Habitat and Governments have a critical role to play in addressing these challenges, in among other ways, by adopting pro-poor policy and regulatory frameworks; improving access to land; committing to inclusive basic infrastructure and service provision; diversifying housing solutions; and implementing policies, strategies, programmes and projects to improve and prevent slums. All these interventions need to be informed by a sound knowledge and evidence base; enabled by policy and regulatory frameworks; and require adequate institutional and technical capacity to implement them, which will also require effective collaboration and partnership with a wide range of stakeholders. These, as will be explained in section 2.2 below, are all elements of UN-Habitat's Housing Approach.

## 1.2 Purpose and scope of the evaluation

### 1.2.1 General scope

The purpose of the evaluation, as stated in the Terms of Reference (TOR), was to assess the changes or impacts of UN-Habitat's Housing Approach on the provision of adequate and affordable housing and poverty reduction. The evaluation was conducted between September 2019 and March 2020, and covered the period 2008 to 2019 – i.e., the Mid-Term Strategic and Institutional Plan (MTSIP) 2008-2013 and the Strategic Plan (SP) 2014-2019. While housing and slum upgrading were already being addressed by UN-Habitat prior to 2008, the evaluation covers the period from 2008 onwards as this is when UN-Habitat clarified its focus to support, contribute and add value to global, regional and national efforts to address

the challenge of adequate and affordable housing in the context of a rapidly urbanizing world through a well-defined and comprehensive 'Housing Approach'.

In order to frame the boundaries of the impact analysis, the Evaluation Team conceptualized and developed, in collaboration with UN-Habitat, a definition and Theory of Change (TOC) of the Housing Approach, which are explained in section 2.2. The projects included in the evaluation were those implemented through a strategic implementation framework consistent with this Housing Approach. They include those implemented by the Housing and Slum Upgrading Branch (HSUB), other branches/units within UN-Habitat, and UN-Habitat's four main regional offices (ROs) – Regional Office for Africa (ROAF), Regional Office for Asia and the Pacific (ROAP), Regional Office for the Arab States (ROAS) and Regional Office for Latin America and the Caribbean (ROLAC) – and country offices (COs).

### 1.2.2 Geographical scope

The geographical scope of the evaluation was global, and thus involved an assessment of UN-Habitat's normative and operational activities at the global level. An initial global portfolio analysis enabled the identification of programmes and projects consistent with the Housing Approach to be included in the analysis.

Based on the global analysis and logistical considerations, an in-depth impact analysis which included two country visits: the first to Mexico in the Latin America and Caribbean region, and the second to Zambia in the Africa region. The selection of the two in-depth country case studies was indicative of the different adequate housing challenges and implementation contexts (two different regional areas) and hence the Housing Approach implementation variations.

The boundaries of the impact analysis of country programme interventions went beyond the areas directly targeted as they may have had broader positive, or in some cases negative, effects on surrounding areas or related policies and programmes. The analysis did not include comparison areas not affected by UN-Habitat programmes to observe differences in the patterns of development or the level of services, due to time and resource constraints.

## 1.3 Objectives of the evaluation

The specific objectives of the evaluation, as stated in the TOR, were to:

- a) Determine to **what extent identified changes in adequate and affordable housing and poverty reduction**, in identified countries, can be attributed to UN-Habitat's Housing Approach, policy frameworks, programmes and capacity building;
- b) Determine to **what extent has UN-Habitat's Housing Approach influenced political commitment to adequate and affordable housing** issues at global, regional and country levels and assisted selected countries to deliver on such commitments;
- c) Assess impact on vulnerable poor groups with the intent of assessing **how the Housing Approach has created better opportunities to improve the living standards** of poor people and ensure their housing rights;
- d) Assess how other **cross-cutting issues** such as gender, youth, human rights and climate change have been impacted by the UN-Habitat's Housing Approach;
- e) **Identify lessons and make recommendations** on how the Housing Approach and related work could be modified to increase impact.

The evaluation addressed 11 questions, included in Annex 5, with a predominant analytical focus on the first question: *What have been the main effects and impacts of UN-Habitat's Housing Approach in promoting adequate and affordable housing, and reducing urban poverty?*

The meetings held by the evaluation team in Nairobi with key UN-Habitat informants between 28<sup>th</sup> October 2019 and 1<sup>st</sup> November 2019 during the inception phase, confirmed the relevance of these evaluation questions for the UN-Habitat stakeholders, who all highlighted the need for evidence of the Housing Approach impacts on adequate, affordable housing to enable them to promote:

- Housing interventions as a means to achieve UN-Habitat strategic goals,
- The "Housing Approach" as a relevant global, regional and national approach to enable access to adequate, affordable housing for the poor,
- The value-added of UN-Habitat in addressing adequate, affordable housing issues.

The evaluation provides evaluative lessons and recommendations intended to inform future decisions concerning UN-Habitat's Housing Approach and how it is implemented, and to encourage the use of results [impact]-oriented approaches in future housing policies, strategies, programmes, projects and processes so as to achieve greater impact more efficiently, effectively, and sustainably. The evaluation findings could also help UN-Habitat re-establish the central role of housing in stimulating economic development and reducing poverty, particularly in urban areas; and to position housing more strategically on the international development agenda.

The evaluation further is expected to contribute to enhanced learning in UN-Habitat aimed at continuous improvements, and provided recommendations for the design of future impact evaluations

The evaluation is also intended to contribute to UN-Habitat's accountability to key stakeholders on the results and impacts of its activities. The target audience for the evaluation was UN-Habitat and its governing bodies, Sida and other key donors, Habitat Agenda Partners (HAPs)<sup>7</sup>, and the general public.

The Terms of Reference (TOR) are presented in Annex 1.

## 1.4 Evaluation team

The independent evaluation team comprised two international consultants: an impact evaluation expert, Mr Simon Deprez and a housing policy expert, Mr Michael Majale, who were supported and advised by Mr Michael Bamberger, an Independent Development Evaluation Consultant.

## Endnotes

- 1 On less than US\$2 Purchasing Power Parity
- 2 Muller, J. (2010) Reforming the United Nations: The Challenge of Working Together, UN-Habitat (2014) UN-Habitat Policy and Plan for Gender Equality and the Empowerment of Women 2014-2019
- 3 OHCHR and UN-Habitat (2009) The Right to Adequate Housing.
- 4 UN-Habitat (2016) Global Housing Strategy (2016-2019)
- 5 Arimah, B.C. (2010) Slums as Expressions of Social Exclusion: Explaining the Prevalence of Slums in African Countries
- 6 UN General Assembly (2018) Report of the Special Rapporteur on Adequate Housing as a Component of the Right to an Adequate Standard of Living, and on the Right to Non-Discrimination in This Context
- 7 The Habitat Agenda partners, as identified in the MTSIP, include: local authorities, non-governmental and community-based organizations, the private sector, parliamentarians, foundations, trade unions, professionals and researchers, academies of science and engineering, human solidarity groups, youth groups and women's groups.

## 2. UNDERSTANDING OF THE HOUSING APPROACH

The following articulation of the UN-Habitat Housing Approach is based on the review of UN-Habitat key strategic documentation, including the MTSIP, the SP, the Adequate Housing for All (AH4All) Programme document, the Global Housing Strategy to the Year 2025 (GHS 2025) Framework Document and the Housing at the Centre (H@C) approach, and on interviews with UN-Habitat key informants, and case study visits to Mexico and Zambia.

### 2.1 Evolution of the Housing Approach

UN-Habitat's Housing Approach derives from its mandate to promote adequate housing for all and sustainable urbanization, and its GC and UNGA resolutions and organizational policies and strategies. These have evolved over time with global, regional and national urbanization and housing trends and challenges, and the new development agendas to address them at the various levels; and have influenced UN-Habitat's Housing Approach. A tabulated summary historical analysis of UN-Habitat and the Housing Approach is presented in Annex 6.

#### 2.1.1 The first National Housing Profile

The origin of a comprehensive UN-Habitat Housing Approach is arguably traceable to the piloting of the Malawi Urban Housing Sector Profile in 2008, through which the agency consolidated a systematic approach to delivering a knowledge product designed to directly influence government policy and decision making on housing. Supporting advocacy activities were carried out,

and two capacity building workshops were conducted to enhance the capacity and understanding of key stakeholders, including government housing staff, on housing, policies, strategies, legal and institutional issues, housing markets, etc. Thereafter two public consultations, with 150 key stakeholders participating in each, were held, following which the government set up a Housing Task Force to draft the National Housing Policy based on the results of the Housing Profile. The Housing Profile and the subsequent development of housing policies showcased the normative-operational nexus that is embedded in UN-Habitat's *modus operandi*.<sup>8</sup>

#### 2.1.2 The Housing Approach in the MTSIP 2008-2013

The Mid-Term Strategic and Institutional Plan (MTSIP) 2008-2013, UN-Habitat's first six-year plan, had six focus areas. The MTSIP was developed around the six mutual reinforcing Focus Areas (FAs) listed in Table 1. FA1 concerned the global normative and advocacy role of UN-Habitat, while FAs 2 to 5 reflected the substantive technical assistance and operational areas.

FA3 was on 'Access to land and housing for all'. The strategic focus was thus on improving access to land and housing, security of tenure, and slum improvement and prevention, with UN-Habitat committing to support national and local governments and HAPs on the premise that adequate housing for all and cities without slums were only achievable by creating a wide range of affordable housing opportunities and serviced land at scale; and that housing could catalyse economic development and bring about poverty reduction.

**Table 1: Focus Areas of the MTSIP 2008-2013 and Strategic Plan 2014-2019**

Focus Areas MTSIP 2008-2013	Focus Areas Strategic Plan 2014-2019
1. Effective advocacy, monitoring, and partnership	1 Urban Planning and Design
2. Urban planning, management, and governance	2. Urban Land, Legislation and Governance
3. Access to land and housing for all	3. Urban Economy
4. Environmentally sound basic urban infrastructure and services	4. Urban Basic Services
5. Strengthening human settlements finance systems	5. Housing and Slum Upgrading
6. Excellence in management	6. Risk Reduction and Rehabilitation
	7. Research and Capacity Development

The MTSIP action plan<sup>9</sup> had four objectives, including developing and implementing an Enhanced Normative and Operational Framework (ENOF) to enable UN-Habitat play a leadership role in promoting sustainable urbanization in response to two principle objectives and outcomes of the MTSIP: (i) to align normative, capacity building and operational activities in order to scale country level pilot initiatives; and (ii) to play an effective catalytic role in partnership with other UN-agencies and HAPs. The ENOF strategy also aimed to facilitate alignment of resources to maximize the impact of UN-Habitat's work at all levels.

### 2.1.3 The Housing Approach in the Strategic Plan, 2014-2019

The Goal of the Strategic Plan 2014-2019 (SP) is “*Well-planned, well-governed and efficient cities and other human settlements with adequate infrastructure and universal access to employment, land and basic services, including housing, water, sanitation, energy and transport.*” This goal is to be achieved through the seven focus areas shown in Table 1 — with FA5 being ‘Housing and Slum Upgrading’. It however prioritizes four— FA1: Urban Legislation, Land and Governance; FA2: Urban Planning and Design; FA3: Urban Economy; and FA4: Urban Basic Services —considered to have been previously neglected. It also addresses four cross-cutting issues: (i) Gender; (ii) Youth; (iii) Climate change; and (iv) Human rights. The prioritization of the four focus areas, and particularly, the first two is reflected in the UN-Habitat global, regional and country programme portfolios from 2014 onwards.

### 2.1.4 The Global Housing Strategy to the Year 2025

**The Global Housing Strategy to the Year 2025 (GHS 2025)** is the outcome of a resolution of the 23rd Session of the UN-Habitat Governing Council in April 2011 that UN-Habitat assess the results and impacts of the Global Shelter Strategy to year 2000 (GSS 2000) and formulate a new one. It proposes policy guidelines designed to lead to a paradigmatic shift in housing policy and practice aimed to reverse the current pervasive proliferation of slums and informal settlements by providing governments and HAPs with data and knowledge to inform policy recommendations, and formulation and implementation of sustainable city-wide solutions.<sup>10</sup> Its overall objective is to assist Member States in working

towards the realization of the right to adequate housing. These are all key objectives of the normative and operational activities of the Housing Approach

### 2.1.5 Housing Approach in the New Urban Agenda (NUA)

**The ‘Housing at the Centre’ (H@C) approach**<sup>11</sup> builds on Habitat I, the GSS 2000, Habitat II and the GHS 2025, and positions housing at the centre of national and local urban agendas. It aims to shift the focus from simply building houses to a holistic framework that integrates urban planning with housing development, and places people and human rights at the forefront of sustainable urban development. It emphasizes increasing affordable housing supply by providing serviced land and housing opportunities at scale to prevent the growth of slums. It also re-establishes the important role housing has in development, stimulating the economy, reducing poverty, and promoting inclusion in cities. The GHS 2025 and H@C approach thus provide guiding principles for UN-Habitat's normative and operational work in partner countries through the Housing Approach.

### 2.1.6 Cross-Cutting Issues

As part of the UN family, UN-Habitat is mandated to respect, promote, and protect human rights in all its activities. Values contained in the Universal Declaration of Human Rights that promote the right to an adequate standard of living — including the right to adequate housing — underpin all UN-Habitat's interventions. The human rights dimensions relate to the availability, accessibility, acceptability, adaptability, quality and appropriateness of the rights to adequate housing, as defined in Box XX. In addition to human rights, these values also include addressing the cross-cutting issues of gender equality, youth and climate change.

The SP 2014-2019 directed that the four cross-cutting issues of gender; youth; human rights; and climate change should be mainstreamed in all of the substantive focus areas with an aim of strengthening programmatic synergies while ensuring that project outcomes reach all targeted beneficiaries, particularly persons in vulnerable situations.<sup>12</sup>

The Housing Approach mainstreams the four cross-cutting issues through its normative and operational interventions that promote socially and environmentally sustainable cities and aim to leave no one behind. Effective integration of the cross-cutting issues is expected to increasingly enable the replication and upscaling of interventions<sup>13</sup>, which is essential for impact to be achieved.

The PSUP, which represents a prime example of the Housing Approach, works towards the progressive realization of human rights for slum dwellers, particularly women and youth, through slum upgrading, and advocates and takes action for improving the slum dwellers' standard of living through incremental, climate compatible, human rights-based, city-wide and participatory slum upgrading and prevention through the provision affordable housing options at scale.

The four cross cutting issues are discussed in more detail in Annex 9.

## 2.2 Understanding of the Housing Approach

### 2.2.1 Evaluation Conceptual Framework of UN-Habitat's Housing Approach

UN-Habitat's approach to achieving its housing mandate has been articulated in various policy, strategy and framework documents. However, there is no clear and consistent documented definition or definitional framework of the UN-Habitat 'Housing Approach'. The evaluation team consequently developed a conceptual framework that understands the Housing Approach as an organizational strategy that provides a systematic, yet flexible approach to address adequate housing issues encompassing a core strategy of influencing housing policy to improve housing practice. This conceptualization is informed by the Housing Approach in the MTSIP, SP, the Housing at the Centre (H@C) approach and the New Urban Agenda (NUA), as well as a comprehensive review and analysis of UN-Habitat's normative and operational activities, and key informant interviews (KIIs) with staff at UN-Habitat headquarters in Nairobi during the inception phase, and in the Regional Offices (ROs) and Country Offices (COs).

The consultants developed the operational definition for the purposes of this evaluation so that it could be applied consistently across regions and time to identify which of the components of the Housing Approach were being applied in different countries. The exhaustive review and interview process involved in developing this definition is described in Section 3.

Box 4 lists the five fundamental elements that appear in most discussions of UN-Habitat's Human Rights-Based Approach (HRBA) to increasing access to adequate and affordable housing for all. It also includes three additional elements proposed by the evaluation consultants to provide a broader framework for assessing the Housing Approach. The additional elements include: the **(integration** of all of the fundamental elements of a country programme into an integrated strategy, the **incorporation** of all of the UN cross-cutting themes, and a systematic strategy to promote the **sustainability** of key interventions).

UN-Habitat's Housing Approach essentially involves producing knowledge and evidence to inform advocacy and initiate policy reform, on which it advises, and provide technical assistance and capacity building support to implement and operationalize policy reforms; and implementation support to (pilot) projects to demonstrate the policy reforms. This structure has essentially remained constant even as the Housing Approach has evolved over the two strategy periods (MTSIP 2008-2013 and SP 2014-2019), as explained above, and under different directorship<sup>14</sup>.

The Housing Approach has a range of strategic objectives relating to the increase of access to adequate housing and the reduction of poverty. **Box 5** lists the different strategic objectives of the Housing Approach, identified by the consultants. These strategic objectives are context-specific, but several objectives can be combined within a specific housing strategy or programme.

The most common entry point of the Housing Approach is thus the production of knowledge within the housing context, aiming to trigger and promote housing reform. The generic implementation of the Housing Approach envisages a phasing of the interventions from knowledge management to support to implementation.



#### Box 4: The Housing Approach Framework used in the evaluation

##### The five fundamental elements or types of intervention

1. Advocacy
2. Knowledge management
3. Policy advice
4. Technical assistance and capacity development
5. Supporting the Implementation of adequate housing and slum upgrading programme/projects

Additional elements for assessing the Housing Approach within a broader development framework

6. Integration of the five elements into an integrated country housing strategy
7. Incorporating cross-cutting themes (gender, youth, human rights and climate change)
8. Sustainability of country housing programmes

Application of the Housing Approach does not always involve all the five elements – it varies across the different levels, from global to local, from region to region, and from country to country. It may also be proactive or demand-driven, and hence have different entry points. For example, it may involve normative knowledge-sharing and advocacy at global forums such as the World Urban Forum (WUF), or it may involve operational implementation of projects at the country or local level at the request of governments, such as the resilient reconstruction and rehabilitation programme in Mozambique. The interviews with the ROs confirmed that COs are not always guided by the Housing Approach framework, but rather by UN-Habitat policies and principles towards the same ultimate goal through the normative and operational activities. They affirmed that the Housing Approach is very specific and contextualized, and greatly influenced by regional and country variations.

#### Box 5: The Housing Approach strategic objectives on adequate housing and poverty reduction

##### Adequate housing

- Increase access to adequate housing to all
- Increase access to adequate housing to low-income households
- Support diversification of adequate housing solutions
- Support diversification of government interventions in providing adequate housing
- Support advocacy groups
- Support self-organising housing initiatives (by NGO or INGO)
- Provide adequate housing to crisis affected populations (conflict, disaster, migration, etc.)
- Improve living conditions in existing slums/informal settlements

##### Poverty reduction and cross-cutting issues

- Increase housing affordability for low-income households
- Increase housing affordability for all
- Improve access to economic resources, affordable goods and services for low-income households
- Improve social inclusion and integration at city-wide scale
- Support gender or age sensitive housing strategies or programmes
- Improve access to adequate housing for female-headed households
- Improve access to adequate housing for young people
- Support climate change responsive housing strategies or programmes

Also, the five elements do not necessarily need to be structured into sub-sequential phases and implemented in a linear manner; but rather can be implemented more flexibly and iteratively. Thus, for example, monitoring and evaluation (M&E), analysis and learning from project information can provide important knowledge; or directly inform evidence-based advocacy; or influence policy.

The fundamental elements of the Housing Approach informed the articulation of the evaluation conceptual framework presented in Figure 4 which in turn informed the development of the TOC, evaluation design and methodological approach.

In addition, the UN Office of the High Commissioner for Human Rights (OHCHR) and UN-Habitat have defined seven criteria that housing must meet in order for it to be 'adequate', under international human rights law. These are: legal security of tenure, availability of services, affordability, habitability, accessibility, location and cultural adequacy. These criteria, also known as the dimensions of the Right to Adequate Housing, are explained in Table 2.

**Table 2: Adequate housing criteria**

Criterion	Description
Security of tenure	Housing is not adequate if its occupants do not have a degree of tenure security which guarantees legal protection against forced evictions, harassment and other threats.
Availability of services, materials, facilities and infrastructure	Housing is not adequate if its occupants do not have safe drinking water, adequate sanitation, energy for cooking, heating, lighting, food storage or refuse disposal.
Affordability	Housing is not adequate if its cost threatens or compromises the occupants' enjoyment of other human rights.
Habitability	Housing is not adequate if it does not guarantee physical safety or provide adequate space, as well as protection against the cold, damp, heat, rain, wind, other threats to health and structural hazards.
Accessibility	Housing is not adequate if the specific needs of disadvantaged and marginalized groups are not taken into account.
Location	Housing is not adequate if it is cut off from employment opportunities, health-care services, schools, childcare centres and other social facilities, or if located in polluted or dangerous areas.
Cultural adequacy	Housing is not adequate if it does not respect and take into account the expression of cultural identity.

Source: OHCHR and UN-Habitat (2009)

## 2.2.2 Theory of Change

The TOC shown in Figure 5: Theory of Change below, which was retrospectively developed by the evaluation team, represents the generic Housing Approach, identifying the main intervention types, activities, and intended outputs and outcomes. It also summarizes the different impacts that the Housing Approach seeks to achieve through the realization of adequate housing rights for all, and the implementation of improved housing policies and programmes at national level. The TOC is a synthesized overview of the complex and complementary interventions of the Housing Approach, and does not aim to represent the complexity of individual UN-Habitat country housing strategies or housing programmes, but rather to identify common threads.

In the TOC, "impacts" refer to the contribution of the Housing Approach to adequate housing and poverty reduction. It is acknowledged that these processes evolve over time and that many interventions have only recently been completed, or are still being implemented, so it may be too early, in some cases, to estimate impacts. The overall impact of 'sustainable urbanization' and the global development impact of 'poverty reduction' are intended to be achieved through two complementary intermediate impacts, namely 'increased access to adequate and affordable housing' and the 'upgrading and prevention of slums' while also positively impacting on the four UN-Habitat cross-cutting issues of human rights, gender equality, youth and climate change.

The logic of the Housing Approach (Figure 5: Theory of Change) is based on the implementation of five complementary Housing Approach interventions and their respective sets of activities, which should take into consideration the four cross cutting issues. Each of these activities is intended to deliver outputs and outcomes able to influence country housing stakeholders' knowledge, commitment and capacity, in order to trigger and influence the reform and implementation of improved housing frameworks. The implementation model of housing reform comprises the following, not necessarily sequential, activities: 1) knowledge creation; 2) recognition and promotion of housing rights; 3) revision of housing frameworks; 4) adoption of improved housing frameworks, and 5) implementation of pro-poor housing and slum upgrading and prevention programmes. All of the above are influenced by contextual factors (political, economic, legal, administrative, demographic, socio-cultural, and environmental) and should be linked to other global, regional and country level initiatives.

The overall impacts of the Housing Approach are achieved mainly through the implementation of improved housing frameworks by country authorities. The Housing Approach also envisages, but to a lesser extent, the contribution to these impacts by UN-Habitat through technical assistance and capacity building support, and operational implementation support to pro-poor housing and slum upgrading interventions.

The more comprehensive version of the TOC presented in Annex 10 also clarifies the boundaries or scope of the present evaluation. In this version the dotted rectangle shows that the focus of the evaluation is the identification and assessment of the causal links between achieved outputs and the intended outcomes and impacts on adequate housing and poverty reduction. This framework

informed the evaluation design and methodology, and shows that the evaluation does not include verification of the achieved results reported in UN-Habitat documents, nor the assessment of the efficiency or effectiveness of programmes or projects to deliver results.

**Figure 4: Evaluation Conceptual Framework of UN-Habitat's Housing Approach**

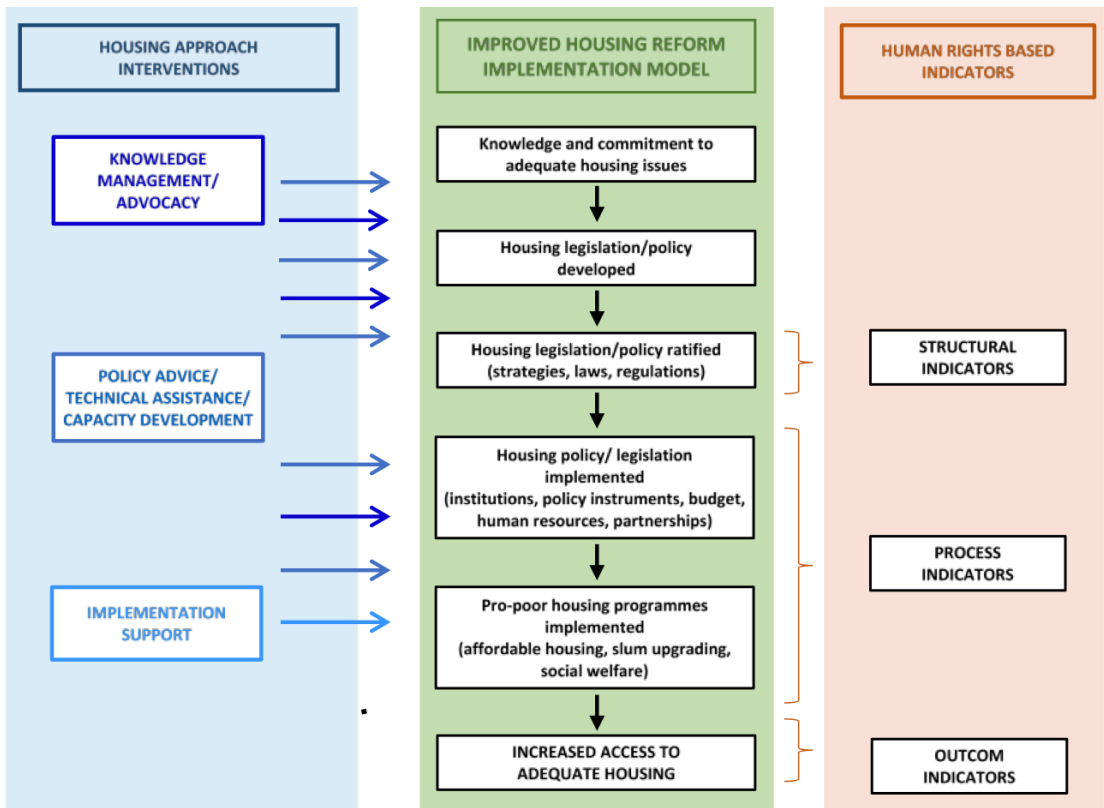
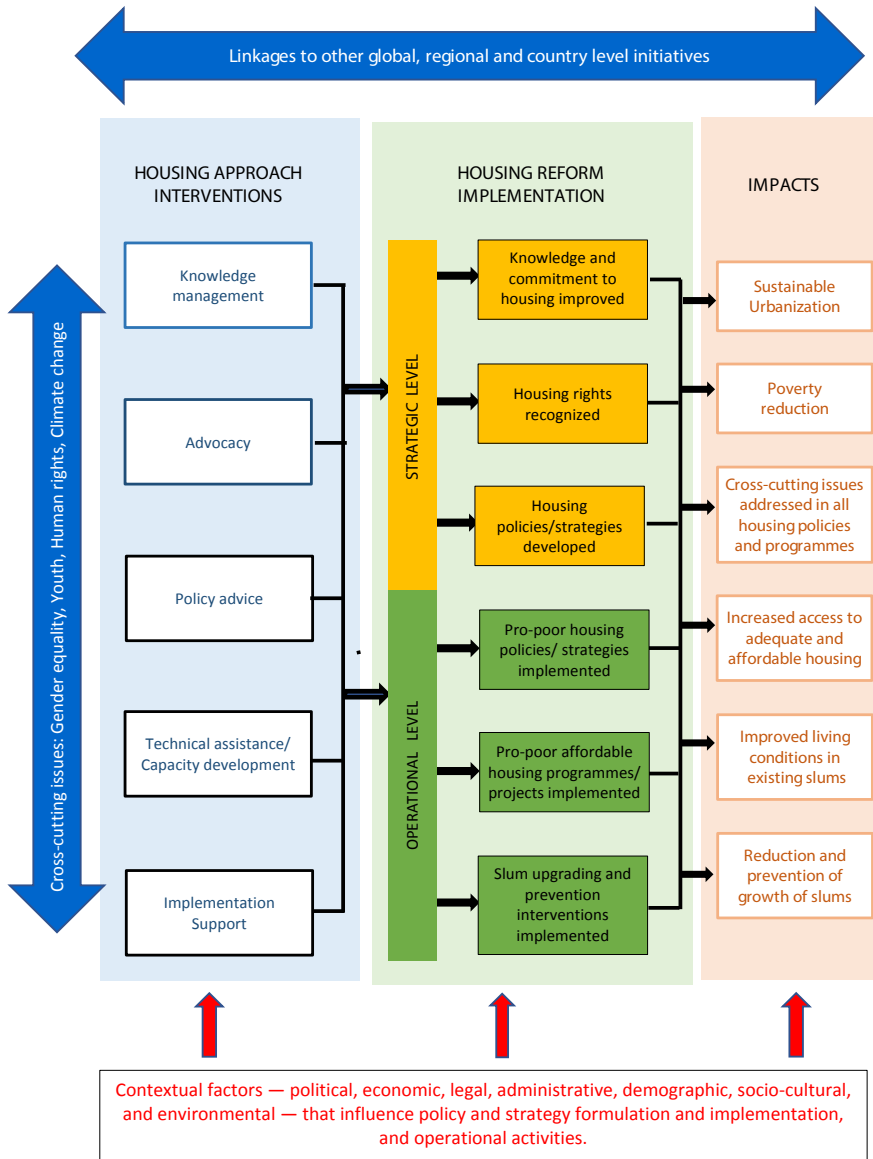


Figure 5: Theory of Change



## Endnotes

- 8 Acioly, C. (2019) Housing at UN-Habitat 2008-2014: A Brief History
- 9 UN-Habitat (2007) Medium Term Strategic and Institutional Plan Action Plan 2008-2013
- 10 UN-Habitat (2010) Global Housing Strategy to the Year 2000 – Fact Sheet
- 11 UN-Habitat (2015) Housing at the Centre of the New Urban Agenda
- 12 Children, youth, elderly, persons with disabilities, displaced persons and migrants, slum dwellers, urban poor, indigenous peoples, homeless persons, minorities, people living with HIV/AIDS, and in particular women in these categories.
- 13 UN-Habitat (2015) UN-Habitat Cross-Cutting Issues Progress Report 2015.
- 14 A list of the Executive Directors and their term periods is included in Annex 6.

## 3. METHODOLOGY

### 3.1 Introduction

The purpose of the evaluation, as described in Section 1, is to assess the contribution of UN-Habitat's Housing Approach to achieving the *global goal of affordable and adequate housing for all*. This broad question is addressed by simultaneously assessing the effects of the Housing Approach at the global, regional and country levels, and how activities at these three levels complement each other. As this is the first global evaluation that UN-Habitat has commissioned, it is inevitably exploratory as there are no previous global evaluations to draw upon. In addition, as is explained

in section 5.1 and Annex 10, the scope and rigor of the assessment were constrained by the limitations on the availability of the kinds of data required for the analysis.

Table 3 summarizes the seven main steps of the evaluation design, which are discussed in the following sections. The seven steps and the overall methodological approach are fully explained in Annex 10. The key methodological dimensions — Articulation of the UN-Habitat Housing Approach; Methodology for selecting main and comparative case study countries; and Impact measurement are briefly explained below.

**Table 3: Evaluation design**

<b>Step 1</b>	Defining and operationalizing the key evaluation questions
<b>Step 2</b>	Defining the UN-Habitat Housing Approach <ol style="list-style-type: none"> <li>a. The theory of change               <ol style="list-style-type: none"> <li>i. Articulating the UN-Habitat Housing Approach:</li> </ol> </li> <li>b. Is there a standard Housing Approach across regions?</li> <li>c. A matrix to compare country performance with the components of the Housing Approach</li> <li>d. Combining the Housing Approach evaluation framework with the UN-Habitat criteria for defining a comprehensive adequate and affordable housing programme</li> </ol>
<i>[Steps 3-5 are based on the Portfolio Analysis Framework Developed for the Evaluation]</i>	
<b>Step 3</b>	Identification of programmes to be covered by the evaluation
<b>Step 4</b>	The levels at which the evaluation will be conducted <ol style="list-style-type: none"> <li>a. Global:               <ol style="list-style-type: none"> <li>i. Global portfolio analysis</li> <li>ii. Historical evolution of UN-Habitat within a changing global context</li> </ol> </li> <li>b. Regional:               <ol style="list-style-type: none"> <li>i. Regional portfolio analysis</li> <li>ii. Historical analysis of the evolution of UN-Habitat activities</li> </ol> </li> <li>c. Country:               <ol style="list-style-type: none"> <li>i. Three comparison countries to capture the range of regional experiences</li> <li>ii. In-depth country case study</li> </ol> </li> </ol>

<b>Step 5</b>	Methodology for selection of comparator and case study countries
<b>Step 6</b>	<p>Dimensions of the evaluation</p> <ul style="list-style-type: none"> <li>a. Relevance</li> <li>b. Impact measurement <ul style="list-style-type: none"> <li>i. Programme impact on adequate housing</li> <li>ii. Structural indicators <ul style="list-style-type: none"> <li>• Process indicators</li> <li>• Outcome indicators</li> </ul> </li> <li>iii. Housing impacts on poverty</li> <li>iv. Contribution to the achievement of MDG 7 and SDG 11</li> </ul> </li> <li>c. Sustainability</li> <li>d. The value-added of UN-Habitat's Housing Approach and how it is implemented</li> </ul>
<b>Step 7</b>	Lessons learned: Adapting the original evaluation design to realities on the ground and regional/country variations.

The methodology proposed in the Inception Report was first tested to assess the feasibility of its application to address the 11 evaluation questions, given the limitations on data availability. As the evaluation progressed it became clear that in a significant number of the countries, no clearly defined country programme was available for review. This was due to three main factors. First, many of the country programmes were demand driven and responded to national and local government requests for assistance – i.e., they were not part of a planned country programme. Secondly, many COs have very limited staff and financial resources for monitoring and reporting. Thirdly, the UN-Habitat budget reporting system often only records the principal activity, and supporting activities, such as technical assistance or capacity development, may not be recorded. The initial evaluation design consequently had to be modified in line with the data availability.

### 3.2 Articulation of the UN-Habitat Housing Approach

A key element of the evaluation was to assess the extent to which UN-Habitat country programmes are consistent with the complete Housing Approach framework – and how this varies between regions. The articulation of the Housing Approach Framework was a three-stage process:

#### a) Retrospective construction of the Theory of Change

The Housing Approach TOC had to be constructed retrospectively by the evaluation team as none had been developed by UN-Habitat. The process of constructing the TOC is described in the Inception Report<sup>15</sup>, and the version used in this evaluation is shown in Figure 5.

#### b) Articulating the UN-Habitat Housing Approach

Based on the analysis that informed the development of the TOC, a conceptual framework was defined that incorporates UN-Habitat's five principal programmatic activities (1) Knowledge Management; (2) Advocacy; (3) Policy Advice; (4) Technical Assistance and Capacity Building; and (5) Implementation. This is explained in more detail in Section 2.2 "Understanding of the UN-Habitat Housing Approach.

In addition to these five activities, the framework also includes three additional dimensions that are usually not mentioned explicitly, but are implicit in most UN-Habitat housing interventions: (6) integration of the five activities in the country programme; (7) incorporation of cross-cutting themes; and (8) sustainability of the different activities. When all eight elements are present, this is referred to as the **Housing Approach Framework**, illustrated in Box 4 (section 2.2.1).

### c) Using UN-Habitat's 7 adequate housing criteria as a complementary evaluation framework

As discussed in Section 2, UN-Habitat, together with OHCHR, has defined seven criteria for assessing the adequacy of housing. These criteria, which provide a checklist of **adequate housing dimensions**, complements the Housing Approach evaluation framework, which identifies the **five programmatic areas** (and the three complementary requirements to achieve development outcomes) in which UN-Habitat housing programmes operate. Both sets of criteria are used in this report.

### d) Applying the framework to all UN-Habitat country programmes

The programmatic criteria were used to rate (using a 5-point scale for each dimension) current or recent country programmes and projects in terms of their conformity to the Comprehensive Housing Approach Framework. In some cases, when data was available it was also possible to trace the historical evolution of the country or regional programmes by comparing scores at different points in time. The second set of criteria were used to determine the extent to which housing programmes covered all or most of the seven adequate housing criteria.

## 3.3 Methodology for selecting main and comparative case study countries

### 3.3.1 Identification of the relevant Housing Approach portfolios

#### a) Initial identification of Housing Approach achievements

The identification of main Housing Approach achievements at country level was done through a comprehensive review of available UN-Habitat documentation. The analysis covered the Housing Approach achievements for each of the 75 countries analysed with respect to:

- National Housing Sector Profile published;
- National Housing Policy, developed and adopted;
- Housing policy implementation strategy developed;
- Local Housing Programme implemented;
- National Building code adopted;
- Slum upgrading and prevention policies or strategies, at national and local level;
- Local PSUP programme implemented;
- Other operational interventions implemented.

A summary table of identified achievements at country level is presented in Annex 17.



## b) Identification of Housing Approach relevant portfolios

A strong consistency with the Housing Approach was found in the 51 countries listed in Table 4.

**Table 4: Country Office programme portfolio consistency with the Housing Approach**

<b>Africa Region</b>	Angola, Botswana, Cape Verde, Chad, Democratic Republic of Congo, Djibouti, Eritrea, Ghana, Kenya, Lesotho, Liberia, Mali, Mauritania, Mozambique, Namibia, Nigeria, Senegal, Somalia, South Sudan, Sudan, Uganda, Zambia, Zimbabwe
<b>Arab States</b>	Egypt, Iraq, Jordan, Lebanon, Libya, Palestine, Saudi Arabia
<b>Asia and the Pacific Region</b>	Afghanistan, Bangladesh, Cambodia, Mongolia, Myanmar, Nepal, Pakistan, Philippines, Sri Lanka, Tuvalu, Vietnam
<b>Europe</b>	Georgia, North Macedonia, Serbia
<b>Latin America and the Caribbean Region</b>	Bolivia, Chile, Colombia, Cuba, El Salvador, Guyana, Haiti, Mexico

Source: Consultants

Region	In-depth Case Study	Comparative Case Studies
<b>Africa</b>	Zambia (country visit)	Mozambique, Somalia
<b>Arab States</b>	Iraq (no country visit)	Egypt, Jordan
<b>Asia and the Pacific</b>	Myanmar (no country visit)	Mongolia, Sri Lanka
<b>Latin America and the Caribbean</b>	Mexico (country visit)	Colombia, Haiti

## c) Complementary data from the Questionnaire sent to country offices

In order to complete the information on housing programmes implementation and achievements at country level, a questionnaire was shared with the COs. This provided additional information to validate and elaborate the information initially collected from secondary sources. The questionnaire was sent to 51 selected COs and 15 completed questionnaires were returned (a 29.4% response rate). The responses provided valuable first-hand qualitative and quantitative information, but the results must be interpreted with caution due to the low response rate. Completed questionnaires were received from almost all of the countries selected for the case studies, and where possible, the responses were triangulated against other data sources.

## d) Country case studies selection

The three country case studies for each region were selected through purposive sampling from among those countries where the country programmes were representative of the Housing Approach at regional level. In most cases these were countries in which UN-Habitat has had a long-term presence; and for which sufficient information on programmes and achievements was

available. Other factors also influenced the selection of the countries, such as current presence of a CO to support data collection, analysis and to facilitate contacts with country key informants. This selection was then discussed and refined with UN-Habitat. *The regional analysis provided a context for assessing how representative the case study countries were with typical country performance in the respective regions.*

The selection of the countries to be visited for the in-depth case studies was based on the following:

- the representativeness of the Housing Approach at global level;
- the availability of data on programmes, contexts and achievements;
- the potential space for lessons learned to be drawn (informed by HSUB);
- the availability of the CO during the possible visit period.

The final selection of country case studies in the four main regions was:



### 3.4 Impact measurement

The goal of the evaluation was to assess the contribution of UN-Habitat to the observed changes in outcome and impact indicators. However, the data, resource and time constraints under which the evaluation was conducted precluded the use of either experimental designs such as randomized control trials, where households or communities were randomly assigned to project and control groups; or quasi-experimental designs, where comparison groups are used. Consequently, the evaluation had to rely mainly on qualitative methods such as secondary data reviews, key informant interviews and project visits to assess the relevance and magnitude of UN-Habitat's contributions.

#### 3.4.1 Adequate housing

The impact on adequate housing of the Housing Approach was assessed using recognized indicators, including the "Illustrative indicators of the progressive realization of the adequate housing rights"<sup>16</sup>, the UN-Habitat strategic plan indicators of achievements, and some MDG/ SDG indicators. When used in combination these indicators cover structural, process and outcome levels:

- **Structural indicators** refer to constitutional, legal, policy or strategic frameworks, and "help in capturing the acceptance, intent and commitment of the State to undertake measures in keeping with its human rights obligations"<sup>17</sup>.

- **Process indicators** concern policy instruments, including public programmes and specific interventions, and "help in assessing a State's efforts, through its implementation of policy measures and programmes of action, to transform its adequate housing rights commitments into the desired results"<sup>18</sup>.
- **Outcome indicators** eventually express the status of the realization of human rights in a given context, and "help in assessing the results of State efforts in furthering the enjoyment of adequate housing rights"<sup>19</sup>.

Different kinds and levels of indicators (structural to outcome) were assessed depending on the intended impacts of the Housing Approach at global, country or local level,. For example, policy advice interventions were mainly assessed against structural indicators whiles slum upgrading physical interventions against outcome indicators.

The detailed table of "*Illustrative indicators of the progressive realization of the adequate housing rights*" is presented in Annex 11.

#### Indicators of achievements

The UN-Habitat strategic plans results frameworks include indicators of achievements for the housing-related focus areas. The following were identified as indicators of the realization of the right to adequate housing, all of which can be considered as Structural Indicators.

<b>MTSIP</b>	<ul style="list-style-type: none"> <li>• EA 1: Number of countries implementing improved land and housing policies</li> <li>• EA 2: Number of countries implementing policies to improve security of tenure, including measures to reduce forced evictions</li> </ul>
<b>SP</b>	<ul style="list-style-type: none"> <li>• EA 5.1.1: Increased number of partner countries that are implementing improved housing policies, strategies or programmes in line with the Global Housing Strategy principles</li> <li>• EA 5.1.1: Increased number of partner countries that are implementing frameworks or programmes preventing unlawful forced eviction</li> <li>• EA 5.1.1: Increased number of partner countries that are implementing sustainable building codes, regulations or certification tools</li> </ul>

## MDG 7 / SDG 11

Indicators for MDG 7D on improvement of living conditions in slums and SDG 11.1 on “adequate, safe and affordable housing and basic services and upgrade slums indicators” are outcome indicators which refer to the realization of housing rights for country population. MDG 7D and SDG 11.1 indicators are usually tracked at country level, and thus reflect the progression of the status of access to adequate housing for slum dwellers at the national level. Respective indicator are:

- MDG 7.D: Proportion of urban population living in slums;
- SDG 11.1: Proportion of urban population living in slums, informal settlements or inadequate housing.

### 3.4.2 Poverty

The impact of the Housing Approach on poverty reduction was assessed through a selection of widely used indicators, and included selected SDG 1 indicators, and a series of adequate housing criteria acknowledged to contribute to poverty reduction.

#### SDG 1

SDG 1 on poverty alleviation includes various indicators which can be achieved through the implementation of housing programmes. The following indicators were considered, although their application was limited by data constraints:

- i. Process level:
  - Target 1.3.1: Proportion of population covered by social protection floors/systems,
  - Target 1.5.3: Number of countries with national and local disaster risk reduction strategies.
- ii. Outcome level:
  - Target 1.4.1: Proportion of population living in households with access to basic services.

## Demonstrated impacts of improved housing programmes on poverty reduction

Some impacts of housing on poverty reduction has been documented by UN-Habitat.<sup>20</sup> In order to assess the contribution of improved housing to poverty reduction, the evaluation considered the potential impacts on some dimensions of poverty by housing interventions. To this end, the following impacts linked to specific adequate housing criteria were assessed:

- increased access to economic resources, affordable goods and services (location);
- increased economic stability (affordability and security of tenure);
- increased access to citizenship (security of tenure)<sup>21</sup>;
- impacts on health (habitability and location);
- impacts on education (location and security of tenure).

### 3.4.3 Sustainability

Sustainability refers to the likelihood that a country or regional programme has the financial and technical resources, as well as the political support to ensure that a policy or programme can continue to deliver its intended outcomes and impacts. Some analyses also consider whether an intervention has the potential to be scaled up. The assessment of project/programme sustainability can focus on (i) estimating the proportion of intended benefits that continue to be delivered, or (ii) evaluating the conditions necessary to ensure sustainability<sup>22</sup>. However, section 7.3 does not assess the sustainability of UN-Habitat to implement the Housing Approach or housing programmes at the country level, as the evaluation does not address efficiency and effectiveness issues.

### 3.4.4 Assessing the value-added of UN-Habitat's Housing Approach

Most Housing Approach initiatives are implemented in coordination with government, other international development partners or civil society. It cannot therefore be assumed that all the observed changes (e.g. new housing policies adopted) can be wholly attributed to UN-Habitat, the evaluation consequently assessed UN-Habitat's contribution. In cases where a specific intervention is being assessed and adequate data and time are available, it may be possible to conduct a comprehensive contribution analysis. However, this was not possible within the limitations of the present evaluation, so a Value-added analysis (VAA) was conducted instead. VAA addresses the same questions within the constraints of limited data and – meaning that the analysis is less rigorous. The Mexico country case study illustrates how VAA was applied.

### 3.4.5 Rating performance on the housing approach criteria

An important objective of the evaluation was to assess and compare implementation, outcomes and impacts of the Housing Approach at the global, regional and country levels. Comparisons were made for each of the four questions included in the TOR. Recognizing that each country is unique and that there are significant differences between regions and sub-regions, the evaluation included detailed case studies on 10 countries in the four major regions in which UN-Habitat is working: Mozambique, Somalia and Zambia in the Africa region; Egypt, Iraq and Jordan in the Arab States region; Mongolia, Myanmar and Sri Lanka in the Asia and the Pacific region; and Mexico in the Latin America and Caribbean (LAC) region.

**Table 5: The application of the ratings scales: two examples**

How the ratings were applied for two different sets of indicators (dimensions)		
Rating <sup>3</sup>	Implementation of the 5 main UN-Habitat activities <sup>1</sup>	Objectives of poverty reduction and cross-cutting issues <sup>2</sup>
1	Very limited use of this activity and/or poorly implemented	No impact on supply of affordable housing, social inclusion of marginal groups, climate change etc
2	Limited use of this activity and/or weak implementation	Very limited impact supply of affordable housing etc
3	Significant use of this activity and satisfactory implementation	Significant impact on supply of affordable housing etc
4	Extensive use of this activity and effectively implemented	Very significant impact on supply of affordable housing etc
5	Very extensive use of this activity and very effectively implemented	Major impact on supply of affordable housing etc

Notes:

- 1 The 5 activities: Advocacy, Policy advice, Knowledge management, Capacity development/ technical assistance and Implementation support. Each activity is rated separately'
- 2 The 5 objectives: Increased housing affordability, focusing on low-income groups; Improved access to affordable economic resources and services for low-income households,; improved social inclusion and integration at city level; targeted programs for female-headed households, the elderly and youth; and climate-change housing strategies and programmes.
- 3 In different parts of the report ratings were conducted at the country level (country case studies), regional level (regional reports) and global level (global report)

In order to make comparisons among regions, a standard metric on which comparisons could be based was developed. After reviewing different methodological options, the evaluation team developed a rating system similar to the widely used Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD/DAC) evaluation system, which has been adapted and used by most UN agencies. This uses a set of 5-point scales in which a rating of 1 indicates the poorest or weakest assessment, 3 indicates an average (satisfactory) score and 5 indicates the highest or best score. The meaning of the rating varies according to the nature of the indicator/dimension being assessed. Table 5 provides two examples of how the scales were applied to illustrate the slight differences in the wording of the definitions.

Each application of the scales was conducted independently by at least two members of the three-person evaluation team and scores were compared and adjustments made if there were differences in the scores. It is fully recognized that some professional judgment and subjective assessment is required to interpret

the meaning of terms such as "significant" and "very significant" as most of the UN-Habitat reports, on which most of the ratings were based, did not include precise quantitative figures on, for example, the increase in the affordable housing stock or extent of poverty reduction. In the cases where numerical data was available, it was incorporated into the ratings. The regional comparisons of the implementation of the Housing Approach and the evaluation team's rating of the performance of the Housing Approach in each region are presented in Table 14 and Table 15 in section 6.4.

The evaluation team fully recognizes that the rating scales are *ordinal* scales (in which numbers indicate relative rating value) and not *interval* scales (where the intervals are equal). Statistical tools such as the calculations of means, standard deviations, etc. can therefore not be applied. But it is generally agreed that rating scales (non-parametric statistics) are often the best option for comparative analysis when rigorous quantitative analysis is not possible.<sup>23</sup> However, the ratings should be used together with the in-depth country and regional data presented in the different reports.

## Endnotes

- 15 The process of constructing the TOC is described in Section 2.3 of the inception report.
- 16 OHCHR (n.d.) Human Rights Indicators Tables
- 17 OHCHR (2012) Human Rights Indicators: A Guide to Measurement and Implementation, p.34.
- 18 OHCHR (2012) Human Rights Indicators: A Guide to Measurement and Implementation, p.36.
- 19 OHCHR (2012) Human Rights Indicators: A Guide to Measurement and Implementation, p.38.
- 20 See, for example, UNCHS/ILO (1995) Shelter Provision and Employment Generation; UN-Habitat (2010) Housing as a Strategy for Poverty Reduction in Ghana; UN-Habitat (2010) Housing as a Strategy for Poverty Reduction in Ghana.
- 21 JRF, Tackling poverty through housing and planning policy in city regions,
- 22 Definition adapted from Bamberger, M. and S. Cheema (1990) Case Studies of Project Sustainability : Implications for Policy and Operations from Asian Experience. This publication cites several other sources (see page 7)
- 23 For a review of quantitative and qualitative methods for data analysis see Bamberger, M. and L. Mabry (2020) Realworld Evaluation: Working under Budget, Time, Data, and Political Constraints (Chapters 12,13 and 16 ).

## 4. HOUSING APPROACH IMPLEMENTATION VARIATIONS

### 4.1 Challenges of estimating the scope of housing programmes

As explained in chapter 2, UN-Habitat does not have a clear definition the Housing Approach, and therefore of which programmes and projects are consistent with it. Indeed no list of countries where the Housing Approach has been applied exists. In addition, several challenges to housing projects categorization limit the analysis of the impact of the housing portfolio on access to adequate, affordable housing for all and poverty reduction.

Housing has always been a core element of UN-Habitat's mandate and objectives, but it has progressively reduced in prominence (See chapter 2). The review of programmes and interviews have shown that many country strategies and programmes have, since the launch of the SP 2014-2019, been mostly addressing urban matters with a lesser focus on housing *per se*. Some key informants interviewed explained this as an integration of housing matters under the urban planning and development, and of the promotion of the right to adequate housing (RTAH). However as explained in the following sections and in chapter 6, the case studies have shown that the RTAH is usually partially addressed, with certain adequate housing criteria privileged over others.

As a consequence, the UN-Habitat Project Accrual and Accountability System (PAAS) programme/project classification system is based on not very clear categorization and housing-related programmes and projects are included under different thematic area, and under the lead of various UN-Habitat organizational units (branches, ROs or COs). This makes it difficult to obtain a reliable estimate of the scope of housing-focused interventions.

The evaluation therefore developed a methodology to tackle these limitations and to enable the identification and categorizations of housing projects. As detailed in the methodology and in Annex 10, country programme portfolios considered consistent with the Housing Approach were identified through the review of project information available in PAAS.

The analysis of programme information in PAAS enabled the review of 2,389 projects (including 1,118 that were 'archived'). The PAAS automated classification function (detailed in Annex 10) allowed rapid sorting of projects according to intervention theme. This approach however faced several limitations and bias, including the fact that one third of projects could not be easily sorted. The cross-checking of different information sources also revealed that many projects were not present in PAAS.

### 4.2 Global programme portfolio

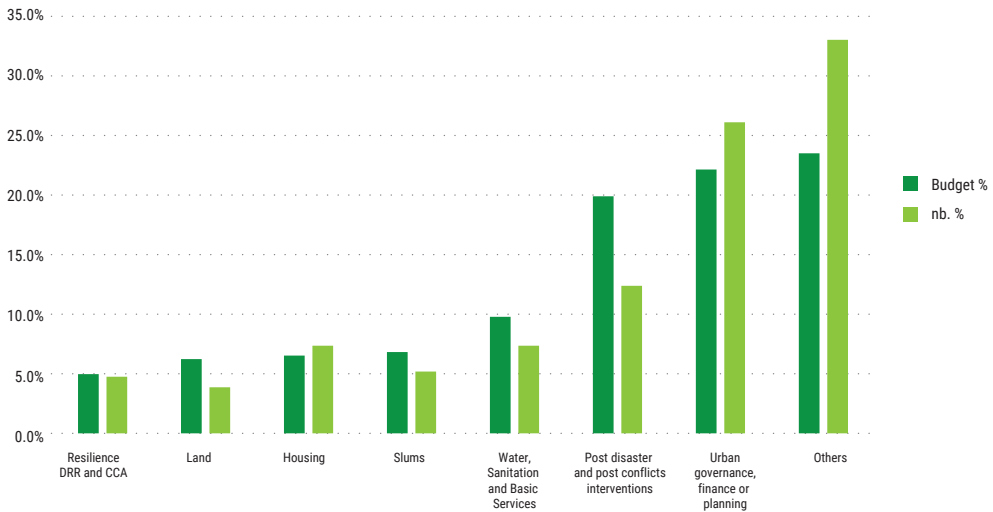
The categorization of the projects in the global portfolio reveals the limited proportion of housing-focused projects, both in terms of budget (US\$173 million or 6.6% of total programme budget) and number (7.4% of total programmes number). The greatest number of projects at global level are post disaster and post conflict interventions (US\$525 million or 12%) and urban interventions (US\$582 million or 26%), detailed figures are presented in Annex 3. Figure 6 gives a visual representation of each intervention area within the global programme portfolio.

The second phase of programme portfolio review focused on programmes categorized within PAAS under the theme 'Housing and Slum Upgrading' (437 programmes). The same automated categorization applied to the global portfolio reveals the main project themes.

This shows the vast spectrum of issues the housing programmes are addressing; and also reveals the great number/high proportion of post-crisis interventions addressing housing issues. Figure 7 gives a visual representation of the budgetary distribution.

Information in PAAS includes the lead implementing organisation/unit of the various UN-Habitat interventions. Housing programmes and projects have been implemented mostly by ROAF (24.1%), ROAP (23.5%); and ROAS (20%); with HSUB and ROLAC having implemented fewer (both 17.1%). Detailed figures are presented in Annex 3.

**Figure 6: Global programme portfolio per intervention area, 2008-2019 (in % of total programme number and budget)**



Source: PAAS

**Figure 7: Housing programmes per intervention scope**



- 2% Gender Focus programs
- 9% Other Housing related programs
- 24% Non-directly related to the Housing Approach
- 9% Normative Programs
- 19% Slum Upgrading and Prevention
- 28% Post-crisis Interventions
- 9% Land related programs

## 4.3 Regional housing portfolios comparative analysis

### 4.3.1 Regional variations

Each of the four main regions in which UN-Habitat is working – Africa, Arab States, Asia and the Pacific, and Latin America and the Caribbean (LAC) – is unique with different challenges, traditions, political and economic dynamics, etc., as is made clear in the global report. Even within each region there are significant variations between sub-regions and countries, as the case study countries in the four regional reports ([Africa](#), [Arab States](#), [Asia and the Pacific](#), and [LAC](#) and the [Zambia Country Report](#) prepared as part of this evaluation show. The regional differences are also discussed in more detail in the Synthesis Report that summarizes the four regional reports. The regional differences in the strategies and approaches adopted by UN-Habitat and the variation in the implementation of the Housing Approach and its components are largely due to the differences in the economic, political, socio-cultural, demographic and climate change contexts in each region.

### 4.3.2 Regional portfolios

There are significant regional variations in the distribution of UN-Habitat programmes and projects. The Africa and Asia and Pacific regions account for the highest number— respectively 20% and 21%. The Arab States and LAC regions follow, with 10% and 7% respectively. The Europe and North America portfolio is the smallest. The rest (40%) are Global and multi country programmes. Detailed figures are presented in Annexes 3 and 18.

With regards to housing, Africa has the largest portfolio in terms of number of programmes and projects, while Asia and Pacific have the largest portfolio in terms of budget. Figure 7 and Figure 8 also show that the Arab States region ranks second in terms of budget and third in terms of number but has the greatest proportion of housing interventions in its portfolio (11%). LAC and Europe both have relatively small housing portfolios (US\$ 7 million, or 6.5% of the portfolio).

Figure 8 gives an overview of the distribution of the programme by intervention area and region. It shows considerable variation at regional level for each of the intervention areas, which are primarily in response to the regional contexts, challenges, needs and priorities. The Africa region has the highest number of urban-related projects, while the most post-crisis interventions have been implemented in Asia and the Pacific. Slum upgrading interventions are fewer in number, and their

distribution follows the geographical scope of the PSUP programme, which focuses on ACP countries.

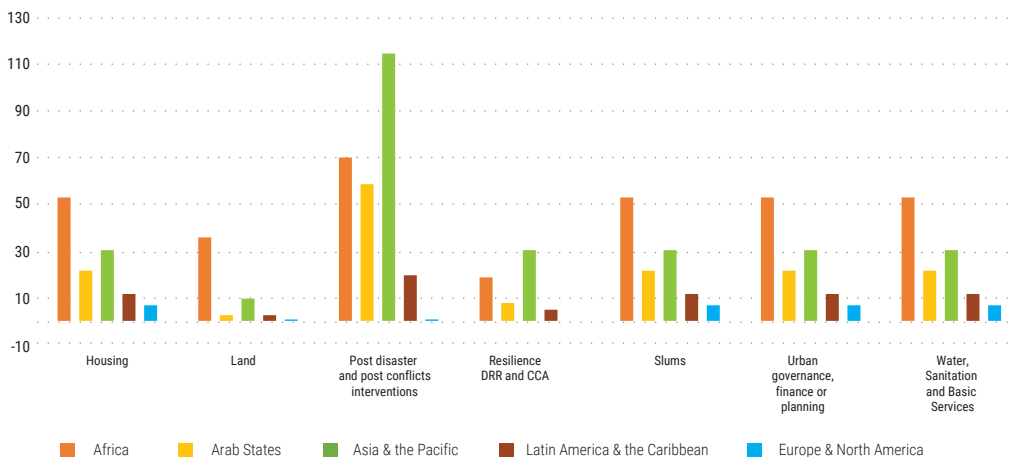
In terms of total UN-Habitat budget, the Asia and Pacific region portfolio is significantly larger than other regions, accounting for 58% of the total budget.

With regards to housing, Africa has the largest portfolio in terms of number of programmes and projects, while Asia and Pacific have the largest portfolio in terms of budget. Figure 7 and Figure 8 also show that the Arab States region ranks second in terms of budget and third in terms of number, but has the greatest proportion of housing interventions in its portfolio (11%). LAC and Europe both have relatively small housing portfolios (US\$ 7 million, or 6.5% of the portfolio).

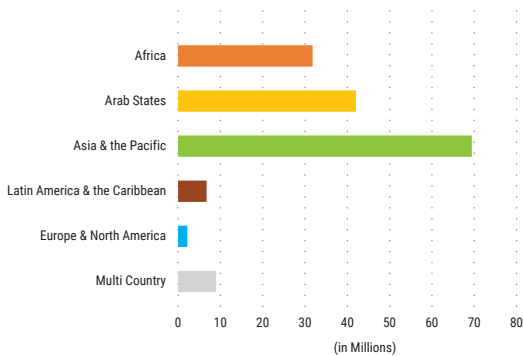
The programme portfolios per region can be summarized as follows:

- In **Asia and Pacific**, one of the biggest budgets, the programme portfolio is characterized by the greatest proportion of post-crisis interventions and the biggest share in slum upgrading programmes and basic services provision.
- The **Africa** region, the second biggest portfolio, has many housing interventions. It also has the most urban-related programmes and projects, and the highest number of land-related interventions.

**Figure 8: Global programme portfolio per intervention area and region (number)**



**Figure 9: Housing programmes/project portfolio per region (budget)**



Source: PAAS

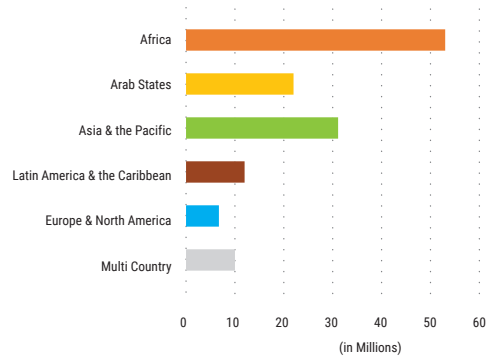
- In the **Arab States**, the most significant portfolio is the post-crisis interventions, with the region having the highest number, and ranking second in terms of urban governance, finance or planning interventions. It has the greatest proportion of housing-related interventions (15%).
- The LAC region has the smallest housing portfolio of the four main regions, with the focus being on broader urban-related interventions.

#### 4.4 Categorization of the Housing Approach implementation variations at country level

The categorization of the Housing Approach implementation variations at country level is based on a comparison of the housing-related programmes and projects. The aim is to assess the intervention scopes within country portfolios and the degree to which they are consistent with the strategic objectives of the Housing Approach Framework. Consistency with the Housing Approach Framework does not necessarily imply coverage of all its components, but rather to the majority, as explained in the Methodology section.

The assessment of the Housing Approach's consistency in this global report is done at the scale of country portfolios and not per project.<sup>24</sup> The consistency is validated by the coverage of the majority of the components of the approach as well as by the integration of several programmes and projects to contribute to the overall objectives of adequate, affordable housing and poverty reduction.

**Figure 10: Housing programmes/project portfolio per region (number)**



The review of programme documentation and activity reports identified 77 countries (See Annex 17) in which significant housing interventions have been implemented. The analysis of the country portfolios shows that in some countries housing portfolios were rather isolated (e.g., one post-disaster reconstruction project or slum upgrading intervention), and these were considered not to be consistent with the integrated and holistic strategy of the Housing Approach. As a result, 50 countries were found to have housing portfolios implemented in line with the Housing Approach.

The global portfolio analysis also revealed that few housing programmes and projects were entirely consistent with the Housing Approach Framework, demonstrating that it is not a generic approach applied in the same way in all contexts. As shown by the initial housing programme documentation analysis, the Housing Approach is more a global strategic guide than a specific methodological framework or tool applied universally. The PSUP is however exceptional in this regard as it is coordinated by the HSUB and applies the same comprehensive phased approach in all the ACP countries in which it is working.

The reference to the Housing Approach in the development of housing strategies and programmes was discussed in the interviews with ROs and COs, and revealed that in most cases the strategic approach is developed locally<sup>25</sup> based on the priorities of housing stakeholders, in particular national governments. However, for the HSUB, the Housing Approach is the basis of all housing interventions.



Differences in the application of the Housing Approach can thus be observed, but the core of the Housing Approach, its main goal and interventions scopes are globally endorsed. The evaluation has not identified cases of housing programmes and COs, adopting a divergent strategy (e.g. the promotion of private housing markets preferred by some global development stakeholders) nor unorthodox approach for UN-Habitat (e.g. the “whistle-blower” role played by some organisations).

In Asia and the Pacific, for example, the housing strategy is reportedly based on the ‘People’s Process’ a participatory methodology for housing and community interventions developed in Sri Lanka in the 1970’s by UN-Habitat and generalized at regional level (See [ROAP Report](#)). The approach developed regionally is consequently strongly based on direct housing assistance, provided in the framework of post-crisis or slum upgrading interventions. The normative work of UN-Habitat in the region is therefore less developed, but this does not prevent significant achievement on the UN-Habitat housing policies. In LAC region, the approach strongly relies on policy advice and technical support, and does not include much operational work, still the ROs and COs endorse the same goal of ‘increasing access to adequate housing for all’. In Africa, due to the vast varieties of national contexts, the Housing Approach does not seem to be as homogeneous as Asia or Latin America, but better covers all Housing Approach components.

### Summary

There is no specific guidance to support the application of the Housing Approach at regional level, nor a clear definition of which elements the Housing Approach should encompass. The evaluation has shown that the Housing Approach comprises a series of components, principles and strategies that influence the development of housing strategies, programmes and projects, several of which are also core principles of UN-Habitat, such as the HRBA or capacity building of national and local authorities to carry out their responsibilities. Hence some consistency can be found between country strategies and the Housing Approach Framework, without those COs necessarily having conscientiously applied the Housing Approach.

## 4.4.1 Coverage of the intervention scopes

The information collected from COs (detailed in Annex 31) and through programme documentation analysis shows that most country housing portfolios cover several intervention scopes, but that there are significant regional variations in which intervention scopes are covered.

**Knowledge management** is present in most country portfolios, and is typically the first intervention to be implemented to support housing policy reform. The most widely used knowledge product is the Housing Sector Profile (39% of portfolios).

**Implementation support**, which includes (i) housing projects (in varied contexts such as post-crisis situations); (ii) pilot projects aimed to demonstrate feasibility of approach or methodology (27.3% for these first two categories); and (iii) slum upgrading (29.9% of the portfolios) is also widely present. The operational interventions are more developed in the Asia and Pacific region, as mentioned above, where the post-crisis responses and slum upgrading interventions in which UN-Habitat has been involved reaffirmed its regional expertise. This emphasis on operational interventions has become characteristic of the UN-Habitat Housing Approach in the Asia and Pacific region.

**Technical assistance** and policy advice are much less widely used; but the figures may be an under-representation as the document review and interviews show that these areas are not always the main focus of housing interventions. Policy advice and technical assistance and capacity building are sometimes a secondary objective in broader housing interventions. Policy advice is mainly aimed to support the elaboration of improved national housing policies (44.2% of portfolios, but not all have been adopted), while engagement in housing strategies is lower (18.2%) and support to national and local housing projects lower still (respectively 5.2% and 6.5 %). Policy advice targets slum upgrading and prevention frameworks at both national (29.9% of portfolios) and local level (13%). Another area of normative work is national building codes, included in 15.6% of the portfolios.

**Policy advice** is a key component of the Housing Approach, with its core objective being to achieve housing reforms. Normative interventions have been implemented to varying extents at regional level. In Asia they have been rather limited whereas in Africa and the LAC region they constitute a big part of the interventions and achievements. In Latin America, this is explained by the fact that many national governments have long been implementing housing reforms but have requested support to develop them in keeping with new global housing frameworks. In addition, these governments usually have the financial resources to develop and implement new housing frameworks, as in the case of Mexico (See LAC Report). Most country portfolios also include the revision and improvement of housing policy and slum upgrading and prevention frameworks.

Another key finding is that **operational interventions** are often implemented simultaneously with normative interventions but serve different objectives: for example, to demonstrate the feasibility of a policy or strategy; support capacity building; or directly improve housing conditions. The configuration of these activities with other kinds of interventions for implementing the Housing Approach at country level can thus differ radically, especially for the PSUP interventions which can be rather disconnected from the other housing reform interventions by UN-Habitat. Hence some operational interventions precede and support the normative work, while others aim to trigger the concretization of the implementation of housing programmes.

### Summary

Differences in terms of coverage of the intervention scopes can be observed between countries at the regional level. While knowledge management is a common component across the board, implementation is most common in Asia-Pacific and Arab States countries, while policy advice has been the main area of intervention in LAC countries. In Africa the Housing Approach seems to have been more wide-ranging as the region encompasses a vast scope of contexts requiring varied approaches.

Only a small number of country portfolios have, over the evaluation period, covered the full range of Housing Approach intervention scopes.

## 4.4.2 Coverage of the strategic objectives

### a. Adequate housing

The overall aim of the Housing Approach is 'to increase access to adequate housing for all' through several sub-objectives. The coverage of the strategic objectives for adequate housing is influenced by both local contexts and needs, and the opportunities for UN-Habitat to engage in housing initiatives. The information collected through the questionnaire on housing programmes, presented in Annex 31, shows that COs highly endorsed this aim, in particular for low-income households. The next highest endorsement counts were for the objective to 'support the access to a range of affordable housing opportunities' through the 'diversification of government interventions' and the 'improvement of living conditions in existing slums and informal settlements'.

The interviews with COs revealed the major challenge of meeting the housing needs of low-income households can be more easily met through direct assistance than through policy advice. While operational interventions directly support vulnerable groups, housing policy reforms may improve the conditions for access to adequate housing for all, but the poorest may remain excluded.

Fewer countries cited 'post-crisis responses' as a strategic objective, which can be explained by the context specificity of these interventions. These programmes are very developed in some regions (Arab states and Asia and the Pacific) but less so in others (LAC). Support to advocacy groups and to self-help housing initiatives is a less common objective, and involves limited engagement of UN-Habitat with civil society organizations (CSOs) and especially community-based organizations (CBOs) and local non-governmental organizations (NGOs) (see section 6.3 on Added Value).

## b. Poverty reduction and cross cutting issues

Poverty reduction is not widely cited as a strategic objective of housing interventions by COs. Indeed, poverty reduction is not stated as a Housing Approach goal, nor does UN-Habitat provide guidance on how its interventions aim to achieve this objective. But some strategic objectives can be considered to have direct or indirect poverty reduction aims (See Methodology section). For example, more than half of the COs are working to improve social inclusion and increase housing affordability.

With respect to the UN-Habitat cross-cutting issues, support to 'gender equality' is more commonly defined as improving housing, land and property (HLP) rights for female headed households. The youth remain widely overlooked when it comes to equal and non-discriminatory access to adequate housing. Climate change sensitive housing strategies and projects are gaining increasing prominence as climate change continues to grow as a global issue of highest importance.

### Summary

The coverage of strategic objectives on adequate housing and poverty varies significantly between regions. The focus on a particular strategic objective is determined by the local housing contexts and the different and specific situations of inadequate housing – which may relate to the entire population; slums or informal settlements dwellers' crisis- affected populations, or other marginalized groups.

The coverage of both strategic objectives and intervention scopes is strongly influenced by the opportunities of UN-Habitat and the CO to support and influence the local housing stakeholders. These opportunities arise mainly from the demand of stakeholders for support on housing matters. The capacity of UN-Habitat to develop strategies and implement interventions outside of these frameworks is limited.

## Endnotes

24 In the Africa and Arab States regional reports, the assessment of consistency with the Housing Approach in the country case study is done at the prj level.

25 Many COs have reported that local needs or expertise prevail on the application of the Housing Approach.

## 5. HOUSING APPROACH ACHIEVEMENTS

Despite limitations on the availability of quantitative data, the key informant interviews, country office survey responses and country case studies all found that UN-Habitat's housing programmes are highly appreciated by both national and international partners. Global and regional conferences, knowledge management, advocacy and policy advice continue to make UN-Habitat a thought leader and innovator, and help keep adequate housing and poverty reduction on the international development agenda. However, while many activities at the country level are also highly valued, most country programmes tend to focus on only a few of the 7 components of a comprehensive and adequate Housing Approach. Indeed, the evaluation was able to identify only a small number of countries where UN-Habitat has been able to implement a comprehensive adequate and affordable housing programme.

### 5.1 Challenges to the estimation of the quantitative impact of the Housing Approach

#### 5.1.1 Limited aggregation of quantitative data on the Housing Approach

The evaluation found serious limitations in the ability to estimate the quantitative results of most UN-Habitat housing programmes. The main challenge is the absence of tracked data on intervention outcomes and impacts.

The UN-Habitat data collection systems are mainly limited to the tracking of the indicators of achievements of the global strategic plans (MTSIP and SP). These indicators only address the 'structural level', (e.g. number of improved policies), and do not report the extent to which interventions have benefited the target populations in each country.

Another challenge is that the indicators used to report on project results are not integrated or consistent and often refer to different types of interventions. For example, indicators for direct housing provision can range from new temporary shelters to repaired or improved homes (See ROAP Report).

While these data are useful to illustrate the variety of Housing Approach interventions, the resulting variety of indicators makes it impossible to aggregate estimates of impact.

#### 5.1.2 Limited indicators to quantify impact on adequate housing

The ability to quantify impact is significantly limited by the fact that in most cases the programme indicators of achievements are only reporting on outputs (e.g. number of shelters constructed), and do not make it possible to assess how far specific interventions have contributed to the achievement of all seven adequate housing criteria. In the case of Mongolia, for example, the focus of housing interventions on access to basic services in slums was prescribed as it was a priority need, and many households have reportedly benefited from this support (see figures in the ROAP Report). However, it is unclear to what extent all seven adequate housing criteria have been met for these households, or if, for example, they still have insecure tenure.

As such, the available indicators are rarely able to provide quantitative estimates of the overall impact of the Housing Approach on all of the criteria of adequate housing and poverty reduction. This is very critical as most projects focus on only one or a small number of the adequate housing criteria. The evaluation was only able to identify a very small number of examples where interventions had provided vulnerable people with most of the services required for adequate housing. The relocation of vulnerable Yangon slums dwellers is a good example of this (See Asia and the Pacific Report).

#### 5.1.3 Disaggregation by different vulnerable groups

The assessment of impacts of the Housing Approach on adequate housing and poverty reduction is intended to address the various impacts on different vulnerable groups. However, the documentation review shows that the quantitative project results are rarely disaggregated for different vulnerable groups.

While in the case of direct assistance programme it is reasonable to assume that most beneficiaries are from vulnerable groups, such as slum dwellers, urban poor or disaster victims, in the case of housing policy improvements it become very critical. The estimation of the extent to which the national housing projects supported by the Housing Approach benefit the low-income population is very critical as the poorest are often excluded from the formal housing system.

### Summary: Challenges to estimating the quantitative impacts of the Housing Approach

It is very difficult to estimate the scale and intensity of the impact of the Housing Approach on adequate housing and poverty reduction. Most UN-Habitat monitoring data only cover structural indicators at the policy level, and do not capture the total numbers of people supported at the country, regional or global level.

In addition, the failure to distinguish between full and partial achievement of adequate housing criteria limits the ability to estimate the extent to which the Housing Approach has ensured adequate housing for direct and indirect beneficiaries, especially for low-income populations.

As a consequence of these limitations, it is impossible to translate the limited available quantitative data on achievements into numbers of people provided with adequate housing. It is not possible to assume that because a Housing Approach intervention has been implemented, that all adequate housing criteria have been addressed, or that adequate housing is fully provided for the population.

## 5.2 How the achievements of the Housing Approach were assessed

As explained in Section 2, the evaluation adopts two complementary criteria for assessing the achievements of the Housing Approach. The first, developed by the consultants, identified the fundamental elements of the Housing Approach.

This combined the 5 programmatic areas [advocacy, knowledge management, policy advice, technical assistance and capacity development] with 3 additional criteria for assessing the contribution of the housing programmes to broader development goals [integration of the different components into the country programme, addressing cross-cutting themes and sustainability]. The second approach was based on the 7 criteria defined by UN-Habitat as the conditions for a completely adequate housing programme [security of tenure, availability of services, affordability, habitability, accessibility, location and cultural adequacy]. Achievements of the Housing Approach are discussed in terms of both of these complementary criteria.

## 5.3 Summary of outputs and outcomes at the global level

UN-Habitat has both a normative and an operational mandate. Its normative work applies to the sphere of frameworks, policies, strategies, regulations, standards and guidelines; while its operational work involves technical project implementation, undertaken ideally with reference to the normative guidelines. However, UN-Habitat's strategic priority areas often require both normative and operational competence, and it must work concurrently at both normative and operational levels, or policy and technical levels, to fulfil its mandate and meet its objectives.<sup>26</sup>

UN-Habitat's Housing Approach at the global level over the evaluation period has predominantly involved normative activities, including knowledge production and dissemination, evidence-based advocacy and policy advice, and recommendations and guidelines. The SP 2014-2019 prioritization of four programme areas — (a) urban legislation, land and governance; (b) urban planning and design; (c) urban economy; (d) urban basic services — also meant a greater focus on normative rather than operational work, and also reduced the prominence of housing within the Agency. Still, UN-Habitat has delivered on its mandate with notable success, as was affirmed in the interviews with global, regional and national partners and stakeholders, and by the questionnaire survey.

### 5.3.1 Knowledge management at the global level

#### a. Reports

UN-Habitat's normative activities were, until 2015, consolidated through the production of two flagship reports: *The Global Report on Human Settlements (GRHS)* and *the State of the World Cities Report (SWCR)*. Published on alternate years (see Annex 19), the two reports were supported by intensive global monitoring activities, applied research, and findings of best practices.<sup>27</sup>

The reports targeted different audiences, which is reflected in their format and presentation style. The GRHS was policy-oriented and aimed at politicians, bureaucrats, technocrats and academics, with the themes typically addressing cross-cutting substantive issues such as urbanization, slums, housing finance, urban safety, urban planning and climate change. The SWCR was aimed at a wider audience, including national and local decision makers, NGOs and the media, and its content presentation was therefore more visual and reader-friendly and accessible. The foci of SWCR editions were generally aligned with the WUF themes<sup>28</sup>. The two-report series were published and disseminated both in print and online; The download statistics from 2008 to 2013 are presented in Annex 20. However, downloads may underestimate the full picture of impact, as in some cases online publications may be downloaded by one person, then printed and distributed to several other individuals and groups. For example, in Zambia, the Ministry of Housing and Infrastructure Development printed and distributed the New Urban Agenda document to key stakeholders.

An important point worth raising, which is sometimes overlooked, is that in many developing countries, internet penetration, accessibility, connectivity, reliability, speeds and cost are critical issues — and limiting factors to widespread internet use. In this regard, downloading publications such as the GRHS and SWCR can be very demanding on internet connections, rendering them inaccessible for important stakeholders, and limiting their potential policy influence and impact.

The *Evaluation of UN-Habitat's Flagship Reports* found that the impact of the GRHS had been mainly on academic audiences, with little effect on policymaking and programme implementation at the global, national and local levels. The SWCR had been more accessible to policy and programme levels in governments, but evidence of it significantly influencing new thinking and action was lacking. It concluded that: *"In sum, the perceived impacts of these reports have been far below their potential."*<sup>29</sup>

The *Affordable Land and Housing* series, published by UN-Habitat in 2011, provides a situation analysis of the state of affordable land and housing in four regions: Africa<sup>30</sup>, Asia<sup>31</sup>, LAC<sup>32</sup>, and Europe and North America<sup>33</sup>. The four volumes explore trends in land and housing; analyse policy responses to address the main challenges and provide recommendations on how to increase access to adequate and affordable housing in each of the four regions. They are thus very relevant publications for housing policy makers and practitioners in the respective regions.

As at the end of 2019, 42 national governments and 383 local governments had used UN-Habitat flagship publications for evidence-based policy formulation.

#### b. Fact Sheets

UN-Habitat also produces and disseminates fact sheets, which are an important, user-friendly method of distributing key messages to a wide audience in an accessible format; and also, an effective knowledge dissemination, advocacy and policy-influencing tool. For example, the joint UN Office of the High Commissioner for Human Rights (OHCHR) and UN-Habitat Factsheet 21 on The Right to Adequate Housing<sup>34</sup>, which is part of the Human Rights Fact Sheet series distributed free of charge worldwide, is intended to assist a wide audience to better understand basic human rights, what the UN is doing to promote, protect and realize those rights. The PSUP has likewise produced a series of fact sheets that bring together key facts and data and showcase concrete PSUP achievements to contribute to a better understanding of the slum challenge and how UN-Habitat is addressing it through the Housing Approach. PSUP has also produced a *Key Messages* series and a *Quick Guide* series in a similar concise, user-friendly format available online.<sup>35</sup>

### c. Platforms

**MyPSUP**<sup>36</sup> is the PSUP e-platform that connects diverse networks of Country Team Members, national and local authorities, urban planners, academia, slum communities, etc. It incorporates functionalities such as: (i) Communication and outreach of PSUP's objective and achievements; (ii) Documentation of country achievements and information on country implementation status; (iii) Sharing experiences and best practices; (iv) Library with reference publications and the outputs developed through the MyPSUP; and (v) Limited capacity building contents for the country teams on the PSUP methodology. The latter is a significant issue in that if there were more capacity building contents, Country Teams would perhaps require less technical backstopping support, which UN-Habitat is often hard-pressed to provide.

The **MyPSUP** e-learning platform<sup>37</sup> provides courses designed to provide an in-depth understanding UN-Habitat's approach to, slum upgrading; and how to set up and implement impactful interventions.

The PSUP II Final Activity Report states that MyPSUP hosted 574 users from 254 cities from the 35 PSUP participating countries and 56 non-participating countries between 2012-2016. But according to *Hypestat: Web Statistics and Analysis*, MyPSUP receives about 34 unique visitors and 34-page views (1.00 per visitor) per day<sup>38</sup>.

**The Global Network for Sustainable Housing (GNSH)**, established through UN-Habitat, is an international partnership of practitioners, academics and organizations promoting policy development, research and design of environmentally, economically, socially and culturally sustainable housing solutions in the context of slum upgrading, reconstruction, large-scale affordable and social housing, and sustainable urban development. GNSH members share experience and expertise, which is paramount in the ever-expanding world of knowledge and information management and dissemination, and a critical factor of access and impact. As part of the GNSH activities, UN-Habitat published *Accessibility of Housing*<sup>39</sup>, a handbook which, in response to the SDGs call to 'leave no one behind', presents practical solutions to overcome accessibility barriers for persons with disabilities and the elderly in the contexts of slum upgrading, reconstruction, and large-scale affordable and social housing programmes.

### d. Guides and tools on housing

UN-Habitat's long-term involvement, expertise and mandate on housing has enabled it to produce many guides and tools. Some key documents address normative, and specifically legal issues, such as the *Fact Sheets 21 and 25* elaborated by OHCHR on the Right to Adequate Housing (2011) and on Forced Evictions (2014). UN-Habitat has, in total, developed 52 publications on housing rights.

UN-Habitat has produced numerous normative documents and materials that recommend approaches, frameworks and tools to address pro-poor housing issues, such as the *Scaling Up Affordable Housing Supply in Brazil*, the *Quick Guides for Policy Makers* series; and the several slum upgrading capacity building products, such as *Practical Guide for Implementing the Participatory Slum Upgrading Programme: Second Phase (PSUP II)*<sup>40</sup> and *A Practical Guide to Designing, Planning, and Executing Citywide Slum Upgrading Programmes*<sup>41</sup>.

The *Quick Guides on Housing the Poor in Asian Cities* and *Quick Guides on Housing the Poor in African Cities* series aim to improve the understanding by government officials and policy makers and other low-income housing stakeholders at national and local levels of pro-poor housing and urban development within the framework of urban poverty reduction. The concise, easy-to-read format is especially likely to encourage wider readership among government officials and policy makers. UN-Habitat has produced a training package<sup>42</sup> as part of the *Quick Guides for Policy Makers: Housing the Poor in African Cities* series, which translates the normative content to a training environment, thereby making the learning more effective.

Other publications address and provide guidance on specific housing-related issues, such as forced evictions, accessibility, housing right for indigenous people; post-disaster responses; building sustainability; HLP issues; and migration. Specific guides also provide guidance and direction to national and local governments for the monitoring and reporting of the SDG Goal 11.

The City Prosperity Index (CPI) provides a tool to measure the sustainability of cities.<sup>43</sup> The tool rates cities on six dimensions urban prosperity: productivity; infrastructure development; quality of life; equity and social inclusion; environmental sustainability; and governance and legislation. UN-Habitat is providing

technical assistance and capacity building support to more than 400 cities across the world to monitor urban development, including the housing indicators and targets of Goal 11 through the CPI, and the data is accessible online and in reports.

GNSH has launched *SHERPA - Your Personal Guide to Sustainable Housing*, a user-friendly assessment tool, whose holistic approach enables a comprehensive assessment of the potential impact and sustainability of housing projects. SHERPA could potentially help prevent the phenomenon of massive numbers of vacant housing units in many countries – and over 120 million vacant housing units globally<sup>44</sup> – which is a result of output-based housing policies and strategies where supply does not meet demand, underscoring the need for a paradigm shift<sup>45</sup>.

MaS-SHIP is a technical decision support tool that enables practitioners to compare affordable housing designs against a range of key factors, including complexity of skills needed, employment generation, carbon dioxide emissions and sustainability in the supply chain. It can thus enhance sustainability in affordable housing projects through the adoption of appropriate building materials and construction technologies.

### 5.3.2 Advocacy at the global level

#### a. Campaigns

The *World Urban Campaign (WUC)* is a global advocacy and partnership platform, coordinated by UN-Habitat and driven by 180 partners and networks<sup>46</sup> to promote a positive vision for sustainable urbanization and prioritize the urban agenda at the highest level in development policies. It also promotes National Urban Campaigns, through which governments can develop national sustainable urban development goals and strategies. Members sign up to the World Urban Campaign Paris Principles, which includes: “Accessible and pro-poor land, infrastructure, services, mobility and housing”.<sup>47</sup> UN-Habitat’s expertise and experience provides substantial added value to the Campaign.

The ‘*Up for Slum Dwellers – Transforming a Billion Lives*’ campaign, a global public-private partnership implemented through the framework of the WUC, aims to bring about a paradigm shift in the global response to slum upgrading and prevention. Under the motto “Leave no-one-behind”, the new paradigm recognizes

both the challenges faced by, and the potential of slum dwellers; and prioritizes integrating them into pro-poor policy and planning.<sup>48</sup> PSUP brings great added value to the campaign through its acknowledged successful normative and operational activities.

#### b. Global housing framework developed since 2008

UN-Habitat has played a central role in the development of several global housing frameworks within the evaluation period 2008-2019. The key ones include:

- *The Future We Want*<sup>49</sup>, the outcome document of the United Nations Conference on Sustainable Development (UNCSD), also known as Rio+20, which took place in Rio de Janeiro, Brazil in 2012, articulates a holistic approach to urban development and human settlements that provides for affordable housing and infrastructure and prioritizes slum upgrading.
- *The 2030 Agenda for Sustainable Development*, adopted by all UN Member States in 2015, provides a shared blueprint to end poverty by 2030. At its core is a framework of 17 Sustainable Development Goals (SDGs), 169 targets and 232 indicators. SDG 11 – “*Make cities and human settlements inclusive, safe, resilient and sustainable*” – underlines the important role of urbanization and cities in achieving the agenda. UN-Habitat is the custodian agency for eight of the 15 SDG 11 indicators, and a supporting agency in another five. It has thus developed guidelines to assist national and local governments monitor and report on the SDG 11 indicators. It is also custodian agency for Goal 1 indicator 1.4.2 on security of tenure along with the World Bank. This is evidence of the recognition, at the highest level, of UN-Habitat’s competencies and comparative advantage in urban development and housing.
- *The New Urban Agenda (NUA)* endorsed by Habitat III in 2016 complements and reinforces the urban related SDG targets. More specifically, it addresses how cities need to be planned, designed, managed, governed and financed to achieve the SDGs, focusing on the three transformative commitments: (1) Social Inclusion and Ending Poverty; (2) Sustainable and Inclusive Urban Prosperity and Opportunities for All; and (3) Environmentally Sustainable and Resilient Urban Development. The first is especially



important in the context of the urbanization of poverty and growing number of slum dwellers, who are commonly socially, economically and politically marginalized.

### c. Global events

The World Urban Forum (WUF) was established in 2001 as an advocacy platform to mobilize international support for, first, the Habitat Agenda and then attainment of the urban-related MDGs and SDGs respectively. Organized by UN-Habitat, its objectives include:

- raising awareness of sustainable urbanization among stakeholders and constituencies, including the general public, including on housing and slum upgrading;
- improving the collective knowledge of sustainable urban development through inclusive debates, sharing of lessons learned and exchange of best practices and good policies;
- increasing coordination and cooperation between different stakeholders and constituencies for the advancement and implementation of sustainable urbanization.

Since 2002, WUF has been held biennially in different cities in different countries around the world, as shown in Annex 23. WUF events have increasingly drawn thousands of participants and growing numbers of countries to learn, exchange experiences and best practices and reinforce partnerships, underscoring the added value of UN-Habitat's advocacy activities.

WUF relevance, effectiveness and impact can also be assessed by the degree to which the Forum and its outcomes have benefitted participants, contributed to change, or can potentially effect change. Most of the post-forum participant surveys affirm the relevance of WUF sessions and their contents, which include the events shown in Annex 23. For example, the 2010 WUF5 post-forum participant survey revealed that 87% of respondents were either satisfied or very satisfied with the relevance of topics and themes, which included housing and shelter, and slum and urban upgrading and evictions. Over 90% indicated that they would likely or very likely apply ideas from the Forum in their work<sup>50</sup>, which can potentially have an impact in increasing access to adequate and affordable housing.

The 2014 WUF7 report<sup>51</sup> asserts that the digital media statistics indicate both the direct impact of an engaging online presence and the potential for growth. The WUF9 report<sup>52</sup> similarly recommends institutionalizing online support, guidance and capacity development on implementation of the NUA and related SDGs, e.g. online conferences, webinars and knowledge platforms.

Many of the stakeholders interviewed who had attended WUF sessions – from high ranking government officials to women members of grassroot organizations (e.g., in Zambia, from the Ministry of Housing and Infrastructure Development and the Zambia Homeless and Poor People's Federation – ZHPPF) – affirmed the value of the WUFs for learning, networking and mobilizing political will. High ranking academic institutions (e.g. PEAK Urban<sup>53</sup>) also affirmed their worth.

### d. Regional events

PSUP has held three International Tripartite Conferences organized by the African Caribbean Pacific (ACP) Secretariat, the European Commission (EC) and UN-Habitat:

- The first, held in Nairobi, Kenya in 2009, focused on urbanization challenges and poverty reduction in ACP States, and adopted the *Nairobi Declaration on Urbanization Challenges and Poverty Reduction in African, Caribbean and Pacific States*<sup>54</sup>.
- The second was held in Kigali, Rwanda in 2013 under the theme "*Sustainable Urbanisation for Urban Poverty Eradication – With a special focus on Slum Upgrading and Community Empowerment*" and was attended by 300 participants from 60 countries. It resulted in the adoption of the *Kigali Declaration on Sustainable Urbanization for Poverty Reduction*<sup>55</sup>,
- The third was themed "Transforming ACP cities, leaving no one behind: engaging in large scale investments in slums", and assembled 250 participants from 60 countries in Brussels, Belgium in 2018<sup>56</sup>. The Conference adopted the *Brussels Declaration and Action Framework*<sup>57</sup>, through which the countries present confirmed their political commitment to address the issue of slums and urban poverty.



From the themes, attendance and resolutions adopted at the three tripartite conferences it is clear that PSUP is very relevant and has effectively convened a critical mass of key Government representatives and HAPs to address slum upgrading and poverty reduction.

Slum upgrading issues have also been discussed at the following key international and regional forums:

- Habitat III Thematic Meeting on Informal Settlements held in Pretoria, South Africa in April 2016, the outcome document of which was the *Pretoria Declaration*<sup>58</sup>, which stresses the importance of a new urban agenda that, among other things, transforms informal settlements through incremental participatory slum upgrading.
- Africa Regional Meeting for the UN Conference on Housing and Sustainable Urban Development (Habitat III) Habitat III Conference held in February 2016, the main outcome of which was the *Abuja Declaration*<sup>59</sup>, which called for, among other things, ensuring access to sustainable, affordable and adequate housing and land, and promoting slum upgrading.
- Africities<sup>60</sup> Summits are the triennial flagship pan-African events of the United Cities and Local Governments of Africa (UCLG Africa). At the 7th Africities Summit in December 2016 in Johannesburg, South Africa, attended by 2,500 participants, several resolutions and declarations were adopted, including the *UN-Habitat Declaration for Africities*<sup>761</sup>, which emphasized the need for comprehensive citywide slum upgrading and prevention backed up by pro-poor policies that recognize the rights of slum dwellers<sup>62</sup>.
- The Asia-Pacific Urban Forum (APUF), which is co-organized by UN-Habitat and has been held every four years since 1993, is the largest regional gathering of urban stakeholders. APUF-7 held in 2019 was attended by over 7,000 policymakers, expert speakers, thought leaders from national and local government, private sector, research communities and civil society from 60 countries. APUF-6 held in 2015 featured the launch of *The State of Asian and Pacific Cities 2015* report<sup>63</sup>.

- The Pacific Urban Forum (PUF) brings together Pacific Island nations, local governments, development partners, NGOs and other practitioners to discuss the region's urban challenges and identify sustainable solutions.

As indicated above, many of the events that have discussed slum upgrading have produced substantive outcome documents such as resolutions, declarations, agendas, etc., but as underscored by the development partners at the 7th Africities Summit, if the outcome documents are not effectively implemented, they will not achieve any impact.

#### e. Networks

Networks are efficient and effective platforms for both normative and operational activities, including knowledge sharing, advocacy, awareness raising and policy influencing. UN-Habitat has thus initiated and coordinates several global networks, including notably the following:

**The Global Land Tool Network (GLTN)** is a multisectoral alliance of global, regional and national partners committed to poverty reduction through increasing access to land and tenure security for all. GLTN develops, disseminates and implements pro-poor and gender-responsive approaches and tools<sup>64</sup> that contribute to land reform, good land governance, functional land sector coordination, and inclusive and sustainable land administration and management.

The GLTN Phase I programme (2008-2011) achieved significant results, including the recognition of the need for a 'continuum of land rights' to replace the more conventional approaches, and for affordable, pro-poor, gender-appropriate approaches to land governance<sup>65</sup>. The End-of-Phase Evaluation of the GLTN Phase 2 programme (2012-2017) found that GLTN had shifted global and national discourse towards pro-poor, gender-responsive land governance; and that its overall performance was satisfactory in terms of the evaluation criteria of relevance, efficiency, effectiveness, impact and sustainability<sup>66</sup>. The document review confirmed these findings, with the GLTN programme reportedly having benefitted over 300,000 households in Democratic Republic of Congo, Kenya, Namibia, Uganda, Zambia, Iraq, Nepal and Philippines as of end 2018<sup>67</sup>.

#### The Global Urban Observatory Network (GUO-Net)

is a global information and capacity-building network established and coordinated by UN-Habitat's Global Urban Observatory (GUO) Unit — a specialized statistical unit in charge of global monitoring of urban-related agendas — to help implement the NUA. It comprises national and city-level institutions that function as National and Local Urban Observatories (LUOs). GUO coordinates 374 urban observatories globally: 101 in Africa, 143 in Asia and 130 in Latin America<sup>68</sup>. This is three times the number at the end of 2008 which was 126<sup>69</sup> — but only 70 are in fact active.<sup>70</sup> LUOs are taking the lead in collecting, analysing and interpreting data for urban indicators related to the NUA and urban SDGs, which the GUO Unit then validates. However, while there is capacity at national level, it is lacking at the city and local levels, which is comprising both the efficiency of data collection and the quality of the data collected.<sup>71</sup> UN-Habitat has developed a "*Monitoring Framework*"<sup>72</sup> to assist national and local governments to collect, analyse, and validate data and information so as to produce credible, evidence-based reports.

The **Gender Equality** Network provides a forum for members and interested parties to highlight challenges and to propose solutions that can create more gender inclusive cities. Groups and discussions about on-going activities, projects, programmes and publications are open to all interested members of the network.

## 5.4 Summary of outcomes at country level

The identification of the outcomes has followed two methods, the compilation of the outcomes of the housing programmes through the review of the activities reports and programme documentation available in PAAS, and the review of the indicators of achievements of the housing focus areas of the successive UN-Habitat strategic plans (MTSIP and SP). Additional information has been gathered through the review and analysis of complementary programme documentation, and annual and evaluation reports provided by UN-Habitat and available online. The quantified information presented is limited to the data available, also see section 5.1.

### 5.4.1 Knowledge management

UN-Habitat's knowledge management activities at country level focus mainly on knowledge production through reports and profiles on housing and slums, and on the elaboration of guides and tools on housing (Full list of knowledge products on housing published from 2008 to 2019 is presented in annex 15).

#### a. Housing sector profiles

The National Housing Profile is the most widely produced knowledge product. Since 2008, profile have been published for a total of 30 countries across all the regions, as shown in Annex 21. A Housing Profile is usually the first step within the UN-Habitat Global Housing Strategy framework, as well as in the housing policy review and/or development process. Housing Profiles provide a comprehensive understanding of the housing situation in a country, addressing the main factors influencing housing provision in the country. Many of the partners and stakeholders interviewed affirmed the relevant and usefulness of the profiles.

According to the Annual Progress Report 2019, 42 countries conducted housing profiles that have informed the development of evidence-based inclusive national housing policies (e.g., Ghana, Lesotho, Afghanistan) or national housing strategies (e.g. Egypt, Lesotho) over the SP 2014-2019 period. However, in some countries housing frameworks have been developed without the preparation of housing profiles (e.g. Myanmar), while in other they have been produced after the publication of the policies (e.g. Mozambique). The use and impact of the housing sector profiles are discussed in section 6.2 [Impacts].

UN-Habitat has published *A Practical Guide for Conducting: Housing Profiles*.<sup>73</sup> to enable countries to prepare housing profiles without requiring technical assistance support from UN-Habitat.

#### b. Other reports on housing at country level

In addition to the National Housing Profiles, UN-Habitat housing-related programmes have produced numerous other reports on housing conditions at regional, country and local levels. These include reports or profiles on regions, cities, or neighbourhoods, including slums.

Slum upgrading and prevention programmes have produced several profiles on slums and informal settlements, including national, city and neighbourhood level situation analyses. The PSUP has produced 74 of these country to neighbourhood scale profiles. Other programmes focusing on slums have produced similar studies, such as the identification and survey of slums in Myanmar.<sup>74</sup> These studies are mostly based on credible data and information on slums and slum dwellers collected through surveys.

Many reports on cities, addressing housing issues, have been produced at national level (such as the *State of Sri Lankan Cities*<sup>75</sup>), at regional level (the *State of Arab Cities*<sup>76</sup>, the *State of African Cities*<sup>77</sup>), and at global level with the now discontinued biennial World cities report series<sup>78</sup>. The series contribute to policy-relevant literature on urban challenges and solutions at the various levels.

The Habitat III Conference also presented an opportunity for countries to produce preparatory reports on their urban context, including housing issues. The information was included in the 110 Habitat III National Reports and consolidated in five Habitat III Regional Reports, enabling a comprehensive assessment of the situation of housing worldwide. The reports highlighted the need for a Housing Approach adaptable to specific regional and country contexts.

Other thematic reports address housing issues from different perspectives. For example, the Mediterranean City-to-City Migration (MC2CM) Project has developed nine City Migration Profiles aimed to contribute to improved migrant and refugee access to adequate housing.

Other local evidence-based and best practice reports such as *Condominium Housing in Ethiopia: The Integrated Housing Development Programme*<sup>79</sup> aim to bring local experiences to the global level and to provide local, regional and global housing stakeholders with knowledge on innovative approaches, best practices and lessons learned.

The UN-Habitat's City Prosperity Initiative (CPI) has been applied in over 400 cities worldwide, and the data is accessible online, or in reports. Mexico has been a specific case of implementation of the CPI, as 305 cities (and more than 50% of the population) have been covered.

These many reports on urban and housing contexts aim to gather and provide information on urban trends, and include housing as one focus area, but not all are intended to primarily promote the improvement of housing frameworks.

#### 5.4.2 Policy advice: Improving national normative frameworks

Improving housing legal, policy and strategy are key outcomes of the Housing Approach. These outcomes are included within the Illustrative Indicators of the Realization of Adequate Housing Rights and relate to the structural and process levels, referring to constitutional, legal, policy and strategic frameworks, as well as regulatory instruments.

At country level, normative interventions have achieved significant results. Quantitative achievements in terms of number of housing policies reviewed, developed and adopted have been assessed through the review

of the achievements of the UN-Habitat strategic plans and through an analysis of programme documentation supported by the questionnaire to COs. The expected achievements (EAs) of both strategic plans are based on the results of the housing activities at the normative level (See Methodology chapter).

Table 6 and Table 7 present the indicators of achievements over the respective plan periods. They show that UN-Habitat contributed to the adoption of at least 22 improved national land and housing policies from 2008 to 2019, as well as the implementation of policies that improved tenure security.

The tables also show that UN-Habitat has achieved the adoption of at least 29 slum improvement and prevention policies. PSUP reports provide complementary figures of 21 national slum upgrading and prevention policies or strategies and 32 citywide slums upgrading and prevention strategies. It should be noted that slum-related activities are not confined to the PSUP.



**Table 6: MTSIP Indicators of Achievements for Housing Focus Area**

Expected Accomplishment	Indicator of Achievement	Baseline	Actual	Actual	Actual	Actual	Actual	Progress
		2009	2010	2011	2012	2013	2014	2009-2014
<b>EA. 1: Improved land and housing policies implemented</b>	Number of countries implementing improved land and housing policies	28	33	37	?	?	?	9+
<b>EA. 2: Security of tenure increased.</b>	Number of countries implementing policies to improve security of tenure, including measures to reduce forced evictions	19	24	29	?	?	?	10+
<b>EA 3: Slum improvement and prevention policies promoted.</b>	Number of countries implementing slum prevention and improvement policies	24	33	33	?	?	?	9+

Source: UN-Habitat

**Table 7: SP indicators of Achievements for Housing Focus Area**

Expected Accomplishment	Indicator of Achievement	Baseline	Actual	Actual	Actual	Actual	Actual	Actual	Progress
		2013	2014	2015	2016	2017	2018	2019	2013-2019
<b>EA 5.1: Improved housing policies, strategies or programmes in line with the principles of the Global Housing Strategy and the promotion of the realization of the right to adequate housing as a component of the right to an adequate standard of living</b>	Increased number of partner countries that are implementing improved housing policies, strategies or programmes in line with the Global Housing Strategy principles	30	31	32	33	35	40	43	13
	Increased number of partner countries that are implementing frameworks or programmes preventing unlawful forced eviction	6	10	12	14	22	23	31	25
	Increased number of partner countries that are implementing sustainable building codes, regulations or certification tools	0	9	18	24	35	37	40	40
<b>EA. 5.2: Improved slum upgrading and prevention policies, strategies or programmes</b>	Increased number of partner countries that are formulating improved slum upgrading and prevention policies or strategies	23	28	34	35	36	40	43	20
	Increased number of partner countries that are implementing sustainable and participatory slum upgrading and prevention programmes.	8	35	35	44	48	50	53	45

Source: UN-Habitat

**Table 8: Policy outcomes of the HA implementation for the 2008-2019 period**

	National Housing Policy		Housing policy implementation strategy	Building code	slum upgrading / prevention policies or strategies	
	Developed	Adopted	Developed	Developed	National level	Local level
<b>Africa</b>	14	9	6	6	11	5
<b>Arab States</b>	5	1	2	1	3	1
<b>Asia &amp; the pacific</b>	7	2	4	3	5	3
<b>Europe</b>	3	1	0	2	2	0
<b>Latin America &amp; the Caribbean</b>	5	2	2	0	2	1
<b>TOTAL</b>	<b>34</b>	<b>15</b>	<b>14</b>	<b>12</b>	<b>23</b>	<b>10</b>
	68%	30%	28%	24%	46%	20%

Source: Consultants

The review of programme documentation and of activity reports, has enabled complementary quantitative estimates of the normative achievements of the housing programmes. The figures summarized in Table 8 are disaggregated by region. The information shows that:

- 34 national housing policies have been developed with the support of UN-Habitat, along with
- 14 housing strategies, however not all have been adopted and/or implemented;

With respect to slum upgrading and prevention frameworks, the data collected through programme documentation, show that 23 national and 10 local slum upgrading and/or prevention policies have been developed in the ACP countries in which the PSUP is working. Some of these strategies have been used to operationalize the right to adequate housing, for example in Fiji<sup>80</sup>.

The most significant achievements on housing framework improvement have been in Africa, especially on slums, but significant results have also been achieved in all the other regions.

Due to the many limitations in terms of data availability and reliability, the figures have to be taken cautiously. However, the information provided by activity reports and programme documentation on the one hand, and indicators of achievement on the other, are consistent.

### 5.4.3 Technical Assistance: Providing technical assistance to city, regional and national authorities

It is not possible to aggregate and compare consolidated results in terms of technical assistance and capacity building support provided to city, regional and national authorities as available documentation takes a wide variety of forms, ranging from consultancy-type technical assistance to different types of capacity building, ranging from workshops to webinars to on-the-job training. For example, in Mexico, different kinds of support provided on housing range policy advice for the elaboration of the new national housing policy to technical assistance to housing agencies to assess the relevance of its programmes against the SDGs, while in Zambia, technical assistance support has included institutional capacity building of Lusaka City Council in city-wide slum upgrading, including strategy development and project implementation.

In many cases capacity building activities are under-reported as they are incorporated into wider programmes, and the monitoring indicators do not provide information on the outcomes on the housing stakeholders' capacity or skills. However, capacity building activities within the PSUP have been implemented and monitored more systematically. According to reports, almost 200 ministries, local government, NGO, CBO and private sector representatives have been trained on the PSUP approach since 2010.

#### 5.4.4 Implementation: Supporting the implementation of adequate housing programmes

At country level, the operational programmes and projects implemented or supported by UN-Habitat can be classified in four categories: 1) pilots which aim to demonstrate the feasibility of an approach or a strategy, and also serve as an advocacy tool; 2) support to public housing programmes; 3) post-crisis recovery and reconstruction interventions<sup>81</sup> and 4) slum upgrading and prevention projects.

The data availability and quality assessment has revealed several limitations on the availability of information on programme/project outcomes:

- Programme/project results are not informed in PAAS, some programme data include results frameworks but achieved results are almost never informed;
- Activity reports at country, regional and global level are not systematic nor comprehensive;
- Indicators used to express programmes outcomes within results frameworks or activity reports are disparate (and rarely gender or age disaggregated).

The following sections illustrate the main kinds of physical outcomes achieved by programmes.

##### a. Pilot programmes and projects on adequate housing

Pilot programmes on adequate housing aim to test and document the feasibility of innovative approaches or of recently adopted strategies, while at the same time strengthening the capacities of the housing stakeholders and addressing the needs of low-income or marginalized households. In principle, lessons from UN-Habitat's operational activities are meant to provide feedback to its normative work, facilitating scaling-up and transformation of lessons learnt from pilot projects into further normative outputs.

The pilot projects implemented or supported by UN-Habitat are usually quite small and have limited quantitative impacts, typically benefitting only a few dozen families. Pilot projects have been mostly implemented in the main regions of operational interventions of UN-Habitat, Africa, Asia and Arab States. Below are two examples of pilot housing programmes and projects.

- The Jordan Affordable Housing Programme (JAH, 2014, 2016), aimed to promote the construction of low-cost housing for refugees. Fourteen units have been produced.
- The construction of low-cost housing for former Yangon townships dwellers in Myanmar (2015-2018) to relocate slums dwellers. In total, 180 families benefitted from the project.

##### b. National housing programmes

UN-Habitat has supported the development or implementation of national housing programmes in several countries, including Afghanistan, Lesotho and Mali. Globally and over the 2008-2019 period, over 12 national and 5 local housing programmes elaboration have been supported. However, no evidence has been reported on the involvement of UN-Habitat in the implementation of these programmes.

##### c. Post-crisis interventions

Post-disaster and post-conflicts interventions are a frequent area of work for UN-Habitat. Besides its involvement in emergency response strategies, and coordination, the agency has implemented many reconstructions, retrofit, or resettlement programmes. The collection and aggregation of quantified outcomes of emergency interventions present additional challenges as the indicators used to detail achievements vary from temporary or transitional shelters, to reconstructed homes. Most direct on improvement of living conditions have been achieved in the Asia and Pacific region, where the regional People's Process approach enabled the construction of more than 1 million housing units, especially in the contexts of post disaster interventions, including:

- Cyclone Nargis in Myanmar-2008, 22,000 families provided with housing solution,
- Floods in Pakistan-2010, about 32,000 families provided with housing solution,
- Typhoon Haiyan in the Philippines-2013, 660 core-houses built.



#### d. Slum upgrading and prevention

PSUP interventions have been implemented in 190 cities and 40 countries, some of them have improved living conditions in existing slums. Figures provided by the PSUP report that over 500,000 people have benefited from improved living conditions. Water and sanitation improvements alone have benefitted 98,225 slum dwellers; and over 800,000 now have more secure tenure.

The number of housing interventions produced is not reported in the different PSUP data platforms. Slum upgrading and improvement programmes other than PSUP have been implemented through COs at country level but their impacts have not been reported.

### 5.5 Summary of available quantitative data on Housing Approach achievements

Table 9 summarizes the assessment of the availability and quality of data on the Housing Approach. It demonstrates the limited availability of data on summative Housing Approach achievements at the country, regional and global level, while results of normative interventions are quite well reported, cumulative achievements of operational interventions remain quite undocumented.



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**Table 9: Summary assessment of the outcomes of the Housing Approach**

	Actual data sources	Data availability and quality	Main figures available	Estimated outcomes
<b>Advocacy</b>	<ul style="list-style-type: none"> <li>Global level activity reports</li> </ul>	<ul style="list-style-type: none"> <li>Limited available data on countries endorsement and implementation of global housing frameworks</li> </ul>	<ul style="list-style-type: none"> <li>167 countries adopted the NUA</li> <li>51 ACP countries endorsed the tripartite declaration on Slums promoted by PSUP</li> </ul>	<ul style="list-style-type: none"> <li>Good results on endorsement of global housing frameworks</li> <li>Limited political commitment at country level</li> </ul>
<b>Knowledge management</b>	<ul style="list-style-type: none"> <li>Global level activity reports</li> <li>PSUP reports</li> </ul>	<ul style="list-style-type: none"> <li>Most key reports available online</li> <li>Limited available summary of UN-Habitat publications on pro-poor housing and on their dissemination</li> </ul>	<ul style="list-style-type: none"> <li>30 national housing sector profiles</li> <li>74 country to neighbourhood scale profiles on slums</li> <li>100+ thematic reports at global, regional and country level</li> </ul>	<ul style="list-style-type: none"> <li>Disparate use and audience of the publications</li> <li>Some very important publications at country level</li> </ul>
<b>Policy Advice</b>	<ul style="list-style-type: none"> <li>Strategic plan results framework</li> </ul>	<ul style="list-style-type: none"> <li>Global level monitoring of supported housing and slums policies</li> <li>Disaggregation between housing, slums and and policies, and building codes</li> <li>Limited data availability for some years</li> <li>No clear distinction between policies, development, endorsement, and implementation</li> </ul>	<ul style="list-style-type: none"> <li>34 national housing policies</li> <li>21 national slums upgrading and prevention policies or strategies</li> <li>32 citywide slums upgrading and prevention strategies.</li> </ul>	<ul style="list-style-type: none"> <li>Figures are consistent between sources</li> </ul>
<b>Capacity development</b>	<ul style="list-style-type: none"> <li>Global level activity reports</li> <li>PSUP reports</li> </ul>	<ul style="list-style-type: none"> <li>No available summary of tools developed on pro-poor housing and on their dissemination</li> <li>No global level monitoring of the outputs of capacity building interventions on pro-poor housing</li> </ul>	<ul style="list-style-type: none"> <li>No available global level data on capacity building on housing</li> <li>200 ministry, local government, NGO, CBO and private sector trained on the PSUP approach</li> </ul>	<ul style="list-style-type: none"> <li>Estimated quite higher number of housing stakeholders supported through direct capacity building support</li> </ul>
<b>Technical support</b>	<ul style="list-style-type: none"> <li>Global level activity reports</li> </ul>	<ul style="list-style-type: none"> <li>Limited data availability of the number of supported and implemented national housing programmes</li> <li>No systematic monitoring on the number of national housing programmes triggered by UN-Habitat</li> </ul>	<ul style="list-style-type: none"> <li>12 national and 5 local housing programmes elaboration supported</li> </ul>	<ul style="list-style-type: none"> <li>Estimated higher number of varied national housing programmes implemented after UN-Habitat policy and technical support</li> </ul>
<b>Implementation</b>	<ul style="list-style-type: none"> <li>Global level activity reports</li> </ul>	<ul style="list-style-type: none"> <li>No data of cumulative achievements of operational interventions</li> <li>No common indicators for the different kind of direct housing assistance provided</li> </ul>	<ul style="list-style-type: none"> <li>No available summary data at regional or global level</li> <li>1 million housing units constructed in ROAP through the 'People's Process'</li> </ul>	<ul style="list-style-type: none"> <li>Overall achievements of operational interventions are likely to be very important and varied</li> </ul>

Source: Consultants

## Endnotes

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## 6. KEY FINDINGS AND LESSONS LEARNED

### 6.1 Relevance of the Housing Approach

#### 6.1.1 Overall relevance of the Housing Approach

UN-Habitat's Housing Approach has evolved over the years, but remains critical to urban development as access to adequate housing for all in an urbanizing world continues to be a major challenge – for developing countries in particular in the different regions in which UN-Habitat is working and implementing the Housing Approach..

The MTSIP 2008-2013 aimed to address the challenge of slums, inadequate housing and extreme urban poverty worldwide. The 2012 evaluation of the MTSIP affirmed the continued relevance of the Housing Approach, citing increased requests from national governments for UN-Habitat technical assistance in identifying challenges in the housing sector, a key objective of the normative housing profiling process, and in implementing enabling housing policies and strategies at regional, country and local levels.

The SP 2014-2019 was developed prior to two major changes in the global context – the SDGs and the NUA adopted in 2015 and 2016 respectively – which expanded UN-Habitat's housing and urban development mandate. The mid-term evaluation of the implementation of the SP conducted in 2017 found its targeted strategic result to still be relevant to this changing context. The evaluation also found evidence of increasing demand for UN-Habitat's normative and operational products and services, and also cited implementing partners strong affirmation of its continued relevance.

The current relevance of UN-Habitat's Housing Approach is perhaps best captured in the SDGs, and in particular SDG 11. UN-Habitat is one of the custodian agencies of SDG 11: *Make cities and human settlements inclusive, safe, resilient and sustainable*,<sup>82</sup> Target 1 of which is to: *“by 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums”*.

The SDGs are, however, inter-related and the Housing Approach is therefore also relevant to other SDGs, including SDG 1 on ending poverty in all its forms.

As explained in the introduction, extreme poverty is becoming increasingly concentrated in urban areas, as manifested in the proliferation and expansion of slums in which the majority of the urban population in many developing countries live – and where they are physically, economically and politically marginalized and vulnerable to crime and violence. Making cities safe and sustainable is an essential step towards ensuring access to adequate and affordable housing and upgrading slums.<sup>83</sup>

The 2008 Swedish Government Office's assessment of UN-Habitat<sup>84</sup> found UN-Habitat's objectives to be relevant to several central components of Sweden's policy for global development. It made reference to the growing number of slum dwellers, especially in poor countries, and UN-Habitat's activities that aim to moderate the negative effects of urbanisation, and to contribute to fair and gender-equal access to land, water and sanitation, which are mainly targeted at poor people.

#### 6.1.2 Relevance at the global and regional levels

A key evaluation finding with respect to the relevance of the Housing Approach (discussed in more detail in Section 6.1.1) is that while it is a relevant framework, it must be adapted to specific regional and country contexts for its relevance to be appreciated and valued.

The Housing Approach is not new, as explained in section 5.2 and Annex 6, – it has evolved over the decades since Habitat I in 1976 in response to international development trends and agendas. However, following the Habitat II Conference in 1996 housing appears to have received increasingly less priority within UN-Habitat as greater emphasis was placed on planned and sustainable urbanization. Indeed, the SP 2014–2019 prioritized the four urban-related programme areas. Many partners and stakeholders interviewed believe that this undermined UN-Habitat's housing mandate, work and reputation as the leading housing agency.

Housing regained its prominence following Habitat III in 2016 when UN-Habitat concentrated efforts to re-establish the role of housing for the future of sustainable urbanization through the H@C approach (see section 2.1). Many stakeholders are thus happy to see UN-Habitat, with its recognized comparative advantage and value added, once again advocating for the right to adequate housing for all, and promoting slum upgrading and provision of alternative affordable housing options at scale

Many partners and stakeholders affirmed the relevance and strength of UN-Habitat's advocacy work at the global level through events such as WUF, but considered it weaker at the national level where COs need to generate domestic political will and government buy-in. And some expressed concern that after operational technical support was given during programme/ project implementation, there was no monitoring or follow-up once the programme/ project was completed which compromised sustainability and prospects for replication and scale-up.

The relevance of the Housing Approach has been constrained by organizational, financial and expertise limitations. Financial challenges at UN-Habitat headquarters and consequent fundraising imperatives have resulted in a silo approach as thematic branches/ units concentrate on raising funds for their respective normative and operational programmes. Staff capacity constraints at headquarters, as well as ROs and COs, also means that there is a heavy reliance on consultants and interns. Nevertheless, budget and programme/ project portfolio figures presented in the Country Activities Report 2019 provide credible evidence of the agency's continued progress in delivering on its mandate and thus its relevance.

A number of the partners and stakeholders interviewed identified finance, advocacy, and performance and impact monitoring as critical issues that were not adequately addressed by UN-Habitat in its Housing Approach, thereby significantly reducing its relevance. Many cited housing finance as a major factor determining housing adequacy and affordability which UN-Habitat was frequently not supporting countries to address through normative or technical assistance activities.

### *Additional considerations concerning the relevance of the Housing Approach*

The evaluation identified a number of other factors that affect the relevance and achievements of the Housing Approach, and that should be taken into consideration. They include:

- Incorporating strategies to ensure the sustainability of housing initiatives, including planning for the financial and organizational sustainability of pilot projects
- Developing country programmes that incorporate all five dimensions in an integrated strategy, rather than having many projects that only incorporate one or two of the five dimensions.
- Ensuring that cross-cutting themes (gender, human rights, poverty, climate change, youth) are an integrated part of the country programme

### **6.1.3 Relevance of the Housing Approach to country partners' priorities and approaches**

Overall, UN-Habitat, through the ROs and COs, has built good relations and strategic partnerships with national and local governments through the implementation of the Housing Approach in the different regions and countries. In the CO questionnaire survey, 58% of stakeholders rated the Housing approach as being "highly relevant" on 6 of 10 areas. The only 4 areas where the "highly relevant" score was below 35% were: addressing the priorities of the private sector, NGOs, academia and middle-income countries. This, generally positive attitude and the relevance of UN-Habitat's work to country partners' priorities is reflected in the fact that the majority of the agency's funding is provided by national governments. In 2018, 75% of UN-Habitat's funding came from national government, while local governments provided 6%, with the remainder coming from intergovernmental organizations (9%), UN agencies (8%) and civil society (2%).<sup>85</sup>

A key element of both the MTSIP Action Plan and SP was the exploration of non-conventional funding sources, including the private sector. However, this has not been very successful, as the private sector accounted for less than 1% of the total funding in 2018. This may be explained in part by the low level of relevance and interest to private sector stakeholders of UN-Habitat

activities, and, more specifically, of affordable housing. This is despite the massive opportunity for the private sector revealed in the report on addressing the global affordable housing challenge<sup>86</sup> prepared by the McKinsey Global Institute (MGI) in collaboration with UN-Habitat.

However, private sector interest may be growing as the Ninth WUF Session (WUF9) held in 2018 attracted a high level of private sector participation, with the private sector accounting for the second highest number of participants (17.4%). The WUF9 report<sup>87</sup> affirms that the increased participation by the private sector is a good precondition for political will on the implementation of the NUA as well as its interest to engage directly in urban development.

In several countries, universities and research institutes, have been involved in the UN-Habitat national housing profiling processes (e.g., Egypt, Mozambique, Zambia), as well as the PSUP urban profiling processes (e.g., Zambia), which they see as being very relevant to their research mandate. However, while not all the profiles have performed well, as revealed by the findings of the Mid-Term Evaluation of the Participatory Slum Upgrading Programme II (PSUP II), overall, this has helped strengthen national expertise and capacity, in line with the Housing Approach.

A key constituency among the HAPs to whom UN-Habitat's Housing Approach is very relevant is CBOs as well as and other CSOs and grassroots organizations in the various regions and countries. Many of these are working to promote human rights and gender equality, and also to reduce poverty amongst their members, through evidence-based lobbying and advocacy and implementation of projects. UN-Habitat engages with these organizations in a range of ways, from facilitating their participation in global knowledge sharing and advocacy events such as WUF, to providing operational project implementation support at the local level, as in the case of the Zambia Homeless and Poor People's Federation (ZHPPF). Importantly, being a network organization, ZHPPF can efficiently and effectively cascade learning and best practices to other CBOs, while also enhancing sustainability prospects.

In the Upgrading of Kurani Ainkawa Informal Settlement project in Erbil, Iraq, UN-Habitat provided technical support to the community to construct a multi-purpose community centre with a focus on women and youth,

demonstrating environmentally friendly design features, and operated by trained community residents, as part of its gender strategy and to enhance sustainability. The project, and its approach and elements, were affirmed as being very relevant to the needs of the residents and addressing a range of key issues. UN-Habitat has also supported community-based neighbourhood upgrading in Afghanistan's cities through the "People's Process" for over 10 years. The PSUP provides relevant technical support to community groups as well as national and local governments.

### 6.1.4 Relevance of global frameworks to the local contexts

SDG 11 addresses adequate housing issues under Target 11.1 "ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums". This is therefore the key global monitoring instrument to measure progress on access to adequate housing at global level, and the realization of adequate housing rights for the poor and vulnerable populations.

For SDG 11, UN-Habitat and other custodian agencies<sup>88</sup> and stakeholders, are supporting countries to establish data collection systems, including providing guides for use of geospatial information technology, big data analytics, real time data and community-based data as additional national and local level data sources. This is strengthening countries' statistical capacity, while helping maintain the relevance of adequate housing as a development priority.

Experts have agreed that the affordability indicator for SDG indicator 11.1.1 can be used as a proxy indicator to measure the levels of adequacy of housing. In this regard, the GUO has developed step-by-step modules/tools<sup>89</sup>) to guide countries and partners and strengthen their capacity in procedures for measurement, analysis and reporting of SDG indicator 11.1.1.<sup>90</sup> In addition, the Planning, Finance and Economy Section (PFES) of UN-Habitat has developed an SDG Project Assessment Tool,<sup>91</sup> which can be used by UN-Habitat or external partners to assess how well a proposed urban development intervention contributes to the advancement of not only SDG 11, but also all the other SDGs. This is a broad and customisable offline, digital and user-friendly instrument which can be utilised to assess a range of interventions, including housing.

The SDG monitoring support that UN-Habitat is providing reflects many elements of the Housing Approach, including knowledge management, technical advice and capacity building. Advocacy for this indicator has come through various fora including expert group meetings (EGMs) organized as side events at major gatherings such as WUFs and the World Data Forums.

SDG Goal 11 monitoring is also supported by the CPI, with there being a clear interrelationship between the SDG 11 targets and CPI indicators. However, neither the SDGs or CPIs cover all the dimensions of adequate housing, which limits the monitoring of all inadequate housing situations. SDG 11 is based on the MDG definition of slums<sup>92</sup> and does not cover all adequate housing criteria, including monitoring of accessibility, services and economic opportunities and cultural adequacy dimensions<sup>93</sup>. The CPI focuses on housing habitability and on interactions with public services (transport) but does not fully address accessibility of services and economic opportunities, affordability or security of tenure. Furthermore, neither instrument covers inadequate housing situations faced by rural populations<sup>94</sup>, such as indigenous groups.

These limitations represent potential gaps in the monitoring of adequate housing at country and global level. For example, in Mexico, the adequacy of massive national housing programmes in terms of adequate housing criteria cannot be assessed using SDG or CPI criteria as construction areas are not all considered urban and are consequently not monitored, or assessed in terms of accessibility to economic opportunities and services not included into SDG indicators.

The questionnaire sent to COs asked them to rate the relevance of existing frameworks and systems to assess the realization of adequate housing rights at country level, and the results are presented in Annex 31. Only 3 of the 7 frameworks/systems were considered highly relevant by at least 60% of respondents [the SDGs, national statistical data, and the UN-Habitat housing project data base. The lowest "highly relevant" scores were for the urban observatories and the Universal Periodic Review (UPR) and special Rapporteur reviews. When asked to rate the same 7 categories in terms of their relevance for assessing the impact of UN-Habitat on adequately housing only UN-Habitat's project data base; project reports and evaluations, and country-level housing reports were considered "highly relevant by at

least 50% of respondents, as Annex 31 shows. Egypt, which was one of the countries with more available in-depth information, COs felt that the SDG data was less relevant as the slum definition is different from that of Egypt. It also found the national statistical data to be less relevant as the CO felt that quantitative, multi-dimensional poverty indicators failed to capture reality on the ground, particularly for the informal sector.

### 6.1.5 Impact of the Housing Approach on adequate housing and poverty reduction at country level

As mentioned in the section 5.1, assessing the outputs of the Housing Approach has been challenging, mainly because monitoring and assessment are not well-developed within UN-Habitat. Consequently, the findings on impacts are mainly based on outputs (e.g. number of houses) making it difficult to assess the contribution of UN-Habitat to broader achievements (e.g. number of people provided with adequate housing). Findings are summarized below and detailed in Annex 23.

#### a. Current UN-Habitat approaches to Impact monitoring

##### Impact theory

Only limited monitoring and no impact evaluation systems are yet in place within UN-Habitat, and the Housing Approach does not currently have a TOC. Moreover, most of the Housing Approach strategic principles are based on largely untested assumptions that the outputs and outcomes will eventually contribute to the global objectives.

##### Impact monitoring systems

The absence of a monitoring and evaluation system means that there are few indicators available for assessing impacts of the Housing Approach. At the country level, the monitoring of housing project impacts is very limited, and most project performance indicators are only assessed against their own results frameworks. In addition, the present evaluation was only able to identify a few internal evaluations and a very limited number of external evaluations.

## b. Impact on adequate housing and poverty reduction

While outputs on normative interventions often refer to the development or adoption of improved policies, it is rarely stated to what extent these policies are consistent with different adequate housing rights. The lack of follow-up on project achievements and outputs also makes it difficult to assess the overall UN-Habitat contributions. This represents a huge missed opportunity to document impacts, especially since the approach is based on untested assumptions about the continuity of the housing reform after Housing Approach support ends.

The limited ability of COs to follow-up on project results is explained by two main factors. First, the predominance of demand-driven CO activities in many countries, almost none of which include funding for monitoring. Secondly, the limited budget for activities such as M&E outside the country programme framework. As a consequence, it is usually not possible to assess the extent to which all of the adequate housing criteria have been achieved for a specific target population. It is even more difficult to assess impacts on poverty reduction.

Another challenge is the inability to distinguish between the full and partial achievement of the adequate housing criteria. Many projects are designed to "improve" access to water or security of tenure, but projects rarely aim to "ensure" that all of the seven the adequate housing criteria are met. It is thus likely that despite an intervention on one specific adequate housing criterion, the goal of an adequate level of service on all dimensions has not been fully achieved.

### Adequate housing

Many key informants highlighted the lack of indicators and baselines against which to measure programme performance. The findings suggest the need for two levels of indicators: to monitor the impact of programmes supporting the Housing Approach, and to monitor the realization of adequate housing at local and country level.

The evaluation has reviewed the different available indicators for the assessment of UN-Habitat housing impacts. While the SDG indicators have been found useful by many different stakeholders<sup>95</sup>, SDG 11.1 is often criticized because it does not cover all the dimensions of adequate housing. Moreover, it is mostly collected at country level and at infrequent intervals over time, making it difficult to assess the influence of a particular stakeholder or outcome.

National statistical data and other data collection systems (Local Urban Observatories, CPI), are not usually designed to cover the comprehensive dimensions of adequate housing. UN-Habitat reports on housing have provided a valuable understanding of housing contexts but are mainly based on qualitative information. The UPR and the Special Rapporteur on adequate housing reports provide key qualitative and comprehensive information on the achievement of adequate housing, but they are not commonly used by UN-Habitat, COs estimated that these reports as less relevant to assess both the achievement of adequate housing rights and the impact of UN-Habitat interventions.

The Illustrative Indicators in the Achievement of Adequate Housing Rights, developed by UN-Habitat and OHCHR<sup>96</sup>, provide a comprehensive set of indicators illustrating the progressive achievement of adequate housing rights. The indicators are combined into a three-step scale: structural, process and outcome indicators, which is consistent with the HRBA

### Poverty reduction

UN-Habitat has adopted a human-rights based approach<sup>97</sup> which recognizes that poverty is a multidimensional phenomenon that encompasses more than a lack of sufficient income alone but also involves a lack of access to basic services and social exclusion<sup>98</sup>. However, UN-Habitat housing programmes do not report on any indicators of poverty, and published indicators only inform on the specific interventions implemented (e.g. training, improvement of infrastructure).



### Summary: Tracking of impacts by UN-Habitat

The impacts of UN-Habitat on adequate housing are very important. However, the actual monitoring systems do not provide credible data to support claims about the level of impacts. (ratings/ assessments). Despite these serious data limitations, interviews with country programme staff in all regions, and with donors, revealed that the monitoring and reporting functions are seriously under-resourced and are considered a low priority. However, the evaluation considers that improved monitoring and evaluation data are essential for UN-Habitat and its funders and partners to have access to more robust and credible data on the scale and depth (quality) of UN-Habitat achievements on adequate housing and poverty reduction. At present UN-Habitat does not have a solid basis of evidence on which to judge which of its housing programmes are most and least successful in achieving their objectives and in making a significant contribution to improving the lives of the low-income population around the world.

Table 10 summarizes the findings on the adequacy of the monitoring and evaluation systems, it shows the available information sources and data availability. It highlights the opportunities in terms of impact demonstration, specifically on the impacts of global level advocacy, knowledge products, policy advice and direct housing support.

There are also a number of gender dimensions of poverty that the available data on Housing Approach projects do not address.

### 6.1.6 Impact assessment

This section identifies and qualifies the varied impacts the Housing Approach have had on adequate housing and poverty reduction. As available data and time constraints did not permit the use of counterfactual analysis with a quasi-experimental design, the impact assessment uses primarily the indicators produced by the adequate housing programmes combined with supplementary information obtained through key informant interviews, country visits and documentary research.

#### c. Global level interventions

At global level, UN-Habitat implemented a range of activities to (i) Promote the full and progressive realization of the right to adequate housing and (ii) Mobilize networks of Habitat Agenda partners. They include events and networks, and knowledge products, the impact of which is summarized in the box below and explained in more detail in Annex 24.



**Table 10: Summary assessment of the adequacy of the monitoring and evaluation systems**

	Data sources	Data availability and quality	Available information	Opportunities for impact identification
<b>Advocacy</b>	<ul style="list-style-type: none"> <li>Global level activity reports</li> <li>SP results frameworks</li> </ul>	<ul style="list-style-type: none"> <li>Good tracking of global level declaration endorsement by countries</li> <li>No systematic follow-up on political commitment at country level</li> </ul>	<ul style="list-style-type: none"> <li>Great achievement in the development and wide endorsement of global housing frameworks</li> </ul>	<ul style="list-style-type: none"> <li>Report globally the level of promotion of adequate housing rights at country level</li> </ul>
	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
<b>Knowledge management</b>	<ul style="list-style-type: none"> <li>Global level activity reports</li> </ul>	<ul style="list-style-type: none"> <li>No monitoring of use and audience</li> </ul>	<ul style="list-style-type: none"> <li>Key source of information to build knowledge and know how on pro-poor housing issues</li> <li>Contribute to trigger and influence housing reform</li> </ul>	<ul style="list-style-type: none"> <li>Assess the audience and use of the publications, through surveys</li> </ul>
	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
<b>Policy Advice</b>	<ul style="list-style-type: none"> <li>Global level activity reports</li> <li>SP results frameworks</li> </ul>	<ul style="list-style-type: none"> <li>Good tracking of developed and adopted housing policies and strategies</li> <li>Limited assessment of the consistency of housing policies with global frameworks</li> </ul>	<ul style="list-style-type: none"> <li>Adoption of housing and slums policies, consistent with global housing frameworks.</li> </ul>	<ul style="list-style-type: none"> <li>Assess the favourable conditions to trigger housing reform</li> </ul>
	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
<b>Capacity building and technical support</b>	<ul style="list-style-type: none"> <li>Global level activity reports</li> </ul>	<ul style="list-style-type: none"> <li>The use of skills provided, is not monitored</li> </ul>	<ul style="list-style-type: none"> <li>Support to the quality of the housing framework</li> <li>Limited ability to reach some stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Monitor the use of provided tools, methodologies or approaches</li> </ul>
	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5

	Data sources					Data availability and quality					Available information					Opportunities for impact identification						
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5		
<b>Implementation</b>		<ul style="list-style-type: none"> <li>• Global level activity reports</li> </ul>		<ul style="list-style-type: none"> <li>• Lack of impact assessment and monitoring</li> <li>• Coverage of the adequate housing criteria not documented</li> <li>• No categorisation of provided housing-units</li> <li>• Limited data collected on impact on poverty reduction</li> <li>• No monitoring of eventual impacts of the Housing Approach on adequate housing for people</li> </ul>		<ul style="list-style-type: none"> <li>• Pilot projects are very valuable to demonstrate and promote innovative and inclusive approaches</li> <li>• Limited influence on the implementation of national housing programmes</li> <li>• Post-crisis responses have a great numerical impact</li> <li>• Slum upgrading programmes bring significant qualitative impacts</li> </ul>		<ul style="list-style-type: none"> <li>• Assess to what extent governments implement housing programmes without the support of UN-Habitat</li> <li>• Categorize and aggregate at global level the results of direct housing assistance programmes</li> <li>• Assess coverage of the adequate housing criteria by housing interventions</li> </ul>														

Note: Adequacy of monitoring and evaluation systems rating: 5 = strong adequacy, 1 = very weak adequacy

Source: Consultants

#### d. Knowledge production, analysis and dissemination

Knowledge management at country level aims to provide governments and housing stakeholders with new approaches, best practices and lessons to be learned. The key impacts of the knowledge products are summarized below and explained in more detail in Annex 25.

##### Summary: Impact of global level interventions

Global level activities have achieved significant results in the promotion of adequate housing rights, and its incorporation into key global frameworks.

Publications have been a key source of information for many stakeholders, helping to build knowledge and know-how on housing issues, especially for low-income, vulnerable and marginalized population

The impacts of these activities have mainly been to promote advocacy and knowledge and to support the political commitment to engage in housing reforms. It is not yet clear how far these activities have contributed to the achievement of adequate housing rights, but they have provided an important step in the process and have encouraged further actions by different stakeholders. Evidence of this impact is strong, especially on the advocacy influence of the global frameworks and events.

An opportunity to progressively improve the Housing Approach impact assessment would be to assess the audience and use of the publications, through surveys. This would help identify some major contribution to the development of policies, or programmes by governments, or other housing stakeholders.

It would also be useful to identify some of the potentially influential publications and to follow-up with a small sample of interested individuals or agencies to explore ways to maximize impact. Possible examples include: preparing short, customized information highlighting how the data could be adapted to a particular agency; organizing short, targeted seminars or briefings.

The knowledge products developed at country level have a significant impact on the housing stakeholders as they build knowledge, and trigger and influence elaboration of improved policies. However, the impacts of many publications have been limited by the lack of follow-up and by the limited capacities of UN-Habitat to trigger policy changes.

The main impact of knowledge production, analysis and dissemination at country level is to promote the undertaking of housing policy reforms. It is not yet an definitive indicator of the achievement of adequate housing rights but it represents a key intermediate condition. The evidence of this impact is useful as the vast majority of housing reforms have been proceeded by a housing area profile.

A relatively easy way to identify impacts of the knowledge products published would be to monitor their audience and how they were used.

#### c) Policy Advice

Policy advice at regional and country level mainly addresses the formulation of policy recommendations to support housing reforms. The key impacts of the policy advices activities are summarized below and explained in more detail in Annex 26.

The Housing Approach has proven to have a significant impact in influencing countries to develop housing and slum upgrading and prevention policies consistent with global housing frameworks such as the GHS 2025 and NUA. There is convincing evidence that the Housing Approach has significantly impacted on the creation of enabling policy frameworks favourable to the development of pro-poor housing strategies and programmes. UN-Habitat has advised on the application these frameworks in the formulation of pro-poor national housing policies in Angola, Kenya Lesotho, Mozambique, Somalia, Mexico, Malaysia and Sri Lanka. These improved housing frameworks, in addition to being acknowledged as indicators of the achievement of adequate housing rights are a precondition to the development of pro-poor housing programmes and projects. However, UN-Habitat has limited influence on the actual implementation and enforcement of these frameworks, as the example of the housing policy in Mozambique shows.

The assessment of the long-term impacts of the policies that have been adopted is a complex process. An intermediate step could be to assess the favourable conditions in which UN-Habitat is more likely able to trigger and influence housing reforms, in order to support the long-term global Housing Approach effectiveness and impact. One important point to recognize is that the

identification, negotiation, approval, implementation and effects of a policy can sometimes be a process lasting as long as a decade. Consequently, conducting a rapid assessment of UN-Habitat's work on policy reform at one particular point in time is likely to be very misleading.

## d) Technical assistance and capacity development

Within the Housing Approach technical assistance and capacity development activities are intended to support city, regional and national authorities to design and implement housing policies, strategies and programmes. The activities take into consideration the regional and country differences with regard to the challenges faced and the technical assistance and capacity building needs. The key impacts of the technical assistance and capacity development activities are summarized below and explained in more detail in Annex 27.

The windows of opportunity for UN-Habitat to trigger the development of housing strategies and programmes are often quite limited. In addition, only a limited number of housing stakeholders have sufficient means to contract the UN-Habitat capacity building services.

Skills and capacities brought by UN-Habitat to authorities have a significant impact on the improvement of housing strategies, especially at the first steps of the housing reforms process. In the SP 2014-2019 period, 43 countries received technical advice from UN-Habitat, based on the HRBA to programmatic development.<sup>99</sup> In this regard the Housing Approach supports the quality of the housing framework to be developed but has not yet achieved any clearly demonstrable influence on the realisation of adequate housing rights.

The use of skills provided, is not monitored. It is largely unknown to what extent authorities and stakeholders use this knowledge and skills to improve policies, strategies and programmes outside of the UN-Habitat supported programmes.

It will be important to monitor the use of tools, methodologies or approaches by housing stakeholders, provided within the housing reform processes supported by UN-Habitat, but also outside of these partnerships. This could provide significant knowledge on the improvements resulting from the support and inform on

their influence on policy, programme development and implementation.

## e) Support to housing programmes implementation

Operational interventions can serve multiple objectives within the Housing Approach. They can support the development of pro-poor strategies and programmes by providing evidence of feasibility through the implementation of pilot projects, they can also provide support to authorities for the development of city- or country-wide programmes. Operational interventions are also the main way for UN-Habitat to deliver direct housing assistance to vulnerable groups, especially disaster and conflict affected population, and slums dwellers.

The following sections review the key impacts of operational interventions on adequate housing and on poverty.

### Adequate housing

#### Demonstration programmes

The number of people directly benefiting from the implementation of pilot projects is often quite limited (typically a few dozen households). However, if these interventions are properly designed and monitored, they can make a valuable contribution by demonstrating and promoting innovative and inclusive approaches. But the benefits of pilot projects are only achieved if there is a clearly defined plan to continue the pilot projects, to scale-up the number of such projects or to have a plan for another stakeholder to adopt and scale-up the pilot model. It is also essential to ensure that the pilot experiences are monitored and documented and that the findings are disseminated. Unfortunately, some previous evaluations suggest that often none of these conditions are satisfied so that the potential impacts of many pilot projects are not achieved. This was confirmed in the Mexico case study. This can be considered a lost opportunity in many countries.

## Public housing programmes

In most countries, UN-Habitat has only a limited influence on the implementation of national housing programmes. The agency lacks the ability and resources to monitor the national housing programmes supported by the Housing Approach, as well as their consistency with the global housing frameworks.

Most programmes developed by national authorities do not address the needs of the low-income population, despite this being a top priority of the UN-Habitat Housing Approach.

The number of the national housing programmes triggered but not directly supported by UN-Habitat could be underestimated, as some countries may be implementing housing programmes without the collaboration of UN-Habitat but after having benefited from its support.

A rapid assessment could help estimate the scope and importance of undocumented impacts of the Housing Approach. It could also inform on the adequate housing dimensions most covered by the national housing frameworks and the remaining gaps. However, in order to interpret the significance of these estimates, it will be important to assess the contribution of UN-Habitat to the incorporation of the adequate housing dimensions into the national housing policies. It cannot be automatically assumed that UN-Habitat was responsible for the incorporation of these dimensions.

## Post-crisis interventions

Post-crisis responses are contexts where UN-Habitat is able to achieve greater numerical impact in terms of improving the living conditions of vulnerable and marginalized groups. This represents a significant contribution to outcome indicators of the realization of adequate housing rights.

However, the coverage of the adequate housing criteria within these interventions is generally not documented and can sometimes be incomplete.

The number of improved homes should be aggregated and classified at the country, regional and global levels to provide rigorous quantitative estimates on one main impact of UN-Habitat housing programmes.

## Slum upgrading and prevention

Slum upgrading programmes produce significant impacts on access to adequate housing for low-income urban populations, even though improvement of housing units is not always the central objectives of many programmes. The coverage of the adequate housing criteria still remains largely undocumented, which prevents the full assessment of the important impacts of these programmes, as well as the identification of areas of potential synergies with other housing interventions, which could help promote a better integration and impact of the whole Housing Approach.

### Summary: Impact on adequate housing

Table 11 summarizes some of the documented and likely impacts of the housing programmes on adequate housing. The figure shows that most impact has been achieved and monitored at structural level, on adopted global housing frameworks and enabled country housing reforms. The monitoring of impacts at process level (e.g. housing programmes, resources allocated to pro-poor housing) is weak while likely impacts are significant. At outcome level, only impacts from direct housing assistance is documented, and not the eventual impact of housing programmes enabled or improved by UN-Habitat interventions. The table also highlight the overall discrepancy between the assessed impacts and the impact likely to exist.

Using the existing PSUP monitoring system, the impact assessment of the slum upgrading interventions could be significantly improved by reporting and categorizing the normative and operational improvements, including the adequate housing criteria covered.



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### Summary: Impact on poverty reduction

Table 12 summarizes some of the documented and likely impacts of the housing programmes on poverty reduction. It shows that UN-Habitat does not systematically report on impact on poverty reduction, but that some impacts can be significant, especially at process and outcome levels. Most impact are likely to be achieved at process level by the adoption of pro-poor housing policies, however these frameworks have shown limitations on their capacity to reach and benefit the poorest. At outcome level, impacts of UN-Habitat housing interventions on poverty reduction are certain, especially on access to basic services, security of tenure and economic stability.

### Poverty reduction

While fully recognizing the important information gaps, there is no doubt that UN-Habitat housing interventions influence multiple dimensions of poverty. These effects are well documented in many reports, including recent studies demonstrating the impact of housing on the different dimensions of affordability, access to basic services and economic opportunities, security of tenure and social inclusion. The housing interventions also have process impacts by supporting the adoption of pro-poor national housing policies, but their main contribution is at the outcomes level by supporting the realization of various rights associated with both housing and poverty, as demonstrated by the consistency with some SDG 1 indicators.

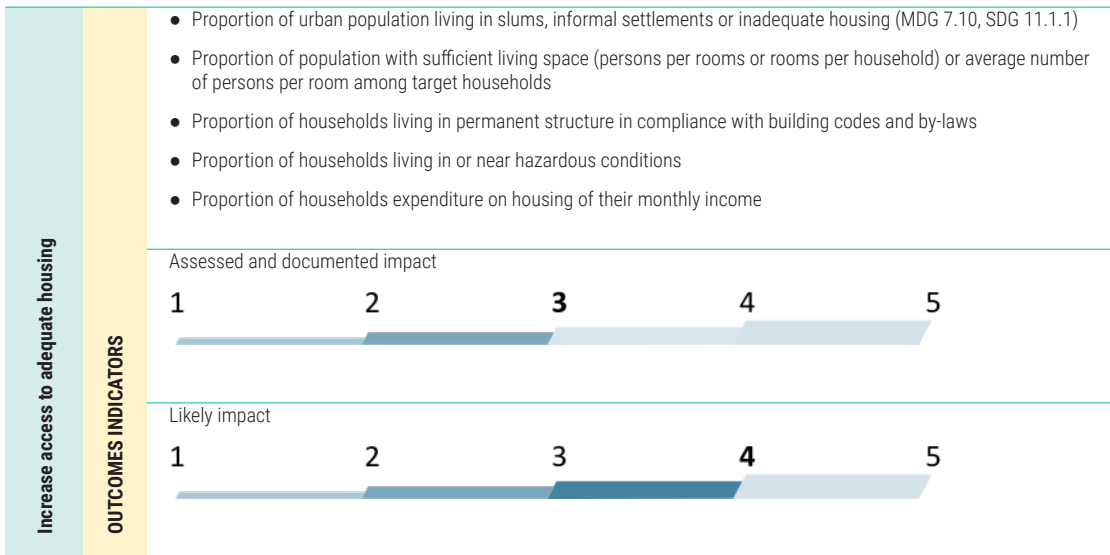
This represents a real opportunity to UN-Habitat to demonstrate the impact of the agency's housing programmes on the multiple dimensions of poverty, in addition to the important public sector pro-poor housing programmes. UN-Habitat also attempts to raise awareness and promote action on global poverty global challenges.

The assessment of the multiple impacts of the UN-Habitat housing programmes on poverty reduction is complex, but the experience to date clearly demonstrates the relevance of housing as a poverty reduction strategy. A useful next step could be to assess the contributions worldwide of the housing programmes to the SDG targets.

**Table 11: Impact assessment against illustrative indicators of the progressive realization of the right to adequate housing**

<b>Govt. adopt improved housing reforms</b>	<b>STRUCTURAL INDICATORS</b>	<ul style="list-style-type: none"> <li>International human rights treaties, relevant to the right to adequate housing, ratified by the State (e.g. 1951 Convention Relating to the Status of Refugees, 1966, International Covenant on Civil and Political Rights)</li> <li>domestic laws for implementing the right to adequate housing (e.g. constitution, laws)</li> <li>national housing policy or strategy for the progressive implementation of measures, including special measures for target groups, for the right to adequate housing at different levels of government</li> <li>national policy on rehabilitation, resettlement and management of natural disaster</li> <li>legislation on security of tenure, equal inheritance and protection against forced eviction</li> <li>building codes</li> </ul>
		<p>Assessed and documented impact</p> <p>Likely impact</p>
<b>Govt/HAP implement improved land and housing policies and regulation</b>	<b>PROCESS INDICATORS</b>	<ul style="list-style-type: none"> <li>Proportion of households that receive public housing assistance, including those living in subsidised rented housing and households subsidised for ownership</li> <li>Proportion of targeted households living in squatter settlements rehabilitated in the reporting period</li> <li>Proportion of homeless population that was extended the use of public and community</li> <li>Number and proportion of displaced or evicted persons rehabilitated or resettled in the reporting period</li> <li>Proportion of targeted population that was extended sustainable access to an improved water source, access to improved sanitation, electricity and garbage disposal in the reporting period</li> </ul>
		<p>Assessed and documented impact</p> <p>Likely impact</p>





Note: Impact adequate housing rating: 5 = strong evidence of impact; 1 = very little evidence of impact

Source: UN-Habitat – OHCHR, consultants

**Table 12: Impact assessment against identified proxy indicators for poverty reduction**

Govt. adopt improved housing reforms	STRUCTURAL INDICATORS	<ul style="list-style-type: none"> <li>International human rights treaties ratified by the State</li> <li>Date of entry into force and coverage of pro-poor domestic laws</li> </ul>
		<p>Assessed and documented impact</p> <p>1 2 3 4 5</p> <p>Likely impact</p> <p>1 2 3 4 5</p>
Govt/HAP implement improved land and housing policies and regulation	PROCESS INDICATORS	<ul style="list-style-type: none"> <li>Proportion of population covered by social protection floors/systems, by sex, distinguishing children, unemployed persons, older persons, persons with disabilities, pregnant women, new-borns, work-injury victims and the poor and the vulnerable (SDG 1.3.1);</li> <li>Target 1.B.1: Proportion of government recurrent and capital spending to sectors that disproportionately benefit women, the poor and vulnerable groups.</li> </ul>
		<p>Assessed and documented impact</p> <p>1 2 3 4 5</p> <p>Likely impact</p> <p>1 2 3 4 5</p>
Reduction of poverty	OUTCOMES INDICATORS	<ul style="list-style-type: none"> <li>Proportion of population living in households with access to basic services (SDG 1.4.1);</li> <li>Proportion of total adult population with secure tenure rights to land, with legally recognized documentation and who perceive their rights to land as secure, by sex and by type of tenure (SDG 1.4.2);</li> <li>Increased access to economic resources, affordable goods and services (location);</li> <li>Increased economic stability (affordability and security of tenure);</li> <li>Increased access to citizenship (security of tenure);</li> <li>Impacts on health (habitability and location);</li> <li>Impacts on education (location and security of tenure).</li> </ul>
		<p>Assessed and documented impact</p> <p>1 2 3 4 5</p> <p>Likely impact</p> <p>1 2 3 4 5</p>

Note: Impact on Poverty reduction rating: 5 = strong evidence of impact; 1 = very little evidence of impact

Demonstration of the impact of housing interventions on the multiple dimensions of poverty currently represents a missed opportunity for UN-Habitat to validate the Housing Approach.

## 6.2 Sustainability

The evaluation has found a lack of evidence on the sustainability of most UN-Habitat interventions and a similar lack of systematic planning to ensure that interventions will be sustained. However, in many cases the lack of sustainability or monitoring of sustainability is due to factors largely beyond the control of UN-Habitat – particularly at the country-level.

The strategy of the Housing Approach is to promote the adoption of improved housing frameworks to foster the provision at scale of adequate housing, and to support the direct implementation of housing assistance to targeted vulnerable groups.

### 6.2.1 Assessing Housing Approach sustainability

Assessing the sustainability of the impacts of the Housing Approach on adequate housing and poverty reduction is very challenging as it requires assessing each of the related housing programmes and projects. It also requires reliance on the limited available documentation on programme/project achievements.

The review of programme documentation, activity reports and evaluations reveal limited coverage of the sustainability of housing programmes achievements. The template for the General Donor Report in PAAS, under the “Project Outline” section, has a sub-section on “Strategy for Sustainability”; and the Final Donor Report has a section on “Exit Strategy and Sustainability” – which both show clear recognition of its importance; but few of these have in fact been completed.

The available information shows that how sustainability issues are treated depends on the kinds of impacts being discussed. As mentioned in the Impacts section, not all housing and slum programmes and projects cover all the adequate housing criteria, which reduces their sustainability, as each of the criteria are contributing to the long-term security and stability of the people.

### 6.2.2 The sustainability of adequate housing and poverty reduction impacts

This evaluation identified several key determinants of the sustainability of UN-Habitat interventions: knowledge management, capacity development, political commitment and financial resources.

Knowledge and capacity building are the areas where UN-Habitat seems to have had the greatest impact. The new knowledge provided by these initiatives often on previously ignored areas such as vulnerable groups, has a potentially long-term effect. However, the rapid growth and transformation of most urban areas means that the studies require systematic monitoring and periodic updates.

Two factors could potentially affect the long-term utility (sustainability) of these knowledge assets. First, is the decreasing availability of data, the evaluation has shown that some of the older reports are less accessible over time owing to limited institutional memory and malfunctioning of information platforms (several UN-Habitat websites not being accessible, and some documents links broken). This problem is compounded by the fact that UN-Habitat does not systematically follow-up of the use of published documents. The other factor is the decreasing relevance of the provided data. For example, some of the housing sector profiles are over 10 years old, and in fast-evolving urban and housing contexts that have changed significantly over the period.

The capacity building interventions have been moderately developed within the Housing Approach. With respect to the sustainability criteria, it is evident that systems (including resources) are not in place to ensure that key information is updated periodically, or to track how the different publications are used and what has been their impact.

The sustainability of this significant contribution suffers two major risks. The first is the technical staff turn-over within the institutions that generate the data and use the publications. This lack of continuity can make it more difficult to update the information, and may also mean that new staff may not be so familiar with the publications. Staff turnover is reported to be higher in Latin America compared to Asia and Africa.

This risk tends to be reduced, however, in some case-studies due to the increased number of information channels used by UN-Habitat, and by the continued efforts of the agency to build capacity and knowledge. The example of Mexico, shows that municipal authorities of Mexico-city, have not been involved in UN-Habitat programmes over the study period, but have developed and implemented innovative and inclusive housing policies deeply influenced their expertise and practices on the long term.

The other factor which might influence the sustainability of the capacity and skills building supported by UN-Habitat. As discussed, the decreasing influence of UN-Habitat on some technical topics of housing, such as pro-poor housing finance or tenure, has been accompanied by the step-up of other organisations, development actors or international financial institutions, such as the World Bank. Some of these actors may promote alternative approaches to the UN-Habitat approach. For example, some actors may advocate heavy reliance on private housing initiatives as the key to “achieve the global affordable housing gap”, while others may argue for stronger regulation of housing markets or reduced funding of the housing sector. The advocacy of some of these alternative approaches might affect the comparative advantage and influence of the UN-Habitat Housing Approach.

Housing reforms are highly dependent on political will and financial resource commitments. The country case studies have shown the importance of these key factors as well as the limited influence UN-Habitat has on them. The main ways that UN-Habitat has been able to influence political commitment has been through the organization of global events and through the ROs. While many of these events have had an immediate impact, as the WUF reports suggest, the sustainability of these impacts is influenced by several factors. As discussed earlier, these events have supported the adoption of several important global frameworks and declarations – such as the MDGs, SDGs and NUA – whose principles and resolutions have been translated into regional and country policies. In addition, some events have had a particular impact in a particular region, such as in Latin America (see [Mexico Report](#) and [Zambia Report](#)).

However as shown above, while UN-Habitat has been able to trigger political commitment at global level, it has been less successful at the national level – which is the level where the Housing Approach would be implemented. Indeed, many of the announcements made at the global level are not followed through at the country level ([See ROLAC Report](#)). The limited influence of UN-Habitat on political commitment at the country level is often explained by the lack of engagement on advocacy for adequate housing rights, as well as the limited collaboration with NGOs and CBOs at local level – although the case of Zambia demonstrates that this challenge can indeed be overcome. Even if they take time to mature, successful housing reforms can have other secondary impacts. In some cases, innovative or inclusive principles of the housing policies have been incorporated into wider development plans or urban strategies, such as the systemisation of stakeholder consultation to develop more realistic and inclusive housing initiatives. In other cases, steering committees were formed (Afghanistan) or institutional reforms initiated (Mozambique).

As mentioned, the influence of UN-Habitat to promote the implementation of improved strategies and programmes, and especially technical operational projects, is also limited. One major contribution is the development of pilot projects, which are also seen as an advocacy tool, but the financial constraints and hence limited follow-up have proven to be very limiting to their scale-up or replication. This evaluation (and others)<sup>100</sup> was not able to identify housing initiatives initiated by UN-Habitat that were subsequently implemented by national authorities on a larger scale. In some cases, there are possibilities that some of these pilot initiatives may be adopted and scaled-up by other development partners (See Ulaanbaatar affordable housing programme, discussed in the Myanmar Report, and Rental Subsidy-Innovative Solutions for Internally Displaced in Somalia project in the [ROAP Report](#)). However, some reports<sup>101</sup> highlight the fact that the impact of pilot projects are dependent on the adoption and scaling-up by the country authorities to achieve some significant results and sustainability. This scaling-up of demonstration programmes remains a major challenge for the Housing Approach in order to increase access to adequate housing and poverty reduction at scale, as well as to validate the adoption of inclusive approaches, and consequently the improvement of housing frameworks.

Some evaluations emphasize the limited sustainability or security of tenure provided by the housing units<sup>102</sup>, as many of the programmes do not ensure protection against potential disaster risks, or the free use of land and homes. Other evaluations highlight the quality of the participatory processes<sup>103</sup>, and the increased ownership, and thus inclusion and advocacy they enable. The contribution of participatory approaches to local ownership and sustainability was also emphasized by ROAf COs.

### Summary: Promoting sustainability of housing interventions

The key conditions that UN-Habitat has promoted to foster the implementation of housing reforms, namely increased knowledge and capacities, have good prospects for sustainability and will continue to impact on the improvement of housing frameworks.

The Housing Approach depends on the implementation of housing programmes in a way to reach scale, and this requires political commitment and financial support, both conditions over which UN-Habitat has a very limited influence

The sustainability of housing operational interventions is poorly documented. The analysis has shown that adequate housing criteria are a relevant framework to foster and assess the sustainability of interventions impacts on adequate housing and poverty reduction, the more adequate housing criteria being ensured, the more secured will be the continuity of the enjoyment of the provided home.

Table 13 summarizes some of the factors likely to promote and inhibit the sustainability of different UN-Habitat activities. There is most potential sustainability of impacts ensured through knowledge management, policy advice and capacity development activities. Sustainability of impacts through advocacy seem strong at long term and weaker at country level. Impacts of operational interventions lack sustainability, especially pilot projects. Technical support is also not systematic enough to foster sustainability.

While recognizing the financial and organizational constraints of UN-Habitat to ensure the sustainability of its initiatives, there are a number of steps that UN-Habitat could require. These include: requiring, within the real-world constraints within which programmes and projects operate, that all of its pilot projects, technical assistance and implementation initiatives should include a strategy to promote sustainability. This would include: ensuring the preparation of a monitoring report documenting how the project was implemented and the initial indicators of its impact and sustainability, identification of agencies that could potentially replicate or scale-up the pilot projects, and recommendations on steps to increase the potential sustainability.

The PSUP has developed a more consistent approach to implementation, scale-up and replication of the slum upgrading interventions, through its integrated and staged long-term strategy<sup>104</sup>. The global programme includes capacity building modules and tools such as the Financial Strategy Toolkit for Upscaling Participatory Slum Upgrading. The programme documentation review, however, was not able to identify cases where these tools were used to finance slums upgrading interventions, and evaluations<sup>105</sup>. The limited follow-up to the tools highlights the challenges for countries to mobilize financing and to implement slums upgrading and prevention strategies. The programme seems however to have been able to sustain and foster political commitment of country partners, through the animation of several networks and global events.

## 6.3 UN-Habitat's areas of value added (comparative advantage)

Value-added refers to activities or areas where UN-Habitat is recognized as a leader or where it is uniquely positioned to make a significant contribution. The assessment is based on a combination of key informant interviews, stakeholder response to a questionnaire, observation during field visits and a review of the literature.

### 6.3.1 Leadership on adequate housing for all issues

UN-Habitat is the lead UN agency for housing and urban development. The MTSIP 2008-2013 emphasized the need for UN-Habitat to play an enhanced leadership and catalytic role in promoting sustainable urbanization at a time when recognition of the urban challenge was growing. And the SP 2014-2019 subsequently underscored the need to strengthen UN-Habitat's catalytic role and promote partnerships at the national and local levels so as to develop and implement more effective policies, strategies, plans and implementation systems to meet the needs of the urban poor more efficiently and equitably. It also stressed the catalytic leadership role of UN-Habitat in global monitoring, assessment and advocacy, as well as in national policy and institutional capacity development.

**Table 13: Summary assessment of the potential sustainability of UN-Habitat housing activities**

	POSITIVE FACTORS	NEGATIVE FACTORS
<b>Advocacy</b>	<ul style="list-style-type: none"> <li>• Effective at global level</li> <li>• Global conferences have strong short and long-term impacts</li> <li>• Key messages, campaigns and conceptual frameworks</li> </ul>	<ul style="list-style-type: none"> <li>• No systematic follow-up to conferences and to the translation of governments interest at global level into national commitments</li> <li>• Advocacy not mainstreamed at country level</li> </ul>
	1 2 3 4 5	
<b>Knowledge management</b>	<ul style="list-style-type: none"> <li>• Strong positive feedback on publications and statistical reports</li> <li>• CPIs consider very useful planning tools at municipal/ local level</li> <li>• Information stay valid for years</li> </ul>	<ul style="list-style-type: none"> <li>• No monitoring of use</li> <li>• In some cases, statistical documents may become out of date</li> </ul>
	1 2 3 4 5	
<b>Policy Advice</b>	<ul style="list-style-type: none"> <li>• Policies adopted will have a long term impact</li> <li>• Improved frameworks will bring more impacts</li> <li>• Trustful relationship with governments remain</li> <li>• UN-Habitat presenece is country continue</li> </ul>	<ul style="list-style-type: none"> <li>• Very limited success in promoting national government commitment to implement projects</li> <li>• Limited capacity to trigger funds for large-scale implementations</li> </ul>
	1 2 3 4 5	
<b>Capacity development</b>	<ul style="list-style-type: none"> <li>• Strong comprehensive integrated approach on slum upgrading</li> <li>• Guidance notes/ tools widely appreciated</li> <li>• Strong and acknowledged expertise at HQ</li> </ul>	<ul style="list-style-type: none"> <li>• Weak capacity building strategy on pro-poor housing</li> <li>• High government turnover reduces impact of training as staff leave</li> </ul>
	1 2 3 4 5	
<b>Technical support</b>	<ul style="list-style-type: none"> <li>• UN-Habitat technical expertise widely recognized</li> <li>• Strong and acknowledged expertise at HQ</li> </ul>	<ul style="list-style-type: none"> <li>• UN-Habitat staff expertise too expensive for many governments</li> <li>• Lack of capacity to support on some key current issues</li> </ul>
	1 2 3 4 5	

<b>Implementation</b>	<ul style="list-style-type: none"> <li>● Likely long-lasting impacts through direct housing assistance</li> <li>● UN-Habitat's technical expertise on community interventions widely recognized</li> </ul>	<ul style="list-style-type: none"> <li>● Housing interventions often on small-scale</li> <li>● Post-crisis interventions do not cover all adequate housing criteria</li> <li>● Normally no strategy for promoting scale-up or sustainability</li> <li>● Long-term financial resources rarely available</li> </ul>
	Innovative and inclusive approaches demonstrated and validated through pilots-projects	Very few examples where governments have adopted and scaled-up UN-Habitat pilots

Note: Sustainability rating: 5 = strong possibility for sustainability; 1 = very little possibility of sustainability

Source: Consultants

The KIs and review of the activity reports revealed that UN-Habitat has continued to play a major leadership and contributory role in addressing the global challenge of adequate and affordable housing in a rapidly urbanizing role, and promoting the right to adequate housing for all, as well as the right to the city and cities for all. The findings are presented in a summary table in Annex 29.

### 6.3.2 Areas where UN-Habitat provides value added (areas of comparative advantage)

UN-Habitat's contribution to the global housing and urban development agenda is derived from its knowledge and expertise, and its ability to provide evidence-based innovative solutions that are both normative and operational. Its convening power, its capacity to influence long-term change and its ability to leverage partnerships all contribute to its comparative advantage and value added. UN-Habitat's comparative advantage and value added also derives from its neutrality (as a UN agency it has no vested interests) and the trust that governments have in it.

UN-Habitat, through the Housing Approach, uses its highly specialized technical assistance services to provide value-added and tailored support to Member States in implementing policies, strategies, best practice, norms and standards. The following are some of the areas where UN-Habitat is widely recognized as contributing value-added:

- 1. Recognized as having a mandate within the UN system as the lead-agency on housing and urban development.** Also recognized for its track record of achievements in the housing field.
- 2. Recognized expertise in the field of housing and urban development,** including slum upgrading and affordable housing. This has enabled UN-Habitat to offer high quality technical assistance and capacity building support to national and local governments and other HAPs.
- 3. Leader in knowledge management on housing and related areas.** UN-Habitat has published many key publications or housing related topics which are widely consulted by policy makers.
- 4. Advocacy and promotion of the Human Rights-Based Approach (HRBA) to housing and slum upgrading.** UN-Habitat is committed to the realization of the right to adequate housing through the HRBA and takes human rights into consideration in its Housing Approach. The GHS and PSUP are human rights-based with emphasis on capacity-building and participation.
- 5. Recognized as a source of policy advice and as a promotor of evidence-based innovative solutions.**

6. **Convening power to organize global, regional and national conferences on topics relating to housing.** Some of these conferences have played a vital role in the formulation and updating of key housing and urban policy areas.
  7. **Leading authority and promoter of pro-poor housing and urban strategies.** UN-Habitat also has extensive experience working in informal urban areas.
  8. **Expertise in disaster relief.** In contrast to many agencies that only focus on short-term emergency relief, UN-Habitat is able to link disaster relief to long-term development.
  9. **Unique comparative advantage and value added in relation to the triple nexus of humanitarian, development and peacebuilding (HDP).** While some agencies have both humanitarian and development mandates and experience, few have strong urban expertise.
  10. **International and specific regional expertise and vast experience in participatory approaches** is also acknowledged as a source of comparative advantage and value added that has resulted insignificant impact through post crises interventions – both post natural disaster and post-conflict.
- ### 6.3.3 Areas where UN-Habitat faces challenges
- The following are areas the evaluation identified where UN-Habitat faces challenges.
1. **Consulting services are expensive and not always competitive.** UN-Habitat consultants are often considered to be expensive, which has two consequences: 1) many government agencies, particularly local government cannot afford to pay for the services, and 2) they are not competitive in many countries, e.g., in Latin America, with their own well qualified consultants.
  2. **Weaker on advocacy to ensure governments follow-through on commitments made at regional and global conferences.** While UN-Habitat has proved successful at encouraging governments to make commitments at international conferences, they have been less successful in getting them to implement the commitments once they return home.
  3. **Less successful in providing support to national housing programmes.** A number of key informants reported that some national housing programmes felt that UN-Habitat had not been able to provide them with direct support or to lobby governments on their behalf.
  4. **In many countries UN-Habitat has not been successful in promoting low-cost, affordable housing.** The priority of many governments is to provide housing for the middle-class or for organized labour, and in many countries UN-Habitat has not been able to encourage governments to focus on housing for the poor or slum upgrading.
  5. **UN-Habitat is perceived as having moved away from their earlier role as an aggressive promoter of housing.** It is perceived that the focus has moved from housing to broader issues of urban development.
  6. **UN-Habitat's strong linkages to civil society have been weakened.** It is perceived that the strong working relationships with civil society now receive lower priority as UN-Habitat now focuses more on broader urban development issues.



## 6.4 Regional comparisons of the implementation of the Housing Approach

Table 14 shows that when the five key dimensions of the housing approach are combined, Africa and the Arab States both rate more than satisfactory, while Asia and the Pacific is satisfactory and LAC/Mexico is less than satisfactory. A similar pattern is found for treatment of the five cross-cutting issues. Both Africa and the Arab States achieve a good implementation rating on advocacy and policy advice, but only satisfactory on the other three dimensions (knowledge management, technical assistance/capacity building and implementation support). UN-Habitat's important role in convening international and regional conferences is highly valued and considered an important source of policy advice by stakeholders. Particularly in the Arab States, UN-Habitat has made an important contribution in the formulation of urban policies and housing strategies, in part because the rapid urbanization is relatively recent and UN-Habitat was able to share its experience from other regions with longer experience of rapid urban growth and its consequences for housing policies, strategies and programmes.

Africa and LAC/ Mexico, have slightly lower ratings on cross-cutting issues. While most of the cross-cutting issues are mentioned in concept notes and other project documents, they have generally not been effectively addressed when it comes to implementation. In particular, youth, who constitute a growing majority on most countries, have received less attention compared with the other cross-cutting issues of gender equality, human rights and climate change — but this appears to be being addressed in Africa and the Arab States.

When regions are compared on all eight dimensions (including cross-cutting issues and promoting programme and policy sustainability, and integration and coordination with other UN-Habitat programmes and partner agencies), there is only a small difference between Africa, the Arab States and Asia and the Pacific, with each one receiving a more than satisfactory rating. However, Mexico received a significantly lower overall rating of less than satisfactory. This is explained by the fact that the Mexico programme has a very small permanent staff and budget, and many of the activities are demand driven, responding to requests from national and municipal agencies, and there is no defined country programme strategy.

A more detailed breakdown of the rating scores is presented in Table 15 which shows separate analysis for each of the eight dimensions of adequate housing.

**Table 14: Regional comparisons on the implementation of the housing approach**

	Ratings				
	Global	Africa	Arab States	Asia and the Pacific	Latin America [Mexico]
Average score for the 5 key dimensions <sup>1</sup>	3.4	3.4	3.4	3.0	2.4
Average score for the 5 cross-cutting issues <sup>2</sup>	2.9	2.8	3.0	3.0	2.3
Average score all 8 dimensions	3.1	3.2	3.3	3.1	2.5

Ratings: 1 = very low implementation, 2 = low, 3 = satisfactory, 4 = good implementation, 5 = very good implementation

*Notes:*

*1 Key dimensions: advocacy, policy advice, knowledge management, technical assistance and capacity development, and implementation support*

*2 Cross cutting issues: gender, youth, human rights and climate change*

*Source: Consultants*

**Table 15: Regional differences in the achievement of the dimensions of adequate housing**

	Global	Africa	Arab States	Asia and the Pacific	Latin America [Mexico]
1. Advocacy	4	<b>4</b>	<b>4</b>	<b>3</b>	2
2. Policy	3	<b>4</b>	<b>4</b>	<b>3</b>	3
3. Knowledge management	4	<b>3</b>	<b>3</b>	<b>4</b>	4
4. Technical assistance/ Capacity development	3	<b>3</b>	<b>3</b>	<b>2</b>	2
5. Implementation support	3	<b>3</b>	<b>3</b>	<b>3</b>	1
<b>Average score for the 5 key dimensions</b>	<b>3.4</b>	<b>3.4</b>	<b>3.4</b>	<b>3.0</b>	<b>2.4</b>
6. Integration and coordination					
6a Integration with other UN-Habitat country programmes	3	3	3	3	3
6b. Consistency with policies of country partners	3	<b>3</b>	<b>3</b>	3	2
7. Addressing cross-cutting issues: average score for all cross-cutting issues	2.9	2.8	3	2.9	2.3
a. Youth	2.5	<b>2</b>	<b>3</b>	2	2
b. Gender	3	<b>3</b>	<b>3</b>	3	2.5
c. Climate change	3	<b>3</b>	3	3.5	2
d. Human rights	3	<b>3</b>	3	3	2
8. Sustainability	2.5	<b>3</b>	<b>3</b>	3	2.5
<b>Overall Average</b>	<b>3.1</b>	<b>3.2</b>	<b>3.3</b>	<b>3.1</b>	<b>2.5</b>

Achievement Ratings: 1 = very low; 2 = low; 3 = average; 4 = high; 5 = very high

Source: Prepared by consultants based on 10 country case studies, key informant interviews and UN-Habitat and other regional publications.

## Endnotes

- 82 At the global level, methodological developments, technical support to Member States and global level monitoring and reporting for SDG 11 is led by several custodian agencies that include; UN-Habitat; the United Nations Educational, Scientific and Cultural Organization (UNESCO); the United Nations Population Fund (UNFPA); the United Nations Office for Disaster and Risk Reduction (UNISDR); World Health Organization (WHO); UN Statistical Division (UNSD), and the United Nations Office on Drugs and Crime (UNODC).
- 83 UN-Habitat (2011) *Building Urban Safety through Slum Upgrading*
- 84 Government Offices (2008) Swedish Assessment of Multilateral Organisations - the United Nations Human Settlements Programme, UN-Habitat 2008.
- 85 UN-Habitat (2018) *Annual Progress Report 2018: Working for a Better Urban Future*
- 86 Woetzel, J., et al. (2014) *A Blueprint for Addressing the Global Affordable Housing Challenge*
- 87 UN-Habitat (2019) The Ninth Session of the World Urban Forum: Cities 2030, Cities for All - Implementing the New Urban Agenda.
- 88 UNISDR, UNESCO, WHO, UNODC, UNEP
- 89 . E.g., A Guide to Assist National and Local Governments to Monitor and Report on SDG Goal 11+
- 90 UN-Habitat is also publishing The Urban SDG Monitoring Series, a monthly feature from the GUO on monitoring SDG Indicator 11.1.1.
- 91 UN-Habitat (2020) SDG Project Assessment Tool – Vol. 1: General Framework and UN-Habitat (2020) SDG Project Assessment Tool – Vol. 2: User Guide.
- 92 As adopted in the MDG, household where the inhabitants suffer one or more of the following 'household deprivations': 1) Lack of access to improved water source, 2) Lack of access to improved sanitation facilities, 3) Lack of sufficient living area, 4) Lack of housing durability and, 5) Lack of security of tenure).
- 93 UN-Habitat (2016) SDG 11 Monitoring Framework.
- 94 Habitat for Humanity, Housing Indicators for the Sustainable Development Goals, 2015
- 95 Responses to the questionnaire to COs
- 96 OHCHR, Human Rights Indicators A Guide to Measurement and Implementation, 2012
- 97 UN-Habitat, Programmatic Guidance Note for UN-Habitat staff, Promotion and protection of human rights, 2015
- 98 OHCHR, Promotion and Protection of All Human Rights, Civil, Political, Economic, Social and Cultural Rights, Including the Right to Development, 2008
- 99
- 100 Evaluation of the SUF programme, Evaluation of Project for Strengthening National Capacities to Formulate and Adopt Housing and Slum Upgrading Strategies
- 101 UN-Habitat, JAH Programme Final Evaluation Report, 2016
- 102 UN-Habitat, Evaluation of UN-Habitat's role in post-disaster recovery, reconstruction and development in Pakistan, 2005-2012
- 103 UN-Habitat, Evaluation of Un-Habitat's Country Programme in Sri Lanka, 2013-2017, 2018
- 104 UN-Habitat, Mid-Term Evaluation of the Participatory Slum Upgrading Programme II (PSUP II), 2015
- 105 Ibid

## 7. RECOMMENDATIONS

### 7.1 Policy and Strategic Level

#### 7.1.1 Restore the prominence of housing within UN-Habitat

Once the central focus of UN-Habitat's portfolio, the role of housing has declined and should be restored. This should be done by:

- **Reintroducing, reemphasizing and actively promoting the Housing at the Centre (H@C) approach**, positioning housing at the centre of the New Urban Agenda (NUA), so as to recast housing as a core element of UN-Habitat's mandate.
- **Strengthening linkages with other UN-Habitat programmes** and with national and international partners who are involved in housing.

#### 7.1.2 Strengthen the coherence of the Housing Approach

The value of UN-Habitat's leadership on housing is widely recognized by stakeholders. However, the evaluation identified a number of ways in which the Housing Approach can be strengthened:

- **Develop a clearer articulation of the Housing Approach**, explaining the essential elements and how they combine to achieve impacts. The theory of change presented in this report should be reviewed and revised as necessary to provide a well-defined analytical evaluation framework.
- **Clarify the purpose of the Housing Approach**, i.e. whether it is intended as an aspirational framework presenting broad goals, or as a planning tool; If regional and country offices are to use it to guide the formulation of their programmes, or consider it as a general reference document; If it should recognize regional differences; If it should be used as a tool to evaluate performance of country programmes and/or individual projects.

- **Test and demonstrate the strategic principles of the Housing Approach**, as well as the extent to which the outputs and outcomes defined in the theory of change can contribute to achieving intermediate states and impacts. Also identify the factors determining the effectiveness of the outputs and outcomes.
- **Strengthen the Housing Approach as a strategic framework** to promote the HRBA to housing and slum upgrading. In addition to advocacy and policy advice, this should include promoting the use of urban planning, finance and economic tools.<sup>106</sup>

See chapter 2. Understanding of the Housing Approach

#### 7.1.3 Leverage UN-Habitat's recognized strengths

The study identified a number of areas where UN-Habitat has a comparative advantage and where its work has a significant value-added. An assessment should be made of how to build on these by:

- Capitalizing on the mandate as the **lead UN agency on housing**;
- Capitalizing on its recognized **expertise in housing**;
- Capitalizing on its recognition among housing stakeholders as a source of housing **policy advice**;
- Capitalizing on its strong reputation for competence and comparative advantage in the fields of **post-crisis recovery and reconstruction, and the triple nexus of humanitarian, development and peacebuilding (HDP)**,
- Using its **convening power** to bring to together key partners and stakeholders to advocate for pro-poor housing and urban programmes and reforms.

See section 6.4 UN-Habitat's areas of value added (comparative advantage)

### 7.1.4 Continue to strengthen knowledge management

Knowledge management has been one of the most effective tools for advocacy, technical assistance and capacity development. UN-Habitat should therefore:

- **Mobilize and invest the requisite resources** (human, financial, technological) to strengthen the role of knowledge management as a tool for more impactful pro-poor housing policies, strategies and programmes.
- Strengthen the tools used to disseminate the knowledge management resources so reach wider audiences, including operational staff and civil society.
- Strengthen tools to monitor how knowledge management resources are actually used by different stakeholders and assess their impacts.
- Use knowledge products and other relevant advocacy communication tools for awareness raising and fundraising purposes, targeting also current and future donors and funders.

### 7.1.5 Strengthen the focus on improving the living standards of poor and vulnerable groups and on poverty reduction at all levels (global, regional, country)

While poverty reduction is defined as a priority in UN-Habitat's mission statement, it does not play a central role in many country programmes. This is an area where UN-Habitat has a (potential) comparative advantage and ways in which the poverty focus can be strengthened should be explored. Poverty monitoring requires a special methodology and this should be a priority, with key tasks being to:

- Develop and demonstrate the logic and strategic principles of **housing interventions impacts on poverty** dimensions,
- Improve estimates of the number of households and individuals defined as poor using the different criteria of the **multidimensional poverty approach**.
- Strengthen and enhance monitoring and evaluation of alignment and implementation of the **poverty and urban-related SDGs**.
- Improve documentation on the scope and both quantitative and qualitative **outcomes of poverty initiatives**,
- Develop guidelines on:
  - Defining and measuring the **multi-dimensional nature of poverty and the potential contributions of housing**;
  - Developing and implementing **pro-poor housing strategies and programmes** to respond to the housing needs of the poorest and most vulnerable groups;
  - Monitoring improvements in access to adequate, affordable housing for **poor and vulnerable groups**.

These initiatives should help UN-Habitat to focus its Housing Approach on the promotion and implementation of comprehensive pro-poor housing strategies.

See section 6.1.6 *Impact assessment*

## 7.2 Planning and Management

### 7.2.1 Review and address the major challenges facing the Housing Approach

A number of areas were also identified where UN-Habitat is facing challenges, each of which should be reviewed and addressed. They include to:

- Make **technical assistance services** more attractive in terms of costs and country-specific expertise,
- Review UN-Habitat's experience in the **management and implementation of large-scale housing programmes** and decide whether this is an area where the agency should focus – and if so under what conditions,
- Strengthen the **advocacy capacity** of COs and ROs, and develop materials including training, toolkit and resources – in collaboration with OHCHR and other relevant partners - that provides guidance on the effective advocacy and promotion of the right to adequate housing,
- Strengthen capacity to **support and follow-up** national housing policies and programmes ,
- Re-establish UN-Habitat's strong links with **civil society (in countries where these linkages have been weakened)**.
- Develop strategies and guidelines to ensure the incorporation of cross-cutting themes (gender equality, youth, human rights and climate change) into the housing programmes

Other areas which many stakeholders consider UN-Habitat to have disregarded were also identified. These represent significant needs as well as opportunities and should be reviewed and addressed:

- **Pro-poor housing finance** innovations – alternative affordable and accessible housing finance for end-users; alternative finance institutions;
- **Alternatives to ownership** – e.g., Rental housing, incremental housing development options;

- Monitoring and advocacy on **forced evictions**;
- Housing issues in rapidly growing **intermediate cities**.

All these measures should aim to more effectively mobilize all of UN-Habitat's areas of comparative advantage to advocate for pro-poor housing strategies and policies.

See section 6.4.2 Areas where UN-Habitat provides value added (areas of comparative advantage)

### 7.2.2 Provide guidelines on implementing the Housing Approach

Provide **guidelines** on implementing the Housing Approach in-line with other development areas, including:

- Planning and implementing programmes that seek to encompass all of the elements of the Housing Approach, at HQ, ROs and COs level,
- Improving the linkages between housing and the other urban development areas (e.g. the Three-Pronged Approach (3PA) to sustainable urban development; rural-urban and inter-country migration; urban resilience and disaster risk reduction) in the UN-Habitat portfolio.
- Improving the sustainability of housing interventions.

See section 6.2.2. Impact assessment

### 7.2.3 Strengthen UN-Habitat's information base

A review should be commissioned of the PAAS and other reporting systems to assess the quality, consistency and completeness of the data in terms of the information requirements of managers and policy-makers and for annual reports and other publications. The review should recommend any changes that are required in the current systems and identify any other kinds of information that should be added. The review should also assess areas where it would be appropriate to strengthen the data to contribute to the proposed strengthening of the UN-Habitat evaluation system.

### 7.2.4 Review and strengthen demonstration of outcomes and impacts

UN-Habitat should conduct regular assessments of the impacts of its housing interventions on adequate housing, in order to demonstrate and document the effects of its strategies and programmes on the living conditions of vulnerable people. This includes assessing the impacts of housing programmes on the different dimensions and criteria of adequate housing, as well as to demonstrate their contribution towards the achievement of global goals such as the SDGs. In order to achieve this UN-Habitat should:

- Review the **results frameworks** already being used by UN-Habitat, and adapt them to incorporate the adequate housing criteria in order to objectively assess the impact of the Housing Approach. This should complement, but go beyond, the assessment of outputs.
- Monitor the use and impact of knowledge products and their recommendations.
- Monitor impacts resulting from **policy achievements** policy advice, (improved housing policies) by following up with complementary initiatives of national and local government authorities (housing programmes).
- Develop evaluation strategies and guidance on how to assess the **quantitative impact** of UN-Habitat's interventions on adequate housing at the global, regional and country levels.

See section 6.2.1.

### 7.2.5 Strengthen sustainability

All (appropriate) activities should include plans to ensure sustainability and scaling-up. The plan should include a monitoring and reporting plan, and a strategy for dissemination of findings. Where appropriate plans should address infrastructure, economic, institutional, political, socio-cultural and climate change dimensions of sustainability. In addition,

- Ensure all interventions include a comprehensive '**Strategy for Sustainability**', and where appropriate for replicability and scalability, to enhance impact and reach.
- Ensure that technical assistance and capacity building provided through the Housing Approach is geared towards ensuring **sustainability of interventions**.
- Ensure resources for **implementation monitoring and evaluation**, and preparation of an end-of-project report.

## 7.3 Regional Level

### 7.3.1 Focus more strongly on the unique development context within which each regional housing programmes operates

In some countries UN-Habitat housing programmes are developed independently and in isolation from national and regional development priorities and programmes. A broader and more integrated SDG-aligned development focus is required that:

- Includes **all UN-Habitat criteria of an adequate housing programme**, emphasizing the focus on the poor and vulnerable groups, and alignment with relevant SDGs,
- Promotes the importance of an integrated approach that addresses all of the dimensions of housing as an economic and social development strategy, and places **housing at the centre of the sustainable urban development agenda** as an effective equalizer for shared prosperity and growth.

### 7.3.2 Capitalize on the unique aspects of each regional programme

Understand and capitalize on the unique strengths of each regional programme and adapt the housing approach to these contexts. Seek ways to strengthen cooperation and to draw on the unique regional experiences.

### 7.3.3 Continue to support normative activities

Ensure effective knowledge production and dissemination strategies within the communication practices and constraints of each region. Address the digital divide and ensure that knowledge products are accessible to more remote and less digitally resourced groups — including community-level organizations.

### 7.3.4 Focus on poor and vulnerable groups

- Engage more with **pro-poor housing stakeholders**, and draw on UN-Habitat's extensive experience with the 'people's process' approach. Ensure that all housing programmes incorporate adequate pro-poor components and implementation strategies. This will enable:
  - Greater inclusion and effectiveness of advocacy work at country and local level,
  - Greater emphasis on context-specific key housing inadequacy issues (e.g. finance, evictions),
  - Exploration of non-traditional interventions for poor and vulnerable groups — e.g. heritage-led community regeneration, and prevention of gentrification and displacement of lower-income residents in cities with rapid economic development.

## 7.4 Country Level

### 7.4.1 Multi-year country housing programmes.

Each country should have a **multi-year country housing programme** which is reviewed and updated annually, and evaluated every few years. These should be incorporated into the Results Based Management (RBM) framework already being used. While some countries already have such a programme it is not standard practice and is not always implemented in the same way

### Prepare and apply a Habitat Country Programme Document (HCPD).

All COs, with the support of the respective RO and UN-Habitat headquarters, should prepare a HCPD, in line with the Country Cooperation Assessment (CCA), biannually or other period as stipulated, in which housing is a central component. The HCPD should include a participatory M&E framework that engages key stakeholders.

### 7.4.2 Strengthen country programme reporting and documentation

**More complete, consistent and higher quality reporting** is required for all programmes and projects [see also point 7.2.3].

**Enforce compliance to PAAS reporting** to ensure it strengthens project and programme coherence, alignment and results focus, and providing a management information system that ensures timely access to up-to-date and accurate project and financial data, UN-Habitat should ensure COs complete all sections of the Project Document templates and comply with PAAS reporting requirements.

### 7.4.3 Plan for sustainability

All (relevant) projects and programmes implemented at country level should include a strategy to track and maximize sustainability [see also point 7.2.4]

**Incorporate a sustainability strategy into all implementation projects** to maximize the likelihood that successful projects will be sustained, replicated and/or scaled-up.

### 7.4.4 Improve delivery of impacts at country level

The evaluation has revealed significant gaps in the delivery of impacts, including the lack of implementation of improved housing policies, and the limited number of physical housing improvements. A strategic approach to improve delivery of impact should:



- Foster impact at country level from achievements reached at global level by improving; follow-up governments' commitments in regional events; and advocate for recognition of the RTAH and the **adoption of pro-poor policies**,
- Assess the effectiveness of the Housing Approach. The assessment should not be limited to national housing policies and programmes, many of which exclude the provision of housing and services for the poor and vulnerable sectors, but also aim to:
  - Support and engage in **direct housing provision at scale for the poorest and most vulnerable** based on past successful experiences (e.g. People's Process, post-crisis housing).
  - Foster the **adoption and upscaling of pilot projects**.
  - Engage and support **more physical housing improvements** in slums.

See section 6.1.6 Impact assessment)

## 7.5 Monitoring and Evaluation

### 7.5.1 Mobilize additional resources to strengthen monitoring and evaluation

**Mobilize additional resources to strengthen and fully implement the current Evaluation Framework** (defined in the 2012 evaluation policy and operationalized in the 2018 evaluation manual). As UN-Habitat currently does not have a credible way to assess the cumulative quantitative impact of its Housing Approach and the individual interventions, a priority concern must be to develop and test comprehensive, cost-effective and methodologically-sound tools and techniques for the collection and analysis of the information required for the many different kinds of evaluations of outputs, outcomes and impacts that are required.



## 7.5.2 Strengthen monitoring and reporting

The present evaluation conducted an in-depth review of available documentation and found that there is very limited information on the number of UN-Habitat programmes that have been implemented and their outcomes and impacts. It was also not possible to find reliable data supporting many of the claims concerning the numbers of households or communities benefiting from many programmes, and the range of benefits received.

UN-Habitat should therefore prioritize the establishment and enforcement of robust minimum standards of monitoring and reporting for all programmes and the assignment of sufficient resources (human, financial, technical, support services) to cover this function. Establishing minimum reporting requirements should include:

- Definition of **programme objectives** consistent with the Housing Approach,
- Consistent application of a **results-based evaluation framework**,
- Estimation of the **number of households** or communities benefitting from the programme and the level and types of benefits received, and adequate housing dimensions covered,
- Definition of a set of **key objectively verifiable indicators** (OVIs) to be monitored,
- **Standard formats** for project progress and completion reports,
- Tracking of programme **sustainability** after completion

See section 5.1 *Challenges to the estimation of the quantitative impact of the Housing Approach*

## 7.5.3 Develop an evaluation framework and multi-year evaluation strategy

Despite the global scope and diverse development objectives, UN-Habitat does not currently have any mechanisms for assessing the extent to which its programmes have contributed to the development goals to which it aspires. Also, it is not able to quantify the number of people whose lives it has affected, or to assess the effectiveness of its different programmes. It is strongly recommended that UN-Habitat should develop and test an evaluation programme that would periodically assess the effects of all its programmes. While most of the evaluations would only be able to provide a general overview, the programme should also include more in-depth assessments of a small but representative sample of countries and programmes. Given the limited nature of the evaluation systems of many other development agencies, UN-Habitat has the opportunity to make a cutting-edge contribution to understanding the complex nature of development programmes and their multiple outcomes. Key recommendations are listed below and explained in detail in Annex 32.

Strengthening monitoring and developing an **evaluation framework and strategy** should include:

- Designing, testing and progressively implementing an evaluation strategy that ensures that all country programmes and individual housing interventions are periodically evaluated; and develop guidelines for the implementation of the evaluation strategy.
- Prioritizing the development of a system to regularly evaluate the outcomes and impacts of all UN-Habitat interventions. This should include:
  - Developing and testing evaluation methodologies for each of the five key components of the Housing Approach.

- Operationalizing the Housing Approach as the monitoring and evaluation framework
  - Developing a Portfolio Analysis framework
  - Improving the monitoring system
  - Developing an evaluation system covering all UN-Habitat programmes
  - Assessing attribution and causality
  - Developing capacity to evaluate complex programmes
  - Developing special methodologies for evaluating cross-cutting themes
  - Integrating big data and data science into the evaluation toolkit
- See section 6.2.1.a Current UN-Habitat approaches to Impact monitoring.*

## Endnotes

106 (These tools include master planning, urban regeneration and redevelopment, sub-divisions and land readjustment, online analytical tools, and impact assessments) to improve planning practice and increase access to land and finance.

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## ANNEXES

### Annex 1: Terms of Reference

#### 1. Background and Context

##### 1.1 UN-Habitat's Housing Approach

The urban population is on the rise in much of the world and about 800 people are living in absolute poverty. A third of the urban population is estimated to live in slums and informal settlements, often without access to proper housing, infrastructure or basic services<sup>1</sup>. Unable to afford the formal land or rental market, many urban poor live in informal settlements and slums, often lacking legal property rights. In addition, informal settlements are often in hazardous locations such as flood plains and close to industrial wastes. UN-Habitat and Governments have a critical role to play in addressing these challenges, through among other things, access to land, regulations that do not discriminate against the urban poor, commitment to inclusive service provision, implementing policies and projects to improve and prevent slums, etc.

UN-Habitat's Housing Approach builds from its mandate, resolutions, strategies, strategic plans, programmes and projects. Since the first United Nations Conference on Human Settlements held in 1976, which established the center that was later to become UN-Habitat, the agency has been mandated to coordinate human settlement activities within the UN System. Its mission is to promote socially and environmentally sustainable human settlements development and the achievement of adequate shelter for all. Pursuant to its mandate, housing is at the core of UN-Habitat's work, and implemented at two levels. At the operational level, UN-Habitat undertakes technical cooperation projects and programmes related to housing. At the normative level, it seeks to influence governments and non-governmental actors in formulating, adopting, implementing and enforcing policies, norms and standards conducive for access to adequate and affordable housing.

At the second UN Conference on Human settlements held in 1996, governments adopted the Habitat Agenda as a global plan of action to realize the two UN-Habitat

goals of adequate shelter for all and sustainable human settlements development in an urbanizing world. Further, in the aftermath of the Habitat II Conference, the UN General Assembly, recommended that the United Nations Human Rights Office of the High Commissioner (OHCHR) and UN-Habitat establish a global programme to promote and implement the right to adequate housing. Subsequently, the Global Shelter Strategy to the Year 2000 (GSS 2000), was adopted by the UN General Assembly in December 1988, aimed at shifting housing policies away from an exclusive focus on building houses to a more holistic approach, which would include government interventions related to land, finance, regulations, planning, infrastructure and housing markets.

At the Millennium Summit in September 2000 and the Istanbul+5 Summit in 2001, the concerns about the urbanization of poverty evidenced in the multiplication of slums led to the adoption by governments of poverty reduction strategies and the commitment to achieve the Millennium Development Goals (MDG), particularly the goal, target 11 that aimed at the improvement of the lives of at least 100 million slum dwellers by 2020. The 2003 Global Report on Human Settlements (GRHS) focusing on Slums and the 2005 GRHS on Financing Shelter, highlighted the importance of housing provision in the solutions to emerging urbanization challenges. In 2005, UN-Habitat revisited the formulation of the slum target to include policies to prevent the development of new slums through the provision of adequate housing for all at scale.

The adoption of the Habitat Agenda led to a variety of policies that recognized the right to adequate housing and resulted into an increased number of countries that included the recognition of the right to adequate housing in their constitutional legislations. This also triggered the development of a number of studies, reports and campaigns by UN-Habitat on housing rights legislation. The two global campaigns i.e. the Global Campaign for Security of Tenure and the Global Campaign on Urban Governance adopted by UN-Habitat further reinforced the rights-based approach to development. Specifically, the secure tenure global campaign focused on protecting from eviction those living in informal housing, including specific reference to secure tenure for women. In



addition, UN-Habitat established the Advisory Group on Forced Evictions, which was associated with work on forced evictions and housing rights.

Other initiatives included the establishment of Housing and Urban indicators programme, including the housing rights indicators. The recognition of cities and local governments as well as other actors found at the community level in the public, private and non-profit sectors was a significant breakthrough and has influenced a new generation of housing policies that placed responsibilities at the local level. The linkage with other sectors of the economy and the importance given to rules and regulations, institutions and capacity to manage the housing sector were paramount in the recommendations for measures to enable the housing markets to work. These linkages also supported measures to secure land to be supplied at scale coupled with financial instruments and infrastructure development.

## 1.2 UN-Habitat's Housing Approach in the MTSIP and Strategic Plan

In 2005, the UN Office of Internal Oversight Services (OIOS) conducted an in-depth evaluation of UN-Habitat. The evaluation called for reform of UN-Habitat with the specific goal of sharpening its programmatic focus in order to have impact. This led to the formulation of the first six-year plan called the Mid-Term Strategic and Institutional Plan (MTSIP) 2008-2013. To realize its corporate vision and achieve its strategic and institutional objectives, the MTSIP was formulated around six focus areas: Effective advocacy, monitoring and partnerships; Promotion of participatory planning, management, and governance; promotion of Pro-poor Land and Housing;

Environmentally Sound Basic Urban Infrastructure and Services; Strengthened Human Settlements Finance Systems; and Excellence in Management.

### 1.2.1 UN-Habitat's Housing Approach in MTSIP, 2008-2013

During the period 2008-2013, MTSIP was implemented to help create, by 2013, the necessary conditions for concerted international and national efforts to arrest the growth of slums and to set stage for subsequent reduction in and reversal of the number of slum dwellers worldwide. The strategic results of the Focus Area were to improve access to land and housing, security of tenure, and slum improvement and prevention. Activities that focused on housing were coordinated by Housing Policy Section. Through Focus Area 3, UN-Habitat committed to support national and local governments and Habitat Agenda Partners to improve access to land and housing, including crisis-affected countries. The premise behind the Housing Approach was that adequate housing for all and cities free of slums can only be achieved if a wide range of affordable housing opportunities and serviced land are realized at scale. UN-Habitat considered equitable access to land a critical issue for slum prevention and housing delivery. Housing would also play an important role in stimulating economic development, bringing about poverty reduction; and would position housing problems on the international development agenda in a strategic way. The Focus Area 3, corresponding to the sub-programme 3, had three expected accomplishments. Table 1 shows the expected accomplishments and indicators of sub-programme 3 in the MTSIP.

**Table 1: FA3's Strategic Result, Expected Accomplishments and Indicators of Achievement**

Strategic Result: Improved Access to Land and Housing	
Expected Accomplishments	Indicators of Achievement
EA 1: Improved land and housing policies implemented	1.1 Increased number of Habitat Agenda Partners implementing improved policies
	1.2 Increased number of countries implementing improved land and housing policies
EA 2: Security of Tenure Increased	2.1 Increased number of countries implementing policies to improve security of tenure
	2.2 Increased number of partners implementing policies to reduce forced evictions
EA 3: Slum improvement and prevention policies promoted	3.1 Number of countries implementing slum prevention and improvement policies
	3.2 Increased number of countries implementing policies to deliver land and housing at scale

UN-Habitat relied on three broad strategies to achieve the expected accomplishments: (i) Knowledge management and advocacy, capacity building at global, regional and national levels; and supporting implementation at the country and local levels. (ii) established partnerships with external organizations, international housing experts, collaboration with other sub-programmes of UN-Habitat, deepened its engagement with Global Land Tool Network (GLTN) and expanded its network to include multilateral and bilateral donors and increased its coordination role. In addition, issues of gender, youth and the elderly were mainstreamed into the housing approach. (iii) Programmes and projects towards improving and promoting more productive land and housing policies were implemented in partnership with governments and other Habitat Agenda Partners.

### 1.2.2 The Housing Approach in the Strategic Plan, 2014-2019

In the subsequent UN-Habitat Strategic Plan (SP), 2014-2019, UN-Habitat restructured its substantive work around seven Focus Areas corresponding to sub-programmes, including the Housing and Slum Upgrading sub-programme 5. The sub-programme 5 is implemented through the Housing and Slum Upgrading Branch and all the regional offices of UN-Habitat. The Branch comprises of the Housing Unit and the Slum Upgrading Unit. The strategic result of the sub-programme is: ***“local, subnational and national authorities have implemented policies for increasing access to adequate, and sustainable housing options for members of different income groups of society and improving the standard of living in existing slums”***.

In order to contribute towards the reduction of poverty and inequalities, UN-Habitat advocates the **‘Housing at the Centre’ approach**, which focuses on improving the supply and affordability of new housing through the supply of serviced land and housing opportunities, which would curb the growth of slums and widen housing choices at appropriate scale and affordable price. This ‘Housing at the Centre’ is based on an understanding of housing as more than a roof and four walls, with the right to live in security, peace and dignity. It does not only take into account the socio-developmental dimension of housing, but also places people and human rights at the forefront of sustainable urban development.

UN-Habitat initiates technical cooperation with local, subnational and national authorities to design and implement programmes to increase the supply of affordable housing and to prevent the formation of new slums, as a viable alternative to informality, and to upgrade existing slums through a citywide slum upgrading approach. In this regard, UN-Habitat promotes the active participation in formulation, prioritization, implementation of both formal housing development and slum upgrading; supporting policies according to national legislation and standards. Therefore, subprogramme 5 assists Member States to analyze their housing policies and formulate housing strategies and interventions as well as develop policies and deliver programmes that promote the access to adequate housing for all. Table 2 shows the Focus Area 5 strategic result, expected accomplishments and indicators of achievement.

### 1.3 The Global Shelter Strategy to the Year 2025

The Global Shelter Strategy to the Year 2000 was a milestone in housing policy and practice by providing guidelines, promoting national housing strategies as well as advancing improvements in housing conditions in more than 100 countries<sup>2</sup>. At its twenty-third session in April 2011, the UN-Habitat Governing Council adopted a resolution requesting UN-Habitat to assess the results and impacts of the Global Shelter Strategy to year 2000 and to formulate a Global Housing Strategy to the Year 2025. The strategy to year 2025 advocates for the need to radically shift housing theory and practice. It promotes a collaborative global movement towards adequate housing for all and improving access to housing in general and the living conditions of slum dwellers in particular. Its main objective is to assist Member States in working towards the realization of the right to adequate housing. Its formulation emerged from a broad-based national, regional and global consultation process, integrating housing policies into broader local and national urban policies and strategies as well as into social, economic and environmental policies.

**Table 2: FA5's Strategic Result, Expected Accomplishments and Indicators of Achievement**

Strategic Result: Local, subnational and national authorities have implemented policies for increasing access to adequate, and sustainable housing options for members of different income groups of society and improving the standard of living in existing slums.

Expected Accomplishments	Indicators of Achievement
EA 1: Improved housing policies, strategies or programmes in line with the principles of the Global Housing Strategy and the promotion of the realization of the right to and adequate standard of living.	<p>1a. Increased number of partner countries that implementing improved housing policies, strategies or programmes in line with the principles of the Global Housing Strategy.</p> <p>1b. Increase number of partner countries that are implementing frameworks for programmes preventing unlawful forced eviction</p> <p>1c. Increase number of partner countries that are implementing sustainable building codes, regulations or certification tools.</p>
EA 2: Improved slum upgrading and prevention policies, strategies and programmes.	<p>2a. Increased number of partner countries that are formulating improved slum upgrading and prevention policies and strategies</p> <p>2b. Increased number of partner countries that are implementing sustainable and participatory slum upgrading and prevention programmes.</p>
EA 3: Enhanced capacity of slum communities to advocate on their own behalf and partner with national and local authorities implementing policies or programmes on access to adequate housing and improved standard of living in slums.	<p>3a. Increased community representation in coordinating bodies of partner countries, such as the national Habitat Committees.</p> <p>3b. Increased number of communities in partner countries that are empowered to lead and implement initiatives.</p>

The objectives of the strategy were to be achieved by utilizing national urban policies, urban planning and urban design as well as urban economy and legislation as the essential entry points. The role of UN-Habitat in relation to the strategy was to initiate, facilitate and support the strategy as a collaborative global movement towards adequate, inclusive and sustainable housing for all. UN-Habitat is also assisting governments, communities and other Habitat Agenda Partners in adopting and implementing the strategy. It mobilizes international cooperation and assess progress on implementation of the strategy. Among other outcomes, the strategy was to bring about, systemic housing reforms to enable wider accessibility to adequate and affordable housing, with a variety of housing solutions, matching the variety of demands.

### 1.5 Relevance of UN-Habitat Housing Approach to SDGs

In September 2015, the UN Member States endorsed the 2030 Agenda for Sustainable Development. This transformative global agenda integrates the economic, social and environmental pillars of development within 17 interdependent Sustainable Development Goals (SDGs). Central to the 2030 Agenda is are principles such as "leaving no one behind" and integration economic, social and environmental dimensions.

UN-Habitat is the custodian of the SDG 11: **Making cities and human settlements inclusive, safe, resilient and sustainable**. SDG 11 Target 1 is specific to achieving adequate and affordable housing, stating that, "**by 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums**". However, the SDGs are inter-related and other SDGs are also relevant to housing. Table 3 shows selected SDGs and targets that are perceived relevant to the Right to Adequate, Affordable Housing and slum upgrading as critical elements for inclusive and sustainable urbanization.

Extreme poverty is often concentrated in urban areas. Making cities safe and sustainable means ensuring access to safe and affordable housing and upgrading slum settlements. It also requires investment in public transport and improving urban planning and management in a way that is both participatory and inclusive.

Inadequate housing impacts negatively on urban equity and inclusion, urban safety and livelihood opportunities, and causes negative health conditions. The indicator on housing is measured by the notion of deprivation in three fundamental areas: slums, informal settlements and inadequate housing.

**Table 3 Selected SDGs and SDG 11 targets relevant to the Right to Adequate, Affordable Housing and Slum Upgrading**

SDG 1	End poverty in all its forms everywhere.
SDG 5	Achieve gender equality and empower all women and girls.
SDG 6	Ensure availability and sustainable management of water and sanitation for all
SDG 8	Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.
SDG 10	Reduce inequality within and among countries.
<b>SDG 11</b>	<b>Make cities and human settlements inclusive, safe, resilient and sustainable</b>
SDG 11.1	By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums
SDG 11.2	By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons.
SDG 11.3	By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries.
SDG 11.7	By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities.
SDG 11.C	Support least developed countries, including through financial and technical assistance, in building sustainable and resilient buildings utilizing local materials.

Housing is not adequate if its occupants do not have basic services and tenure security against forced evictions. It is not adequate if the house is not affordable, habitable, accessible, and physically and culturally appropriate. Data regarding housing is available from UN-Habitat's urban indicators database, but mostly limited to the slum and housing informality components.

## 1.6 Housing Approach in the New Urban Agenda (NUA)

Housing is also at the centre of transformative commitments for sustainable development in the New Urban Agenda (NUA). Specifically paragraphs 105-111 emphasize:

Paragraph 105 emphasizes fostering the progressive realization of the right to adequate housing as a component of the right to an adequate standard of living; developing and implementing housing policies at all levels and ensuring coherence among national, subnational and local development strategies, land policies and supply.

Paragraph 106 is on housing policies based on the principles of social inclusion, economic effectiveness and environmental protection. Use of Public resources for affordable and sustainable housing, would be supported and development of policies, tools, mechanisms and

financing models that promote access to a wide range of affordable, sustainable housing options would be encouraged.

Paragraph 107 encourages the development of policies, tools, mechanisms and financing models that promote access to a wide range of affordable, sustainable housing options, including rental and other tenure options, in order to improve the supply of housing, especially for low-income groups.

Paragraph 109 encourages increased allocations of financial and human resources, as appropriate for the slum upgrading, prevention of slums and informal settlements, with strategies that go beyond physical and environmental improvements to ensure that slums and informal settlements are integrated into social, economic, cultural and political dimensions of cities.

In paragraph 111 Member States pledged to promote the development of adequate and enforceable regulations in the housing sector, including resilient building codes, standards, land use; and to promote analysis of housing supply and demand based on high-quality, timely and reliable data at the national, subnational and local levels, taking into account social, economic, environmental and cultural dimensions.

## 2. Focus and scope of the evaluation

Although, housing is a core mandate of UN-Habitat, no impact evaluation has been conducted in this area. This evaluation will determine the effects/impacts brought about by the UN-Habitat Housing Approach in relation to provision of adequate, affordable housing and poverty reduction. The scope for the evaluation is the period from 2008 to 2019, covering both the programming of the MTSIP 2008-2013 and the Strategic Plan 2014-2019. While UN-Habitat's housing and slum upgrading have been implemented by UN-Habitat even before 2008, this evaluation focuses on the period after 2008 because that is when UN-Habitat clarified its focus to support and add value to international and national efforts on housing sector.

In addition to giving precedence to changes and impacts brought about by UN-Habitat's housing approach on individuals, institutions, societies and environment at the global, regional and national levels, the evaluation will also assess issues of gender equality and empowerment, human rights, youth engagement, and climate change as well as environmental and social safeguards. The Swedish International Development Agency (SIDA) is funding this impact evaluation. SIDA's mission is focused on poverty reduction as the overall goal for development cooperation. Since interventions supported by Sida should contribute to poverty reduction in one way or another, the Theory of Change (TOC) and analysis of the logic and formulation of evaluation questions should also indicate how the UN-Habitat Housing Approach has reduced poverty.

While the evaluation baseline is 2008, there are none or few quantitative baselines to support this evaluation. This poses a methodological problem of measuring change and inferring causality. This is major challenge for impact evaluations of interventions designed without baseline studies to describe the situation before the development intervention and to provide benchmarks against which change, and progress can be evaluated. Conducting such evaluations is difficult and depends on the evaluator's expert knowledge, methods used, and how intended beneficiaries and other stakeholders describe changes/benefits, attributed to interventions to have changed their situation, positively or negatively. It is therefore critical that this evaluation demonstrate effects which can be attributed to the Housing Approach.

## 3. Evaluation purpose and objectives

The purpose of this evaluation is to assess the changes or impacts of UN-Habitat's Housing Approach on adequate and affordable housing, and urban poverty reduction. The evaluation will provide evaluative lessons and recommendations that could be used to influence future decisions concerning UN-Habitat's housing approach, and to encourage the use of results-oriented approaches in current and future housing policies, strategies, programmes, projects and processes with the intent of achieving greater impact. The evaluation will also provide a basis for UN-Habitat's accountability to key stakeholders on the results and impact the Agency achieves. It will contribute to enhanced learning in the UN-Habitat and lead to continuous improvements. The evaluation findings could also help UN-Habitat to re-establish the role housing plays in stimulating economic development, bringing about poverty reduction, and to position housing problems on the international development agenda in a more strategic way. The target audience for this evaluation is UN-Habitat, SIDA and other key donors, UN-Habitat governing bodies and other partners and the general public

The specific objectives of the evaluation are:

1. To determine to **what extent identified changes in adequate and affordable housing and poverty reduction**, in identified countries, can be attributed to UN-Habitat's Housing Approach, policy frameworks, programmes and capacity building;
2. To determine to **what extent has UN-Habitat's Housing Approach influenced political commitment to adequate and affordable housing issues** at global, regional and country levels and assisted selected countries to deliver on such commitments;
3. To assess impact on vulnerable poor groups with the intent of assessing **how the housing approach has created better opportunities to improve the living standards** of poor people and ensure their housing rights;
4. To assess how other **cross-cutting issues** such as gender, youth, and climate change have been impacted by the UN-Habitat's Housing Approach;

5. To identify **lessons and make recommendations** on how the Housing Approach and related work could be modified to increase impact.

## 4. Evaluation questions

- i. What has been the main effects and impacts of UN-Habitat's Housing Approach in promoting adequate and affordable housing, and reducing urban poverty?
- ii. In what way has the Housing Approach contributed to access to land and housing; influenced national land and housing policies, strategies, capacity development, programmes, and resource allocation to address adequate and affordable housing needs and to promote sustainable urbanization?
- iii. What kind of changes to beneficiaries has resulted from UN-Habitat's Housing Approach, in regard to security of tenure to urban poor and slum dwellers?
- iv. To what extent were the comparative advantages of UN-Habitat applied in design and implementation to achieve maximum impacts?
- v. To what extent has the UN-Habitat Housing Approach contributed to realization of human rights in housing policies and actions?
- vi. To what extent were other inequalities and crossing cutting issues of gender inequality, youth and climate change reduced and impacted by the UN-Habitat Housing Approach?
- vii. To what extent is the housing approach supporting governments and civil society and bringing changes in Slum improvement and prevention?
- viii. To what extent is the Housing Approach coherent and informed by the SDGs and NUA; and complement housing approaches of other development partners?
- ix. Assess the added value of SIDA funding and to what extent is the Housing Approach consistent with the policies and priorities of SIDA?
- x. What are unintended changes and impacts that were brought by the Housing Approach?
- xi. What is the likelihood of sustainability transformational changes at national and local levels brought about by UN-Habitat Housing Approach?

## 5. Approach and Methodology

Different approaches will be applied for this evaluation. The starting point, for this evaluation is to construct a **Theory of Change (TOC)** that outlines how the UN-Habitat's Housing Approach is supposed to work and achieve its intended results and impact. This approach will help to forge a common understanding of how the Housing Approach impacts were to be achieved and help refine the evaluation questions. However, TOC approach, focusing on how the intervention is supposed to function gives precedence to what was achieved in relation to what was planned. To assess impact as a result of the Housing Approach this evaluation will also apply **User-Oriented approach**, to assess changes (impact) the approach had target groups (beneficiaries).

**System-Approach** will also be applied through mapping of stakeholders to help to understand the complexity of the UN-Habitat Housing Approach and to address contextual factors. **Value-Oriented Approach** will also be applied to address inequalities in gender inequality, realization of human rights and other equity considerations. Evidence of the impact of the work of UN-Habitat and partners on housing issues will also come from **case studies**.

### 6.1 Methodology

This will be an evidence-based and participatory evaluation. A mixed method approach that combine quantitative and qualitative data will be used and findings validated through a triangulation process. Quantitative data will provide perspectives and insights on housing sector performance. Data generated through a range of qualitative methods (interviews of key informants, discussion groups, observations, etc.) will be useful to understand why certain changes (results) have or have not been achieved. The evaluation will utilize both primary and secondary data sources. All methods will be inclusive of gender, and age sensitive.

The evaluation will be conducted in four consecutive phases: 1) the inception phase; 2) data collection phase; 3) data analysis; 4) report writing and verification phase.

Data for the evaluation will be collected through:

- Document reviews
- Surveys
- Case studies
- Semi structured informant interviews and focus group discussions
- Group meetings for consultations and validation of findings
- Field visits

## 6. Evaluation team composition and required competencies

The independent evaluation team will be composed of two consultant international experts. Essentially it will be a partnership of two experts: A housing policy expert and an impact evaluation expert. The evaluation team should work toward a common goal of ensuring that a well-designed impact evaluation is properly conducted, and it delivers results relevant to policy and programme design questions. The consultants are to apply individually.

The evaluators must have proven and extensive experience in impact evaluations and housing sector. Essentially, one expert should have proven capacity and strong methodological and analytical skills and solid knowledge of housing policy and the other should be an expert of impact evaluations.

In addition, the consultants should have:

- a) Extensive evaluation experience with ability to present credible findings derived from evidence and putting conclusions and recommendations supported by findings.
- b) Knowledge and understanding of UN-Habitat and its mandate.
- c) Over 10 years in results-based management and policy/ programme implementation experience
- d) Advanced academic degree in political sciences, statistics, social economy, governance, planning, similar relevant fields.
- e) Experience in housing sector in developing countries desirable.
- f) Fluent in English.

## 7. Stakeholders involvement

While some stakeholders will need to be contacted through interviews or surveys, to provide information to the evaluators, active participation of stakeholders goes beyond this, and may have cost and time implications. Therefore, participation of various stakeholders will be determined by legitimate interest in the evaluation as well as costs, timing and other practical aspects. However, evaluation will be designed to ensure the primary stakeholders that is target groups who benefit from the results of the Housing Approach – beneficiaries and those groups of people who may have been affected will be encouraged to constructively participate in the evaluation process and express their points of views.

## 8. Evaluation Management arrangements

Impartiality is an important principle of evaluation because it ensures credibility of the evaluation and avoids a conflict of interest. For this purpose, officers responsible for housing in UN-Habitat and for design and implementation of housing projects will not manage the evaluation process. **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. **The Housing and Slum Upgrading Branch and Programme Division** will be responsible for providing information and documentation required, and coordination with the relevant evaluation stakeholders.

An Evaluation Reference Group (ERG) will be established to oversee the evaluation process. Members of the ERG are proposed to include representatives from the Programme Division, Housing and Slum Upgrading Branch, Regional Offices, relevant Country Offices, GLTN Secretariat, Evaluation Unit, SIDA, and external experts in housing sector. The Reference Group will be responsible for reviewing and endorsing TOR and the main evaluation deliverables, including the inception report, drafts and final evaluation report with the intent of ensuring quality, credibility and utility of the evaluation.

Responsibilities of the ERG will include:

- Acting as source of knowledge for the evaluation;
  - Acting as informant of the evaluation process;
  - Assisting in identifying other stakeholders to be consulted during the evaluation process;
  - Playing a key role in promoting use of evaluation findings;
  - Participating in meetings of the reference group;
  - Providing inputs and quality assurance on the key evaluation products: TOR, inception report and draft evaluation report; and
  - Participating in validation meeting of the final evaluation report.
- Context of evaluation
  - Purpose, objectives and scope of the evaluation
  - Theory of Change (Reconstruction of Intervention logic)
  - Approach and Methodology for the evaluation
  - Evaluation Questions and evaluation criteria
  - Data collection and analysis methods
  - Stakeholder mapping
  - Consultation arrangements to maximize the relevance, credibility, quality and uptake of the evaluation
  - Field visit approach
  - Work plan and timelines of evaluation

Other key stakeholders may be consulted at milestones in the evaluation process either through mail correspondence or through participation in arranged meeting(s), interviews, and surveys.

## 9. Provisional Work Schedule

The evaluation will be conducted for four paid months spread over six months: June to November 2019. The table below indicates timelines and expected deliverables for the evaluation process.

## 10. Key Deliverables

The three primary deliverables for this evaluation are:

- (i) **Inception Report.** 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:

- (ii) **Draft Evaluation Report.** The draft should follow UN-Habitat's standard format for evaluation reports (to be provided).

- (iii) **Final Evaluation Report.** In general, the report should be technically easy to comprehend for non-specialists, containing detailed lessons learned and recommendations.

## 11. Resources and Payment

The consultant fees and DSA will be paid on the basis of UN terms and conditions for consultants, taking into account experience and qualifications. The consultants will be paid professional fee. DSA will be only paid when working outside their duty station. Travel costs of the consultants (airplane ticket economy class), will be covered by UN-Habitat.

Item	Description	Timeframe
1	Vacancy Announcement and Recruitment of the evaluation Team	June 2019
2	Inception phase, including formal document review, development of inception report	July 2019
3	Data collection phase: Collection of data through interviews, projects analysis, surveys, etc.	July – August 2019
4	Data analysis and synthesis	August- September 2019
5	Report writing	October - November 2019
6	Report review and completion	December 2019



## Annex 2: Key Aspects of The Right to Adequate Housing<sup>3</sup>

### The obligations of the international community

The obligations of the international community (a term which encompasses all States and international agencies) towards the realization of the right to adequate housing are more extensive than is generally assumed.

For example, under Articles 55 and 56 of the Charter of the United Nations and in accordance with well-established principles of international law, international cooperation for the realization of economic, social and cultural rights is an obligation of all States. This responsibility is particularly incumbent upon those States which are in a position to assist others in this regard.

Similarly, the 1986 Declaration on the Right to Development emphasizes that in the absence of an active programme of international, technical and financial assistance and cooperation, the full realization of economic, social and cultural rights will remain an unfulfilled aspiration in many countries.

In more specific terms, related to the right to adequate housing, the international community as a whole is legally obligated to ensure protection of this right through a number of measures, such as:

Refraining from coercive measures designed to force a State to abrogate or infringe its housing rights obligations; Providing financial or other assistance to States affected by natural, ecological or other disasters, resulting in, *inter alia*, the destruction of homes and settlements;

Ensuring the provision of shelter and/or housing to displaced persons and international refugees fleeing persecution, civil strife, armed conflict, droughts, famine, etc.;

Responding to abject violations of housing rights carried out in any State; and

Diligently reaffirming the importance of the right to adequate housing, at regular intervals, and ensuring that newly adopted legal texts do not in any way detract from existing levels of recognition accorded to this right.

### The entitlements of housing rights

One of the barriers to achieving housing rights has been the absence of a universally recognized definition of the set of entitlements comprising this norm. This hurdle was perhaps more the result of perception than genuine legal analysis. In recent times, a number of steps have been taken to refine legal approaches to this matter.

Most notably, General Comment No. 4, of the Committee on Economic, Social and Cultural Rights, on the Right to Adequate Housing defines this right as being comprised of a variety of specific concerns. Viewed in their entirety, these entitlements form the core guarantees which, under international law, are legally vested in all persons.

#### 1. Legal security of tenure

All persons should possess a degree of security of tenure which guarantees legal protection against forced eviction, harassment and other threats. Governments should consequently take immediate measures aimed at conferring legal security of tenure upon those households currently lacking such protection. Such steps should be taken in genuine consultation with affected persons and groups.

#### 2. Availability of services, materials and infrastructure

All beneficiaries of the right to adequate housing should have sustainable access to natural and common resources, clean drinking water, energy for cooking, heating and lighting, sanitation and washing facilities, food storage facilities, refuse disposal, site drainage and emergency services.

#### 3. Affordable housing

Personal or household costs associated with housing should be at such a level that the attainment and satisfaction of other basic needs are not threatened or compromised. Housing subsidies should be available for those unable to obtain affordable housing, and tenants should be protected from unreasonable rent levels or rent increases. In societies where natural materials constitute the chief sources of building materials for housing, steps should be taken by States to ensure the availability of such materials.

#### 4. Habitable housing

Adequate housing must be habitable. In other words, it must provide the inhabitants with adequate space and protect them from cold, damp, heat, rain, wind or other threats to health, structural hazards and disease vectors. The physical safety of occupants must also be guaranteed.

#### 5. Accessible housing

Adequate housing must be accessible to those entitled to it. Disadvantaged groups must be accorded full and sustainable access to adequate housing resources. Thus, such disadvantaged groups as the elderly, children, the physically disabled, the terminally ill, HIV-positive individuals, persons with persistent medical problems, the mentally ill, victims of natural disasters, people living in disaster-prone areas and other vulnerable groups should be ensured some degree of priority consideration in the housing sphere. Both housing law and policy should take fully into account the special housing, needs of these groups.

#### 6. Location

Adequate housing, must be in a location which allows access to employment options, health care services, schools, child care centres and other social facilities. Housing should not be built on polluted sites nor in immediate proximity to pollution sources that threaten the right to health of the inhabitants.

#### 7. Culturally adequate housing

The way housing is constructed, the building materials used and the policies underlying these must appropriately enable the expression of cultural identity and diversity. Activities geared towards development or modernization in the housing sphere should ensure that the cultural dimensions of housing are not sacrificed.

These extensive entitlements reveal some of the complexities associated with the right to adequate housing. They also show the many areas which must be fully considered by States with legal obligations to satisfy the housing rights of their population. Any person, family, household, group or community living in conditions in which these entitlements are not fully satisfied, could reasonably claim that they do not enjoy the right to adequate housing as enshrined in international human rights law.

## Annex 3: Figures on Housing Projects Portfolio

**Table 1: Global programme portfolio per intervention area**

Programme/Project theme	Total budget	Budget %	Total no.	% of total no.
Post disaster and post conflict interventions	525,265,712	19.9%	297	12.4%
Resilience DRR and CCA	134,098,088	5.1%	112	4.7%
Land	164,869,579	6.3%	95	4.0%
Urban governance, finance or planning	582,365,726	22.1%	622	26.0%
Water, sanitation and basic services	256,361,167	9.7%	177	7.4%
Slums	179,135,074	6.8%	122	5.1%
Housing	173,154,405	6.6%	176	7.4%
others	620,082,460	23.5%	788	33.0%
<b>Total</b>	<b>2,635,332,211</b>	<b>100.0%</b>	<b>2,389</b>	<b>100.0%</b>

**Table 2: Automated categorization of housing and slum upgrading programmes (number and proportion)**

Normative programmes on housing framework reform	41	8.6%
Slum upgrading and prevention programmes	89	18.8%
Post crisis interventions (disaster and conflicts, IDPs, refugees, returnees, conflict affected...)	135	28.5%
Land related programmes	42	8.9%
Programmes focusing on gender related issues	9	1.9%
Other housing related programmes	44	9.3%
Identified as non-directly related to the Housing Approach (CPI, safer cities, urban resilience, local economy, ....)	114	24.1%
<b>Total</b>	<b>474</b>	<b>100.10%</b>

**Table 3: Global programme portfolio per region of implementation**

Region of implementation	Number of Projects	Number %	Total budget (USD)	Budget %
Africa	498	21.07%	455,243,429	20.85%
Arab States	234	10.02%	442,775,563	9.79%
Asia & the Pacific	466	19.78%	843,458,945	19.51%
Europe & North America	61	2.46%	25,946,641	2.55%
Latin America & the Caribbean	177	7.38%	109,918,753	7.41%
Multi-country	201	8.55%	247,193,358	8.41%
GLOBAL	752	30.74%	510,795,522	31.48%
<b>Total</b>	<b>2389</b>	<b>100.00%</b>	<b>2,635,332,211</b>	<b>100.00%</b>

**Table 4: Global Programme portfolio per intervention area and region (in programmes budget)**

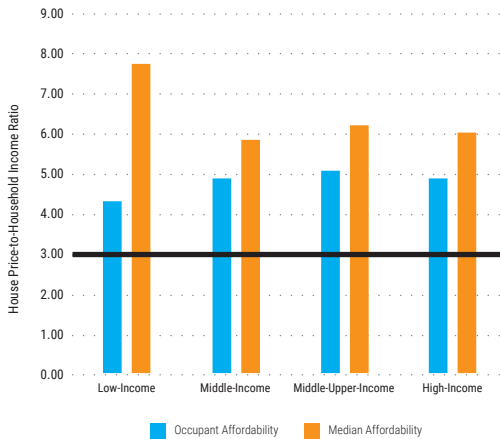
	Africa	Arab States	Asia & the Pacific	Latin America & the Caribbean	Europe & North America	Global	Multi-country	TOTAL
Housing	31.78	42.25	69.51	6.95	2.42	11.11	9.13	173.15
Land	37.10	5.42	14.82	2.00	0.27	54.57	50.68	164.87
Post disaster and post conflict interventions	112.12	103.06	195.07	23.34	13.10	124.90	48.49	620.08
Resilience DRR and CCA	19.50	40.32	32.43	0.63	0.00	14.85	26.36	134.10
Slums	18.59	4.53	102.95	2.71	0.00	50.23	0.14	179.14
Urban governance, finance or planning	73.65	74.51	135.80	47.73	9.75	172.69	68.24	582.37
Water, sanitation and basic services	76.25	15.12	67.64	1.03	0.07	77.22	19.03	256.36
others	112.12	103.06	195.07	23.34	13.10	124.90	48.49	620.08
	481.11	388.28	813.27	107.74	38.71	630.47	270.57	

## Annex 4: Housing Affordability

An analysis of housing affordability over the last 20 years reveals that despite increasing demand, housing, both ownership and rental, has remained unaffordable for large sections of the world's population—in developing as well as developed regions—irrespective of income level as shown in Figure 1 and Figure 2. The two figures show two measures of housing affordability: (i) *occupant affordability*: a measure of the relative housing

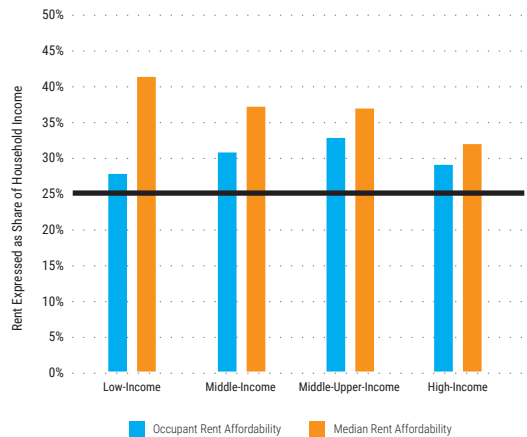
affordability for the typical household that occupies a specific dwelling, whether in the formal, public, private or informal housing sectors; and (ii) *median affordability*: a measure of the ability of the median income household in a given city to acquire a typical unit in the formal private housing sector.<sup>4</sup> Housing is considered unaffordable if the purchase price is more than three times the households income as shown in Figure 1; or if the rental cost is over 25% of household income as shown in Figure 2.

**Figure 1: Regardless of GDP, housing is unaffordable (house price-to-income ratio higher than 3.0)**



Source: Acioly Jr., 2019

**Figure 2: Regardless of GDP, rental housing is unaffordable (over 25% of household income committed to housing)**



Source: Acioly Jr., 2019

The unaffordability of housing supplied by the formal sector is one of the main reasons why large proportions of urban dwellers continue to live in slums and informal settlements, which provide them with housing, albeit inadequate, supplied primarily by the informal sector that is within their means. Improving access to adequate housing will require not only increasing affordability by reducing housing prices, but also by reducing poverty.

## Annex 5: Evaluation Questions

1. What has been the main effects and impacts of UN-Habitat's Housing Approach in promoting adequate and affordable housing, and reducing urban poverty?
2. In what way has the Housing Approach contributed to access to land and housing; influenced national land and housing policies, strategies, capacity development, programmes, and resource allocation to address adequate and affordable housing needs and to promote sustainable urbanization?
3. What kind of changes to beneficiaries has resulted from UN-Habitat's Housing Approach, in regard to security of tenure to urban poor and slum dwellers?
4. To what extent were the comparative advantages of UN-Habitat applied in design and implementation to achieve maximum impacts?
5. To what extent has the UN-Habitat Housing Approach contributed to realization of human rights in housing policies and actions?
6. To what extent were other inequalities and crossing cutting issues of gender inequality, youth and climate change reduced and impacted by the UN-Habitat Housing Approach?
7. To what extent is the housing approach supporting governments and civil society and bringing changes in Slum improvement and prevention?
8. To what extent is the Housing Approach coherent and informed by the SDGs and NUA; and complement housing approaches of other development partners?
9. Assess the added value of SIDA funding and to what extent is the Housing Approach consistent with the policies and priorities of SIDA?
10. What are unintended changes and impacts that were brought by the Housing Approach?
11. What is the likelihood of sustainability transformational changes at national and local levels brought about by UN-Habitat Housing Approach?

## Annex 6: Evolution of the Housing Approach

### Housing Approach Milestones

Milestone	Key Development(s)	Remarks
1975 United Nations Habitat and Human Settlements Foundation	<ul style="list-style-type: none"> <li>United Nations Habitat and Human Settlements Foundation established – first official UN body dedicated to urbanization.</li> <li>Tasked to assist national programmes relating to human settlements through the provision of capital and technical assistance, particularly in developing countries.</li> </ul>	<ul style="list-style-type: none"> <li>This marked the recognition of the challenges that urbanization was presents and set the foundation for the present-day UN-Habitat.</li> </ul>
1976 First United Nations Conference on Human Settlements (Habitat I)	<ul style="list-style-type: none"> <li>Put the problems of urbanization and the world's rapidly growing cities on the international agenda.</li> <li>Formal acceptance of new housing paradigm: (a) Recognition of Slums; (b) Self-help Housing</li> </ul>	<ul style="list-style-type: none"> <li>World urban population – 37.9%</li> <li>First major UN conference on human settlements.</li> <li>This was arguably the naissance of the 'twin track' approach.</li> </ul>
1976 Vancouver Declaration on Human Settlements	<ul style="list-style-type: none"> <li>Recommended that: "A major part of housing policy efforts should consist of programmes and instruments which actively assist people in continuing to provide better quality housing for themselves, individually or cooperatively."</li> <li>Recommended that: Governments should concentrate on the provision of services and on the physical and spatial reorganization of spontaneous settlements [slums] in ways that encourage community initiative and link "marginal" groups to the national development process.</li> </ul>	<ul style="list-style-type: none"> <li>The Declaration states that "adequate shelter and services are a basic human right".</li> <li>This marked the beginning of adoption of the slum upgrading as an approach to improving the housing conditions of people living in slums and informal settlements and proving them with adequate, affordable housing.</li> </ul>
1977 United Nations Commission on Human Settlements and United Nations Centre for Human Settlements (Habitat)/ UNCHS(Habitat) .	<ul style="list-style-type: none"> <li>UNGA resolution 32/162 of 19 December 1977 established the two bodies, with the former providing overall direction to the latter, which was to serve as a focal point and coordinate human settlements action and activities within the UN system.</li> <li>The mandate of UNCHS (Habitat) was two-fold: <ol style="list-style-type: none"> <li>Global, as focal point for international cooperation in the field of human settlements whose task was to "...promote the integral concept of human settlements and a comprehensive approach to human settlements problems in all countries..." its normative mandate; and</li> <li>National: to "...assist countries and regions in increasing and improving their own efforts to solve human settlements problems..." and "... to execute human settlements projects..." – its operational mandate.</li> </ol> </li> </ul>	<ul style="list-style-type: none"> <li>Its twin normative and operational mandates established the basis for UN-Habitat's current Housing Approach</li> </ul>

	Milestone	Key Development(s)	Remarks
1987	International Year of Shelter for the Homeless (IYSH)	<p>UNCHS (Habitat) was responsible for organizing and coordinating the activities for IYSH, which had four goals reflecting normative and operational approaches:</p> <ul style="list-style-type: none"> <li>● to secure the renewed political commitment of the international community to the improvement of the shelter and neighbourhoods of the poor and disadvantaged and to the provision of shelter for the homeless;</li> <li>● to consolidate and share new and existing knowledge and relevant experience gained since Habitat I;</li> <li>● to develop and demonstrate new approaches and methods to support the self-help housing efforts of the homeless, poor and disadvantaged, and inform new national policies and strategies for improving shelter and neighbourhoods of the poor and disadvantaged by the year 2000;</li> <li>● to exchange experiences and provide support among countries to meet the objectives of the Year.</li> </ul>	<ul style="list-style-type: none"> <li>● IYSH launched a new major initiative to stimulate effective action at the national and international levels to improve the shelter conditions of the homeless, the poor and the disadvantaged throughout the world.</li> <li>● During the period from 1983 to the end of 1987 many governments made new commitments to ameliorate the inadequate shelter conditions of the poor and took serious steps towards adopting new or revised strategies and policies to that end.</li> </ul>
1988	Global Shelter Strategy to the Year 2000 (GSS 2000)	<ul style="list-style-type: none"> <li>● Main objective to facilitate adequate shelter for all by the year 2000.</li> <li>● UNCHS (Habitat) assigned role of:</li> <li>● co-ordinating agency in the implementation of the GSS;</li> <li>● stimulating international and national action by incorporating the GSS in its future medium-term plans and biennial work programmes.</li> <li>● co-ordinating and monitoring the relevant programmes and activities of other UN organizations and agencies concerned.</li> <li>● co-ordinating the formulation and implementation of the GSS at the global, regional and national levels; and ensuring that account is taken of regions' and countries' specific features and needs.</li> </ul>	<ul style="list-style-type: none"> <li>● XXX countries signed up to the GSS</li> <li>● XXX countries produced national housing strategies to address their respective housing challenges which in many developing countries was caused by lack of affordable housing and the urbanization of poverty, manifested most conspicuously in the proliferation and expansion of slums and informal settlements.</li> </ul>
1993	Commission on Human Settlements resolution 14/6 on "The Human Right to Adequate Housing,"	<ul style="list-style-type: none"> <li>● First time Commission on Human Settlements comprehensively addressed the human rights implications of housing within a single resolution.</li> <li>● Provided UNCHS (Habitat) with a comprehensive mandate to pursue the promotion and realization of housing rights.</li> </ul>	<ul style="list-style-type: none"> <li>● Set in motion the preparation of a strategic report for promoting the right to adequate housing.</li> </ul>

	Milestone	Key Development(s)	Remarks
1996	Second United Nations Conference on Human Settlements (Habitat II)	<ul style="list-style-type: none"> <li>● Twin goals of achieving adequate shelter for all and ensuring the sustainable development of human settlements.</li> <li>● Reaffirmed the commitment to the full and progressive realization of the right to adequate housing.</li> </ul>	<ul style="list-style-type: none"> <li>● World urban population – 45.1%</li> </ul>
1996	The Istanbul Declaration	<ul style="list-style-type: none"> <li>● Adopted the enabling strategy and principles of partnership and participation as the most democratic and effective approach for the realization of commitments.</li> </ul>	<ul style="list-style-type: none"> <li>● Governments endorsed; “the universal goals of ensuring adequate shelter for all and making human settlements safer, healthier, more liveable, equitable, sustainable and more productive”.</li> </ul>
1996	The Habitat Agenda	<ul style="list-style-type: none"> <li>● Adopted the goals and principles of adequate shelter for all and sustainable human settlements development in an urbanizing world; and set out commitments and a global plan of action.</li> <li>● Commitments:               <ol style="list-style-type: none"> <li>a) Adequate shelter for all: commitment to the full and progressive realization of the right to adequate housing.</li> <li>b) Sustainable human settlements: commitment to the goal of sustainable human settlements in and urbanizing world.</li> <li>c) Enablement and participation: commitment to the strategy of enabling all key actors in the public, private and community sectors to play an effective role – at the national, state/provincial, metropolitan and local levels – in human settlements and shelter development.</li> <li>d) Gender equality: commitment to the goal of gender equality in human settlements development.</li> <li>e) Financing shelter and human settlements: commitment to financing the implementation of the Habitat Agenda.</li> <li>f) International cooperation: commitment to enhancing international cooperation and partnership that will assist the implementation of national plans of action and the global plan of action.</li> <li>g) Assessing progress: commitment to observing and implementing the Habitat Agenda and monitoring progress towards the goal.</li> </ol> </li> </ul>	<ul style="list-style-type: none"> <li>● UNCHS (Habitat) responsibilities affirmed as including, inter alia, coordination and assisting States in implementation of the Habitat Agenda</li> <li>● These commitments remain valid and are reflected in the Housing Approach,</li> </ul>



Year	Milestone	Key Development(s)	Remarks
1997	Global Urban Observatory (GUO)	<ul style="list-style-type: none"> <li>● Established by UN-Habitat, in response to the Habitat Agenda and Resolutions 15/6 and 17/1 of the United Nations Commission on Human Settlements, which called for a mechanism to monitor global progress in implementing the Habitat Agenda and to monitor and evaluate global urban conditions and trends.</li> <li>● GOU was aimed to work by:</li> <li>● Capacity building for Participation, Enablement, Partnership, Networking, Transfer of expertise and experience.</li> <li>● Providing tools for: Urban data collection and management; Data analysis and presentation: Application of data in decision making; -</li> <li>● Assisting partners through the Urban Indicators Programme, the Best Practices and Local Leadership Programme.</li> <li>● Building networks of Regional and national urban observatories, Local urban observatories, Regional/national capacity-building institutions, National and local policy makers, professional associations.</li> </ul>	●
1999	<p>New organisational vision and strategy endorsed by the Commission on Human Settlements through its resolution 17/7, 'Revitalization of the Habitat Centre'.</p> <p>(initiated by Dr. N'Dow, Mr. Johal and Dr. Toepfer following Habitat II)</p>	<ul style="list-style-type: none"> <li>● New organisational vision and strategy with three objectives:               <ol style="list-style-type: none"> <li>1) A new strategy entailing adoption of a 'global advocacy' approach;</li> <li>2) A substantive focus in UNCHS (Habitat)'s activities; and</li> <li>3) Strengthening of UNCHS (Habitat)'s normative functions and of their linkage with operational activities.</li> </ol> </li> <li>● New strategic vision embodied in work programme and budget for the biennium 2000–2001 and implemented through two subprogrammes: 'Adequate shelter for all' and 'Sustainable urban development'.</li> <li>● 'Global Campaign for Secure Tenure' and 'Global Campaign on Urban Governance' launched as part of global advocacy objective</li> </ul>	●
2000	United Nations Millennium Declaration	<ul style="list-style-type: none"> <li>● Poverty and slums placed on the international agenda.</li> <li>● Resolved that: By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers as proposed in the "Cities Without Slums" initiative.</li> </ul>	●

	Milestone	Key Development(s)	Remarks
2001	Millennium Development Goals (MDGs)	<ul style="list-style-type: none"> <li>● UN Millennium Declaration goals introduced as Millennium Development Goals (MDGs) in Road map towards the implementation of the United Nations Millennium Declaration</li> <li>● Target 11. By 2020 to have achieved a significant improvement in the lives of at least 100 million slum dwellers.</li> <li>● UNCHS (Habitat) focal point, within the UN system for the implementation and monitoring of MDG 7 Target 11.</li> <li>● <i>UN-Habitat's Strategy for the Implementation of the Millennium Development Goal 7, Target 11</i></li> </ul>	●
2001	Istanbul +5 Summit	<ul style="list-style-type: none"> <li>● Renewed commitment of Member States to the Habitat Agenda and the twin principles of adequate shelter for all and sustainable human settlements development.</li> <li>● Adopted resolution on S-25/2. Declaration on Cities and Other Human Settlements in the New Millennium</li> </ul>	●
2001	Declaration on Cities and Other Human Settlements in the New Millennium	<ul style="list-style-type: none"> <li>● Reaffirmed governments' commitment to implement the Istanbul Declaration and the Habitat Agenda.</li> <li>● Recognized that the overall thrust of the new strategic vision of UNCHS (Habitat) and its emphasis on the two global campaigns on secure tenure and urban governance are strategic points of entry for the effective implementation of the Habitat Agenda.</li> <li>● Reconfirmed the role of UNCHS (Habitat) in advocating, promoting, monitoring and assessing progress in implementation of the goals of adequate shelter for all by and sustainable human settlements development in all countries; and advancing the normative debate and operational action on major human settlements issues, inter alia, by regular publication of global flagship reports.</li> </ul>	●
2002	United Nations Human Settlements Programme (UN-Habitat)	<ul style="list-style-type: none"> <li>● Resolution 56/206: Strengthening the mandate and status of the Commission on Human Settlements and the status, role and functions of the United Nations Centre for Human Settlements:</li> <li>● Transformed UNCHS (Habitat) into the United Nations Human Settlements Programme (UN-Habitat) effective 1st January 2002.</li> <li>● Reaffirmed UN-Habitat as the focal point for human settlements and for the coordination of human settlements activities within the UN; and as the UN focal point for the implementation of the Habitat Agenda</li> </ul>	●

2002	Milestone	Key Development(s)	Remarks
2002	First World Urban Forum (WUF1)	<ul style="list-style-type: none"><li data-bbox="413 272 628 291">● Main objectives of WUF:</li><li data-bbox="413 329 723 376">● Advocate for and raise awareness of sustainable urban development.</li><li data-bbox="413 405 814 481">● Advance knowledge on sustainable urbanization through open and inclusive debates and exchange of experiences and best practices.</li><li data-bbox="413 510 763 578">● Encourage cooperation within and among the different groups for the follow-up and implementation of the Habitat Agenda.</li></ul>	●

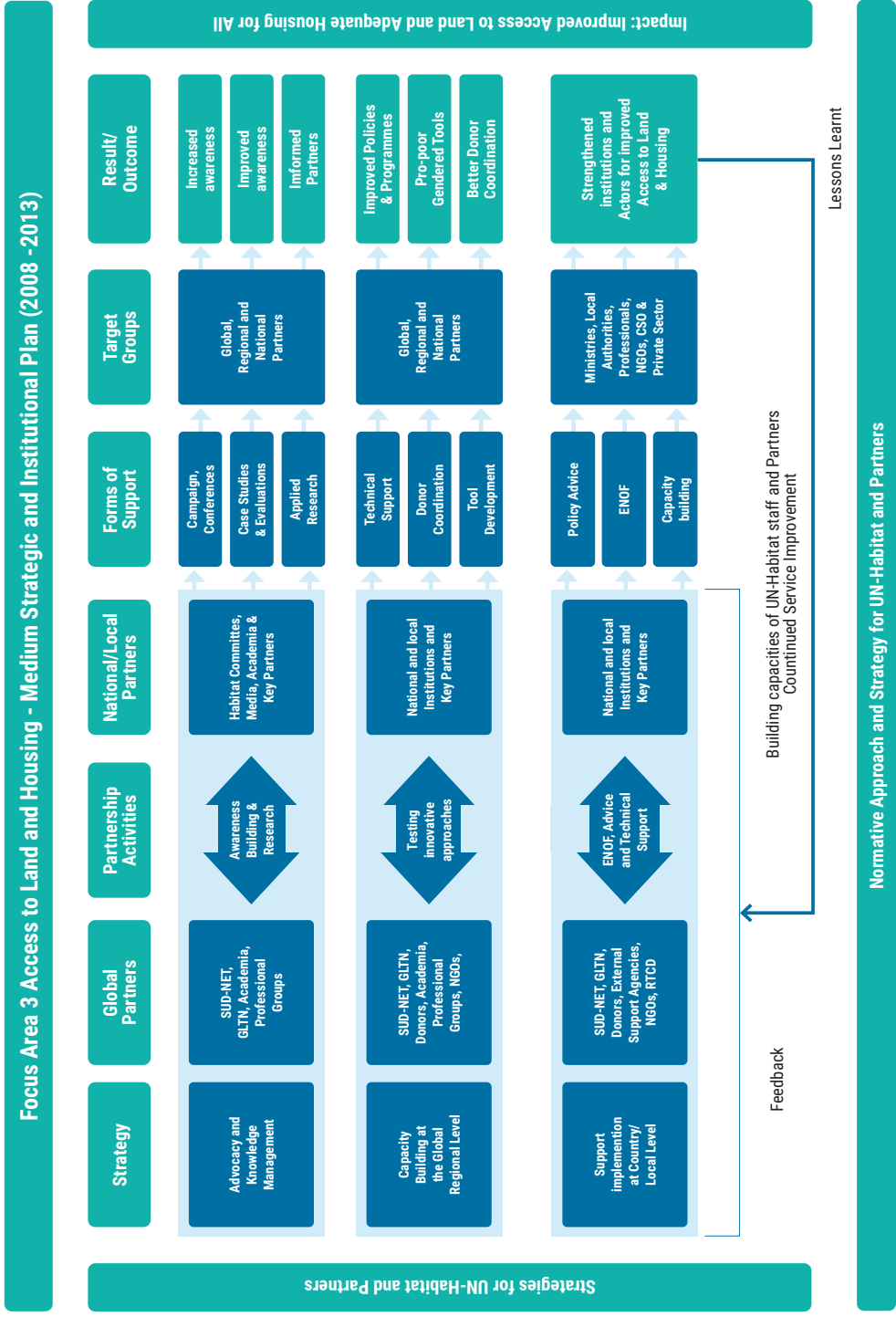
2002	Milestone	Key Development(s)	Remarks
2002	Medium-term Plan 2002-2005	<ul style="list-style-type: none"> <li data-bbox="416 266 806 314">● Reflected significant changes in the status, structure, role and function of UN-Habitat, but..</li>   <li data-bbox="416 342 806 418">● Main mandate remained: provision of adequate shelter for all and development of sustainable human settlements.</li>   <li data-bbox="416 447 806 599">● Overall goal continued to be: improvement of the living and working environment for all through more effective, participatory and transparent management and development of human settlements, within overall context of reducing urban poverty and social exclusion.</li>   <li data-bbox="416 628 806 799">● Strategy of UN-Habitat for biennium 2004-2005 reorganized around four subprogrammes, corresponding to main recommendations of Habitat II Conference and Habitat Agenda, Millennium Declaration and Declaration on Cities and Other Human Settlements in the New Millennium, with the following objectives: <ul style="list-style-type: none"> <li data-bbox="436 828 806 952">● Subprogramme 1: Shelter and sustainable human settlements development: to improve the shelter conditions of the world's poor and to ensure sustainable human settlements development;</li> <li data-bbox="436 980 806 1075">● Subprogramme 2: Monitoring the Habitat Agenda: to ensure implementation of the Habitat Agenda is effectively monitored and assessed;</li> <li data-bbox="436 1104 806 1304">● Subprogramme 3: Regional and technical cooperation: to strengthen organizational and technical capacity at national and local levels for formulation and implementation of policies, strategies and programmes, in line with the Habitat Agenda and Declaration on Cities and other Human Settlements in the New Millennium;</li> <li data-bbox="436 1332 806 1487">● Subprogramme 4 – Financing human settlements: to increase funds from the international and domestic sources in support of shelter, related infrastructure development programmes and housing finance institutions and mechanisms, particularly in developing countries.</li> </ul> </li> </ul>	●

Year	Milestone	Key Development(s)	Remarks
2003	Proposed Medium-Term Plan 2006-2009	<ul style="list-style-type: none"> <li>● Continue to have as its aim:</li> <li>● promoting the adoption and implementation of effective residential tenure systems and shelter development and upgrading policies;</li> <li>● improvement of urban governance and management systems so as to enable local authorities more effectively to meet the rising demand for basic services;</li> <li>● improved monitoring of the implementation of the Habitat Agenda;</li> <li>● enhanced international cooperation in shelter and sustainable human settlements development</li> <li>● Retained the four existing subprogrammes (above).</li> </ul>	<ul style="list-style-type: none"> <li>●</li> </ul>
2005	In-depth evaluation of UN-Habitat by Office of the Internal Oversight Services (IOS)	<ul style="list-style-type: none"> <li>● Commended achievements of UN-Habitat – but given its broad mandate and limited resources, recommended sharpening of UN-Habitat's focus in order to have greater impact.</li> </ul>	<ul style="list-style-type: none"> <li>●</li> </ul>
2005	20th Session of the Governing Council of UN-Habitat (GC)	<ul style="list-style-type: none"> <li>● GC requested UN-Habitat to prepare a comprehensive Medium-Term Strategic and Institutional Plan (MTSIP) for 2008-2013, aimed to:               <ol style="list-style-type: none"> <li>1. sharpen the focus of the work of UN-Habitat and broaden its funding base;</li> <li>2. strengthen programme alignment and coherence,</li> <li>3. apply results-based management to enhance value for money, transparency and accountability</li> </ol> </li> </ul>	<ul style="list-style-type: none"> <li>● This was the basis for the development of the MTSIP, which also led to restructuring of UN-Habitat in order to implement the MTSIP more efficiently and effectively and achieve great impact.</li> </ul>
2007	Resolution 21/2: Medium-term strategic and institutional plan for 2008–2013	<ul style="list-style-type: none"> <li>● Adoption of Results-Based Management (RBM) as the management approach for implementing and achieving the results of the MTSIP</li> </ul>	<ul style="list-style-type: none"> <li>●</li> </ul>
2008	Mid-Term Strategic and Institutional Plan (MTSIP) 2008-2013	<p>MTSIP had six focus areas (FAs):</p> <p>FA 1: Advocacy, Monitoring and Partnership for Sustainable Urbanization</p> <p>FA 2: Urban Planning, Management and Governance</p> <p>FA 3: Promotion of Pro-poor Land and Housing</p> <p>FA 4: Environmentally Sound Basic Urban Infrastructure and Services</p> <p>FA 5: Strengthened Human Settlements Finance Systems</p> <p>FA 6: Excellence in Management</p>	<ul style="list-style-type: none"> <li>● Focus Area 3 Policy and Strategy Paper: Access to Land and Housing for All comprehensively articulated the Housing Approach; but it appears to not have been widely adopted and implemented.</li> </ul>

	Milestone	Key Development(s)	Remarks
2008	MTSIP Action Plan	<p>MTSIP Action Plan had four objectives:</p> <ol style="list-style-type: none"> <li>1. To prepare and implement an enhanced normative and operational framework (ENOF).</li> <li>2. Implement by 2011 a results-based management (RBM) and knowledge management system as part of an enterprise resource planning system.</li> <li>3. To develop and implement a resource mobilisation and communication strategy.</li> <li>4. To realign by 2011 human resources, managerial and administrative systems to effectively scale up the implementation of the MTSIP</li> </ol>	Key elements of a vision and timeframe for implementing the MTSIP.
2011	Global Housing Strategy to the Year 2025 (GHS 2025)	Seeks to integrate housing with other urban uses, promoting system-wide reforms to enable wider access to adequate housing solutions, and strengthening linkages between housing, the economy, employment and poverty reduction, among other things.	
2014	World Urban Forum (WUF 7)	<p>National, regional and world urban forums.</p> <p>Governments, private sector, international organizations, academia, professionals and CSOs reaffirm the commitment to integrate urban equity into the development agenda – Outcome: The Medellín Declaration.</p>	
2014	UN-Habitat Strategic Plan 2014-2019	<p>Goal: Well-planned, well-governed and efficient cities and other human settlements with adequate infrastructure and universal access to employment, land and basic services, including housing, water, sanitation, energy and transport.</p> <p>The Strategic Plan had 7 Focus Areas: 1) Urban Legislation, Land and Governance; 2) Urban planning and design; 3) Urban Economy; 4) Urban Basic Services; 5) Housing and Slum Upgrading; 6) Risk Reduction and Rehabilitation; 7) Research and Capacity Development</p> <p>Four programme areas prioritized: 1) Urban Legislation, Land and Governance; 2) Urban Planning and Design; 3) Urban Economy; 4) Urban Basic Services.</p>	
2015	2030 Sustainable Development Agenda and Sustainable Development Goals (SDGs)	<p>Sustainable Development Agenda operationalized through 17 goals and 169 targets covering economic, social, and environmental dimensions of development.</p> <p>SDG Target 11.1: Ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums.</p>	The SDG's build on the MGs launched in 2000.
2016	United Nations Conference on Housing and Sustainable Urban Development (Habitat III)	<p>Took place in Quito, Ecuador, from 17 – 20 October 2016</p> <p>The first UN global summit after the adoption of the 2030 Agenda for Sustainable Development and the SDGs.</p>	<p>World urban population – 54.5%</p> <p>Brought together around 30,000 participants from 167 countries as well as from several UN agencies.</p>

2016	Milestone	Key Development(s)	Remarks
2016	New Urban Agenda (NUA)	The outcome document unanimously adopted at Habitat III – articulating a new vision for our cities and municipalities for the next 20 years.	The NUA envisages cities that fulfil their social function with a view to progressively achieving the full realization of the right to adequate housing.
2016	Housing at the Centre (H@C) approach,	Promotes access to adequate housing for all in the context of planned urbanization and the NUA 'Three-Pronged approach' (3PA) to urban development: (1) Urban Legislation; (2) Urban planning and design; and (3) Urban finance.	The H@C repositioned housing at the centre of the NUA and it regained prominence within UN-Habitat.

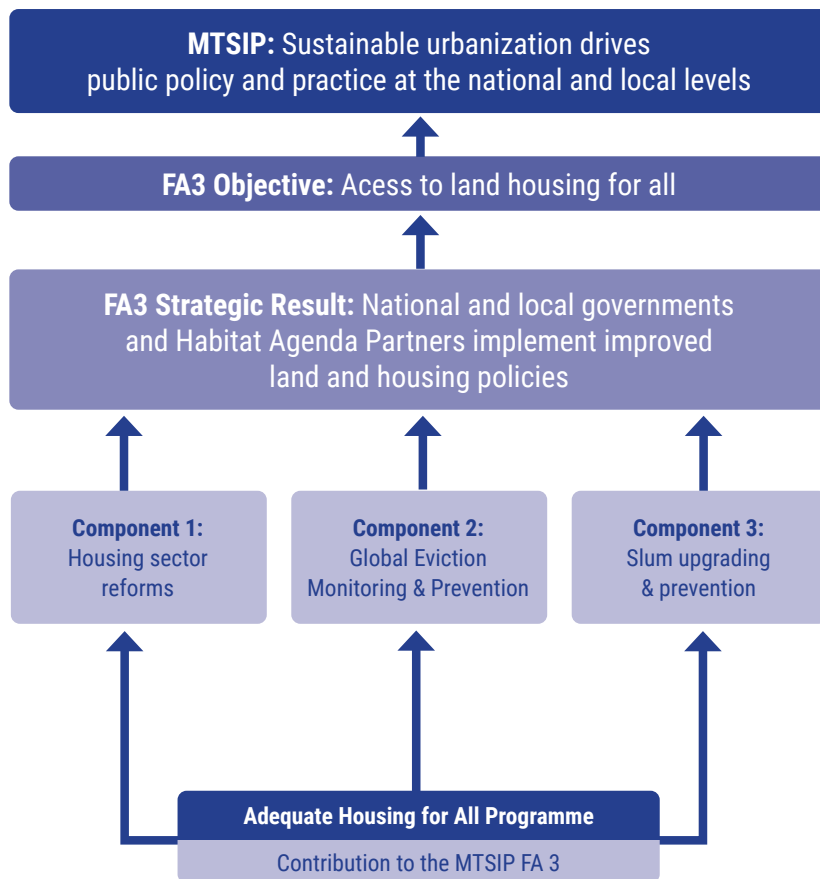
# Annex 7: Summary of UN-Habitat's Approach and Strategy to Land and Housing





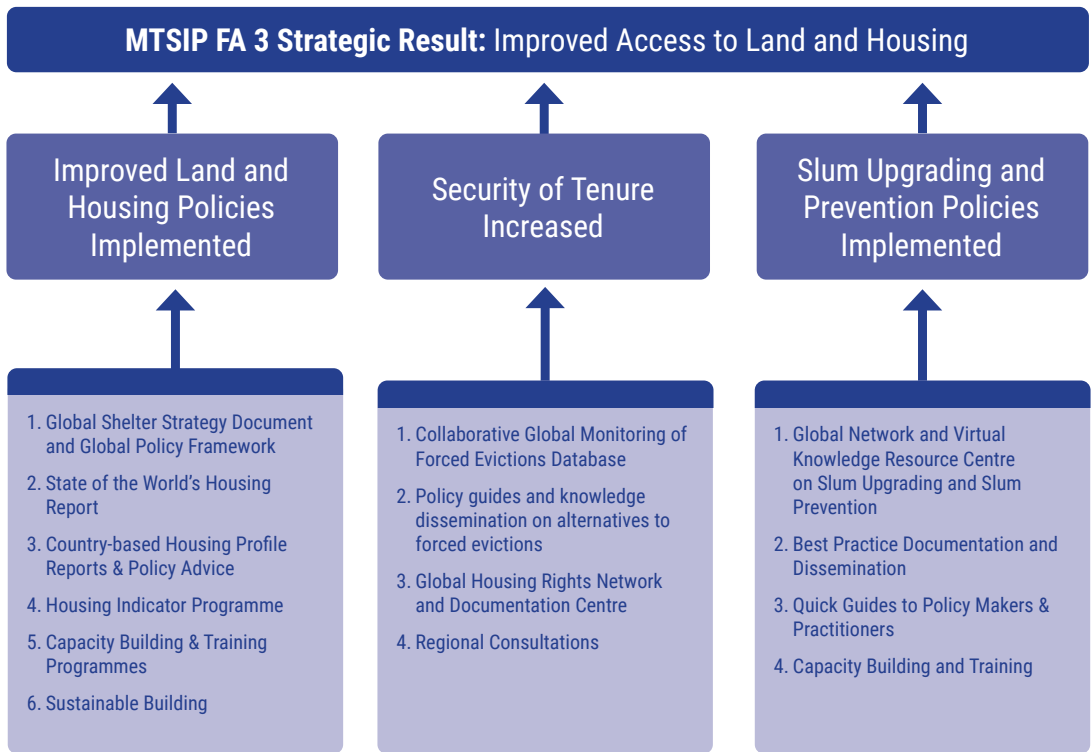
## Annex 8: Programmatic Approach towards delivering the Housing Components of the MTSIP FA 3

### Programmatic Approach towards delivering the Housing Components of the MTSIP FA 3



Source: UN-Habitat, 2009

### Selected Outputs of the AH4 all Programme



Source: UN-Habitat, 2009

## Annex 9: Cross-cutting Issues

The MTSIP specified that three main crosscutting issues be mainstreamed into the six FAs, namely: gender, youth; and disaster management. The FA3 strategic result – improved access to land and housing, security of tenure, and slum improvement and prevention, – was also dependent on three crosscutting strategies: (i) knowledge management and advocacy; (ii) capacity building at the global and regional levels; and (iii) supporting implementation at the country and local levels. The mainstreaming of gender and youth was especially important as women and youth are typically among the most marginalized and vulnerable members of communities, and *“housing is not adequate if the specific needs of disadvantaged and marginalized groups are not taken into account”*<sup>6</sup>. This underscores the need to address and mainstream cross-cutting issues in the Housing Approach.

In this regard, the SP 2014-2019 focuses on four cross-cutting issues: (i) human rights; (ii) gender; (iii) the youth; and (iv) climate change, which it stipulates are to be *“mainstreamed throughout the seven focus areas, ensuring that all policies, knowledge management tools and operational activities address these issues in their design and implementation”*, which includes Focus area 5 on housing and slum upgrading, which HSUB addresses through the Housing Approach.

The overall goal of mainstreaming cross-cutting issues is to strengthen programmatic synergies while ensuring that project outcomes reach all targeted beneficiaries, particularly persons in vulnerable situations<sup>7</sup>. Effective integration of cross-cutting issues is expected to increasingly enable the replication and upscaling of programmes and projects<sup>8</sup>, which is essential for impact to be achieved, especially in the case of the Housing Approach.

UN-Habitat has adopted a Marker system<sup>9</sup> for the four cross-cutting issues which serves as a quality assurance measure and capacity building tool. Project proposals must meet minimum requirements for mainstreaming each issue to be approved by the Project Advisory Group (PAG). The Gender Equality Unit (GEU) at UN-Habitat Headquarters is responsible for ensuring this through provision of technical assistance, but is limited in its capacity to do so because of its low staff numbers.<sup>10</sup>

A review of the programme/project documents available on UN-Habitat's online Project Accrual and Accountability System (PAAS)<sup>11</sup> reveals that in many of the project documents that have been uploaded to PAAS, information related to cross-cutting issues has not been provided. The GEU attributes this in part to COs not being aware of the tools and support that are available to them.

The annual *Cross-cutting Progress Reports* cover UN-Habitat's activities and achievements over the year with respect to the four cross-cutting issues, including progress on the realization of the right to adequate housing; gender equality in access to adequate housing; youth mainstreaming; and climate responsive housing interventions.

### Human rights

UN-Habitat, being part of the UN system, is obliged to respect, promote, and protect human rights in all its activities. In 2003, the UN Common Understanding on the Human Rights Based Approach (HRBA) to Development Programming was adopted to ensure UN agencies apply a consistent HRBA to normative and operational processes at global, regional and country levels. UN-Habitat is committed to the realization of the right to adequate housing through a HRBA and takes human rights into account in both its normative and operational work, including the Housing Approach. The GEU is responsible for ensuring the mainstreaming of human rights and gender issues in all projects, including those that fall under the housing and slum upgrading theme in PAAS.

*The Human Rights-Based Approach to Housing and Slum Upgrading*<sup>12</sup> is a handbook aimed at building the capacities of housing and slum upgrading actors to develop inclusive human rights-based housing and slum upgrading interventions. According to the UN-Habitat *Cross-cutting Issues Progress Report 2018*<sup>13</sup>, it had 649 downloads in 2018, which suggests that it reached a limited audience and therefore had little capacity building impact or in promoting the HRBA to housing and slum upgrading.

The promotion and protection of the right to adequate housing for all entails prevention of forced evictions. In this regard, the UN-Habitat publication, *Alternative Solutions to Forced Evictions and Slum Demolitions*<sup>14</sup> focuses on strategies to combat forced evictions. The UN-Habitat *Cross-cutting Issues Progress Report 2018* indicates that it had been downloaded 2,172 times in 2018, more than three times as many than *The Human Rights-Based Approach to Housing and Slum Upgrading*, suggesting that forced evictions and slum demolitions is of concern to a larger audience.

*The Housing Rights Index*<sup>15</sup> is a decision support tool for housing policy makers and practitioners aimed to: (a) enhance understanding of the practical meaning of adequate housing rights, and implications of the seven right to adequate housing criteria; and (b) support assessment of the housing sector and the extent to which adequate housing rights are recognized and implemented.

UN-Habitat has also published *Programmatic Guidance Note for UN-Habitat Staff*<sup>16</sup>, which defines the responsibilities of UN-Habitat with respect to human rights, based on the UN-Habitat mandate; and provides guidance on how a HRBA should be integrated into UN-Habitat programming.

The Special Rapporteur on adequate housing<sup>17</sup> has emphasized that housing is, and will continue to be, the most significant issue facing cities today, and that SDG 11 and Target 11.1 will not be met unless governments develop and implement human rights-based housing strategies.<sup>18</sup>

## Gender

Rapid and unplanned urbanization coupled with the urbanization of poverty is stretching the capacities of national and local governments to develop economically fair and vibrant, inclusive, safe cities. Consequently, gender equality is not being mainstreamed into urban planning, legislation and economic development. This is hindering the full inclusion and integration of particularly women and girls in the economic, political social, and cultural life of cities. Indeed, women and girls in cities face a range of specific challenges and vulnerabilities, including: feminization of poverty, education and employment discrimination; gender based domestic violence; unequal participation in public and private decision-making; as well as barriers to access to land, housing and basic services<sup>19</sup>.

The *Policy and Plan for Gender Equality and the Empowerment of Women for 2014-19 (PPG)*<sup>20</sup> sets out UN-Habitat's strategy to ensure that all its normative and operational activities reflect and advance the global consensus on non-discrimination and gender equality. This is in line with the Housing Approach and should inform its normative and operational activities.

The *Evaluation of Gender Mainstreaming in UN-Habitat*<sup>21</sup> found inconsistencies within UN-Habitat's normative work on pro-poor land and housing with regards to gender equality – while texts focusing specifically on women's rights promoted equal access in order to challenge gender relations, other more generic texts are not quite as progressive. Consequently, good resources addressing gendered aspects of land and housing are not reflected in general guidance resources and so may not reach the critical stakeholders and mass audience to drive their operationalization and adoption.

## The Youth

The rising youth population – generally referred to as the “urban youth bulge – makes it imperative to address the various dimensions of urban youth within the broader context of urban prosperity. There are more people under the age of 25 today than ever before, totalling nearly three billion – or half of the global population – of which 1.3 billion are aged between 12 and 24, and represent society's most important and dynamic human resource.<sup>22</sup> Youth constitute 25% of the global working age population, but account for 43.7% of the unemployed.<sup>23</sup> Older youth significantly influence new household formation and housing demand, and are therefore critical stakeholder group that the Housing Approach should ensure is addressed if it is to ‘leave no one behind’..

The UN-Habitat Urban Youth Fund empowers global youth by providing gender-sensitive grants and capacity building to selected youth-led organizations in developing countries. Approximately 30 organizations are selected each year to receive a grant of up to US\$25,000 and capacity building support throughout the duration of the project.<sup>24</sup> The Fund has supported the youth to implement several housing-related projects, including youth-led mapping of informal settlements using GIS tools and affordable housing construction. The evaluation of the UN-Habitat Youth Programme and Urban Youth Fund conducted between October 2010 and February 2011 concluded that it was not possible, at that stage, to determine the full impact of the programmes,

but there were indications of potential impacts and sustainability, based on the outputs that have been achieved to date.

Through the WUF, UN-Habitat provides a platform for the youth to engage with global urban leaders. Youth featured prominently during WUF9, including the 'Children and Youth Assembly', in which over 500 young people participated, and which provided strong, specific recommendations for global leaders on selected youth issues. UN-Habitat also played an instrumental role in developing 'Youth 2030: UN Youth Strategy', the first strategic document on youth engagement across the UN system.<sup>25</sup>

## Climate Change

UN-Habitat has a clear mandate to support cities in adapting to climate change and reducing greenhouse gas emissions through the *Habitat Agenda*<sup>26</sup>; *UN-Habitat GC Resolution 22/3: Cities and Climate Change* of 2009; and *UN-Habitat GC Resolution 25/4: Implementation of the Strategic Plan for 2014-2019* in which the GC calls for UN-Habitat to continue to build upon lessons learned from its operational work in helping cities to reduce their environmental impact and emissions, and their impact on human health and climate change.

Climate change mainstreaming at UN-Habitat is currently guided by the *Climate Change Strategy (2014-2019)*<sup>27</sup> which represents a change from the previous *Climate Change Strategy (2010-2013)*<sup>28</sup>, which emphasized project-level interventions, and only cursorily addressed mainstreaming.

UN-Habitat has continued to work towards ensuring the climate resilience of slum upgrading interventions. Merging the work of the PSUP and Climate Change Planning Unit (CCPU) in addressing the effects of climate change and urban poverty, UN-Habitat is implementing the "Pro-Poor Planning for Climate Resilience of Marginalized Neighbourhoods Project" under its *Cities and Climate Change Initiative (CCCI)*. Funded by Sida, the project is being implemented within the African, Caribbean and Pacific (ACP) region, underling the added value of Sida funding as well as consistency with one of Sida's top priorities, climate change from an urban perspective. UN-Habitat has published *Pro-Poor Climate Action in Informal Settlements*<sup>29</sup>, which is intended to equip national and local decision makers and practitioners with the requisite knowledge and tools to understand, analyse, plan and act on making informal

settlements more climate change resilient. It has also published a Quick Guide for Policy Makers on *Pro-poor Urban Climate Resilience in Asia and the Pacific*<sup>30</sup>.

UN-Habitat has also developed and provided guidelines on green building standards, housing policies and housing finance mechanisms, as well as advocating for the development and enforcement of more sustainable building codes.<sup>31</sup> The UN-Habitat publication *Sustainable Housing for Sustainable Cities: A Policy Framework for Developing Cities*<sup>32</sup> provides a comprehensive framework for designing sustainable housing policies and practical actions, integrating the normative and operational aspects of UN-Habitat's work. Another, *Sustainable Building Design for Tropical Climates: Principles and Applications for Eastern Africa*<sup>33</sup> has been adopted in the curriculum of nine universities in the Eastern Africa region.<sup>34</sup> This is significant because it can lead to more climate change resilient, more resource energy efficient, and more sustainable housing construction practices.

## Annex 10: Methodology

### Introduction

The purpose of the evaluation, as described in Section, is to assess the contribution of UN-Habitat's Housing Approach to achieving the *global goal of affordable and adequate housing for all*. This broad question is addressed by simultaneously assessing the effects of the Housing Approach at the global, regional and country level – and how activities at these three levels complement each other. As this is the first global evaluation that UN-Habitat has commissioned, it is inevitably exploratory as there are no previous evaluations to draw upon. In addition, as is explained in this section, the scope and rigor of the assessment was constrained by the limitations on the availability of the kinds of data required for the analysis.

#### *Limitations on data availability*

The methodology proposed in the Inception Report had first to be tested to evaluate the amount and quality of available data on the 11 evaluation questions; and as the evaluation progressed it became clear that in a significant number of the countries, no clearly defined country programme was available for review. This was due to at least two factors: first, many of the country programmes were demand driven and responded to

### Box 1: Evaluation design

- Step 1. Defining and operationalizing the key evaluation questions
- Step 2. Defining the UN-Habitat Housing Approach
- a) The theory of change
  - b) Articulating the UN-Habitat Housing Approach:
    - (i) Is there a standard Housing Approach across regions?
    - (ii) A matrix to compare country performance with the components of the Housing Approach
- [Steps 3-5 are based on the Portfolio Analysis Framework Developed for the Evaluation]
- Step 3. Identification of programmes to be covered by the evaluation
- Step 4. The levels at which the evaluation will be conducted
- a) Global:
    - (i) Global portfolio analysis
    - (ii) Historical evolution of UN-Habitat within a changing global context
  - b) Regional:
    - (i) Regional portfolio analysis
    - (ii) Historical analysis of the evolution of UN-Habitat activities
  - c) Country:
    - (i) 3 comparison countries to capture the range of regional experiences
    - (ii) In-depth country case study
- Step 5. Methodology for selection of comparator and case study countries
- Step 6. Dimensions of the evaluation
- a) Relevance
  - b) Impact measurement
    - (i) Programme impact on adequate housing
    - (ii) Structural indicators
      - Process indicators
      - Outcome indicators
    - (iii) Housing impacts on poverty
    - (iv) Contribution to the achievement of MDG 7 and SDG 11
  - c) Sustainability
  - d) The value-added of UN-Habitat's Housing Approach and how it is implemented
- Step 7. Lessons learned: Adapting the original evaluation design to realities on the ground and regional/country variations.

national and local government requests for assistance; and secondly, many COs have very limited staff and financial resources to monitor and document what had been achieved. In the two countries that were visited, Mexico and Zambia, the evaluation team was able to reconstruct the de facto country programmes based on interviews and field visits, but for many other countries available reports and phone interviews were only able to partially reconstruct the country programme. For these reasons the initially proposed evaluation design had to be modified in line with the data availability.

**Box 1** summarizes the seven main steps of the evaluation design, the key ones of which are discussed in the following sections. The seven steps are fully explained below.

### Step 1: Operationalizing the key evaluation questions

Reports and surveys were reviewed to determine the appropriate indicator(s) to address each evaluation question, and how these were defined by UN-Habitat and others, and in programme management and monitoring. The Theory of Change (see Step 2a) also helped to identify the indicators needed to measure outputs, outcomes and impacts. The main sources of information used to cover each indicator are listed in Annex XX. It can be seen that many of the sources are rated as 'medium' in terms of accessibility<sup>35</sup>, quality and coverage.

### Step 2: Articulating the UN-Habitat Housing Approach

A key element of the evaluation was to assess the extent to which UN-Habitat country programmes are consistent with the complete Housing Approach framework — and how this has varied over time and between regions. While many of the publications reviewed discuss the UN-Habitat Housing Approach, it was not possible to find a specific definition of the 'Housing Approach'. The first version of the Housing Approach used in this report was developed during the Mexico country case study (see Mexico country case study report) and then adapted to take into consideration the different regional contexts.

***The in-country interviews with UN-Habitat staff, government and partner agencies and, project visits in Mexico proved critical, because much of the information used in developing the Housing Approach could not have been found in any UN-Habitat publications.***

The definition and application of the housing approach framework was a three-stage process:

#### **Retrospective construction of the Theory of Change**

Developing and articulating a theory of change (TOC) of how the Housing Approach is intended to achieve its objectives was a principal step in the evaluation process. The model had to be constructed retrospectively by the evaluation team, based on publications and interviews, as no TOC had been developed by UN-Habitat. The process of constructing the TOC is described in the Inception Report<sup>36</sup>, and the version used in this evaluation is shown in the figure below

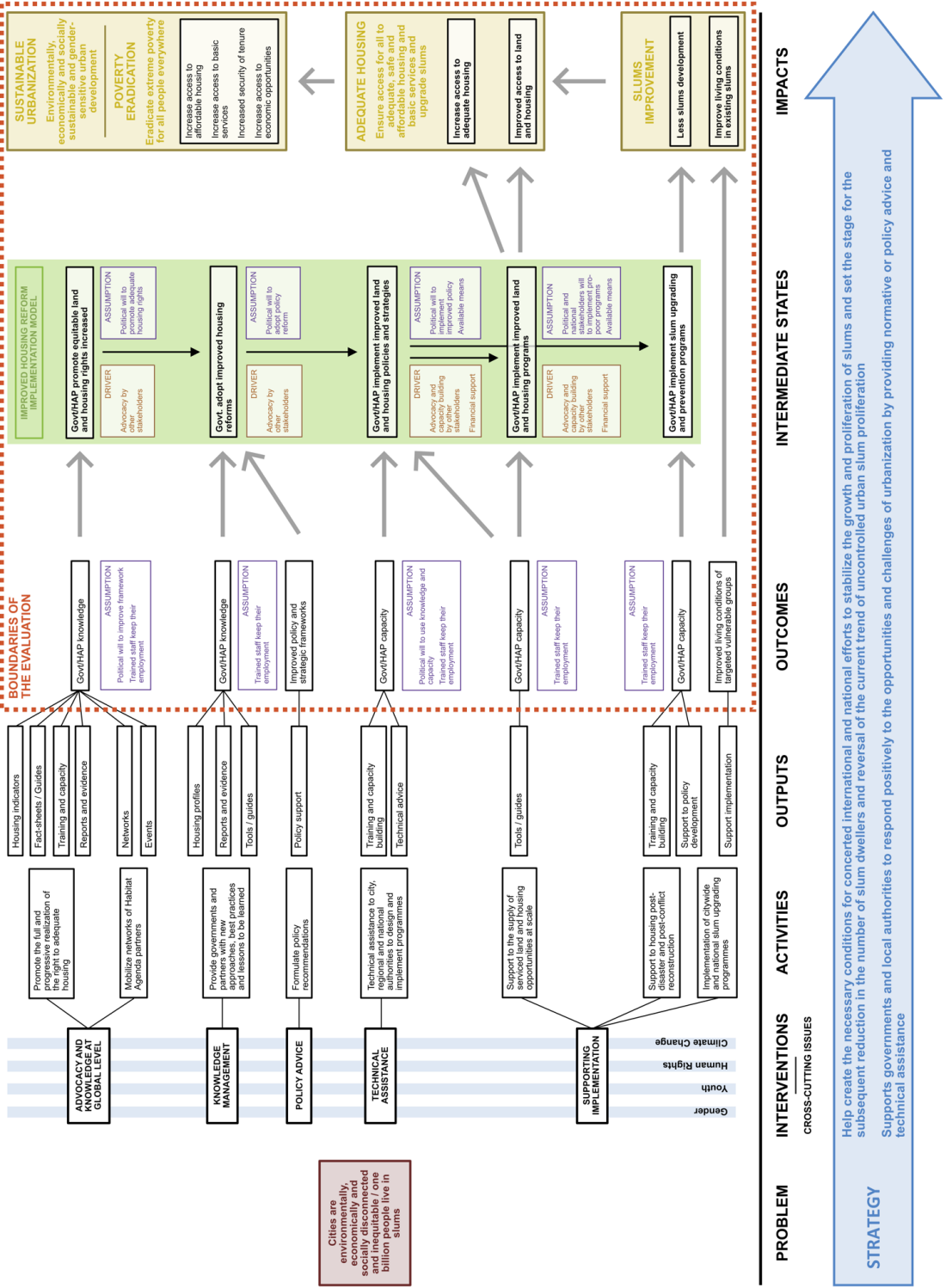
#### **Articulating the UN-Habitat Housing Approach**

Based on the analysis that informed the development of the TOC, a conceptual framework was defined that incorporates the five principal kinds of activities conducted by UN-Habitat: (1) Knowledge Management; (2) Advocacy; (3) Policy Advice; (4) Technical Assistance and Capacity Building; and \*5) Implementation. This is explained in more detail in Section 2 "Understanding the UN-Habitat Housing Approach. Table 5 represents the Standard Housing Approach based on these five activities. It includes several categories of advocacy, knowledge and implementation, which can be revised to reflect different country contexts. The five elements are however expected to remain constant for all country programme assessments.

In addition to these five kinds of activities mentioned in most UN-Habitat documents, the framework also includes additional dimensions that are implicit in most discussions but usually not mentioned explicitly. These are: (6) the degree of integration of the five activities in the country programme; (7) the level of coordination with partner agencies, (8) the incorporation of cross-cutting themes; and (9) and the sustainability of the different activities. When all of these nine elements are present, this is referred to as the **Comprehensive Housing Approach**. The **Standard** and the **Comprehensive Housing Frameworks** are illustrated in Table 5.

The distinction was made between the Standard and the Comprehensive Housing Approaches because the latter identifies important dimensions that are not addressed in most of the UN-Habitat discussions.

**Housing Approach Theory of Change**





**Table 5: The standard housing framework and the comprehensive housing framework**

1.1	Advocacy at the global level: Promoting the full and progressive realization of the right to adequate housing
1.2	Advocacy: Strengthening monitoring, evaluation and learning on housing
2.1	Knowledge at the global level: Mobilizing networks of housing sector stakeholders
2.2	Knowledge management: Providing government and housing sector stakeholders with new approaches, best practices and lessons to be learned
3	Policy advice: Improving national normative framework
4	Technical assistance: supporting city, regional and national authorities' capacities
5.1	Implementation: Supporting development and implementation of national housing strategies
5.2	Implementation: supporting the implementation of adequate housing programmes
5.3	Implementation: Supporting slum upgrading and prevention policies and strategies
5.4	Implementation: Demonstrate feasibility of strategies/programmes through implementation
6.	Integration of all the activities into an integrated housing strategy
7.	Incorporation of cross-cutting themes (gender, youth, human rights, climate change)
8.	Coordination and consistency with other donor housing strategies
9.	Sustainability of the country programme and its different projects and programmes.

Rating code for assessing how well each indicator is addressed in a country or regional programme:

1 = Very low or none; 2 = Low; 3 = Moderate; 4 = High; 5 = Very high

**Table 6. Framework for assessing how adequately housing strategic guidelines are addressed in UN-Habitat country and regional programmes**

Adequate Housing Indicators [H]	Poverty Reduction and Cross-Cutting Issues [P]
H-1 Increase access to adequate housing to all	P-1 Increase housing affordability for low-income households
H-2 Increase access to adequate housing to low-income households	P-2 Increase housing affordability for all
H-3 Support diversification of adequate housing solutions	P-3 Improved access to economic resources, affordable goods and services for low-income households
H-4 Support diversification of government interventions in providing adequate housing	P-4 Address social exclusion and integration at city-level
H-5 Support advocacy groups	P-5 Support gender or age-sensitive housing strategies or programmes
H-6 Support self-organizing housing initiatives (by NGO or INGO))	P-6 Improve access to adequate housing for female-headed households
H-7 Demonstrate feasibility of strategies/programmes through implementation	P-7 Improve access to adequate housing for youth
H-8 . Provide adequate housing to crisis affected population (conflict, disaster, migration, ...)	P-8 Support climate change-sensitive housing strategies and programmes
H-9 Improve living conditions in existing slums/informal settlements	

Rating code for assessing how well each indicator is addressed in a country or regional programme:  
1 = Very low or none; 2 = Low; 3 = Moderate; 4 = High; 5 = Very high

For example, there are countries where all of the 5 activities are included in the country programme, but each activity is included in a separate programme activity, and the effectiveness of the total country programme is significantly reduced. Similarly effectiveness is reduced if there is no coordination with the work of other donors or if cross-cutting themes are not addressed. Finally, a limitation of many country programmes is that there is no systematic strategy to ensure the sustainability (or scaling up) of the programmes.

### Applying the framework to all UN-Habitat country programmes.

The framework was applied, in all countries where the data was available, to rate (using a 5-point scale for each dimension) current or recent country programmes and projects in terms of their conformity to the Comprehensive Housing Framework. In some cases, when data is available it was also possible to trace the historical evolution of the country or regional programmes by comparing scores at different points in time.

Table 11 was developed for the Mexico country case study and is based on the Mexican housing and urban development context. It includes nine indicators of adequate housing, and eight indicators of poverty and cross-cutting issue. It is expected that the list of indicators may be expanded or revised for other country contexts.

When applying this assessment framework to a UN-Habitat country or regional programme each indicator was assessed on a five-point scale: 1 = very low or none; 2 = low; 3 = moderate; 4 = high; and 5 = very high. Often a considerable amount of research was required to determine the appropriate ratings as many activities in the country programme are not well documented. Where possible, the regional and global analysis was applied at different points in time to understand how the housing programmes have evolved.

## Step 3: Identification of programmes/projects to be covered by the evaluation

### Initial Housing Approach programme identification

The Housing Approach related programmes and projects implemented at country level were identified by combining a review of the UN-Habitat Projects Accrual and Accountability System (PAAS) database with a review of available UN-Habitat annual activities reports and country reports<sup>37</sup>. The identification was based on the generation of a customized listing of all programmes and projects falling under the themes "Housing and Slums upgrading", "Housing" and "Slum upgrading", and implemented between 2008 and 2019.<sup>38</sup> A total of 437 programmes/projects were identified including: 356 from the PAAS database and 81 through a comprehensive review of reports (annual activity reports and country reports).

The following information was included for each programme/project:

- Project title;
- Country(ies) of implementation;
- Region(s);
- PASS code;
- PAG value (programme budget);
- Start and end dates;
- Lead Organization Unit (within UN-Habitat).

In order to compare the number of programmes and projects falling under these themes against the total global UN-Habitat portfolio, a list of all the ongoing and archived programmes and projects for the period 2008-2019 in PAAS was generated. The total number of programmes and projects is 2393.

## Programme/project identification at country level

In the case of the selected country case studies, a list of all the programmes and projects included in PAAS for each of the countries was generated and the available data and documentation analysed. Any additional programmes or projects identified were then added to this list, based on the same thematic criteria.

## Initial categorization

The housing related programmes/projects were categorized and reviewed to identify their main intervention areas. This was done by analysing the wording of their titles to identify key terms — for example, housing reform related programmes/projects were identified through the identification of the key words “policy”, “strategy” or “housing sector”. The categorization was further based on an analysis of the programme/project objectives in the documentation available in PAAS.

## Step 4: The Portfolio Analysis Framework: The levels at which the evaluation was conducted

The evaluation was based on a Portfolio Analysis Framework (PAF) that combined the analysis of data collected at the global, regional and country levels. This approach, which is widely used by donor agencies: (i) provides a way to summarize all of the available data at each level, (ii) permits a comparison using a standard set of indicators, between regions and between countries, (iii) permits the analysis of historical trends over time, and (iv) provides a framework for comparing the countries selected for the case studies with regional averages. However, the strength of the PAF depends on the quality and completeness of the data and information available; and as discussed earlier, in the case of the present evaluation there are significant gaps.

Figure XX summarizes the number of countries that were eventually covered by the evaluation.

## Global level

At the global level the evaluation included:

- a. A global portfolio analysis<sup>39</sup> analysed the available documentation to assess how adequately UN-Habitat's normative and operational activities addressed the different components of the Housing Approach.
- b. Historical evolution of the Housing Approach and how it responded to changes in the global economic, political and other areas of international development.
- c. Regional comparisons on available indicators (see above) and analysis of factors driving the regional variations in the Housing Approach.

## Regional level

At the regional level the evaluation included:

- a. A regional portfolio analysis.
- b. A summary review of the historical evolution of the regional programme/project portfolios.
- c. Identification of typologies of countries and country programmes and analysis of the factors driving the differences.

## Country level

There were two levels of country analysis

- a. Three countries were selected in each of the four main regions — Africa, Arab States, Asia and the Pacific, and Latin America and the Caribbean — to represent some of the main country characteristics and CO programmes. This was important because, while a single country case study provides deep understanding of one particular country, it is not possible to generalize to the whole region. The analysis of three countries provides a broader perspective and reduces the tendency to draw too many conclusions from a single country. Due to time and resource constraints the comparator countries were not visited, and the analysis was based on document analysis and key informant (usually Skype) interviews

**Table 7: Country Office programme/project portfolio consistency with the Housing Approach**

<b>Africa Region</b>	<b>Angola, Botswana, Cape Verde, Chad, Democratic Republic of Congo, Djibouti, Eritrea, Ghana, Kenya, Lesotho, Liberia, Mali, Mauritania, Mozambique, Namibia, Nigeria, Senegal, Somalia, South Sudan, Sudan, Uganda, Zambia, Zimbabwe</b>
<b>Arab States</b>	Egypt, Iraq, Jordan, Lebanon, Libya, Palestine, Saudi Arabia
<b>Asia and the Pacific Region</b>	Afghanistan, Bangladesh, Cambodia, Mongolia, Myanmar, Nepal, Pakistan, Philippines, Sri Lanka, Tuvalu, Vietnam
<b>Europe</b>	Georgia, North Macedonia, Serbia
<b>Latin America and the Caribbean Region</b>	Bolivia, Chile, Colombia, Cuba, El Salvador, Guyana, Haiti, Mexico

- b. One country was selected in each region for the preparation of an in-depth case study. It was originally planned to conduct a country visit in three of the four regions, but due to security concerns in Iraq it was only possible to visit Mexico and Zambia. The in-depth case studies on Iraq and Myanmar were based on desk reviews and phone interviews.
  - iv. Estimating the value-added of UN-Habitat's contribution to housing policies, programmes and implementation
  - v. Impact measurement and assessing the contribution to poverty reduction
- d. Data collection
- e. Data analysis and report preparation

In the two cases where country visits were possible, many of the issues were explored in more depth

## Methodology for the country case studies.

Recognizing the need to adapt the case studies to the individual country contexts, the four in-depth case studies were based on following methodology:

- a. Defining the key questions to be addressed in each country
- b. Adapting the housing approach framework to the country context
- c. Defining the evaluation design
  - i. Adapting the global theory of change to the country context
  - ii. Historical analysis of how country programmes have evolved
  - iii. Adapting the housing approach framework to the country context and comparing country performance with the framework

## Step 5: Methodology for selecting comparator and case study countries.

### Identification of the relevant Housing Approach portfolios

#### Initial identification of Housing Approach achievements

The identification of main Housing Approach achievements at country level was done through the review of available UN-Habitat annual activity reports and country reports, in order to identify the status of achievements of Housing Approach related programmes, in terms of housing policy, slum upgrading

Region	In-depth Case Study	Comparative Case Studies
Africa	Zambia Mozambique, Somalia	Mozambique, Somalia
Arab States	Iraq (no country visit)	Egypt, , Jordan
Asia and the Pacific	Myanmar (no country visit)	Mongolia, Sri Lanka
Latin America and the Caribbean	Mexico (country visit)	Colombia, Haiti

and prevention, and other operational interventions. [See Section 4 for a summary of housing achievements]. This analysis summarized the coverage of the Housing Approach achievements for each of the 75 countries analysed with respect to:

- National Housing Sector Profile published;
- National Housing Policy, developed and adopted;
- Housing policy implementation strategy developed;
- Local Housing Programme implemented;
- National Housing Programme Building code adopted;
- Slum upgrading and prevention policies or strategies, at national and local level;
- Local PSUP programme implemented;
- Other operational interventions implemented.

A summary table of identified achievements at country level is presented in Annex XX.

### Identification of Housing Approach relevant portfolios

The above country level analysis identified countries that rated high in terms of consistency with Housing Approach dimensions.

A strong consistency with the Housing Approach was found in 51 countries:

### Complementary data from the Questionnaire sent to country offices

In order to complete the information on housing programmes implementation and achievements at country level, a questionnaire was shared with the COs. This provided additional information to validate and elaborate the information initially collected from secondary sources. The questionnaire was sent to 51 selected COs and 15 completed questionnaires were returned. The responses provided valuable first-hand qualitative and quantitative information, but the results must be interpreted with caution due to the low response rate. Completed questionnaires were received from almost all of the countries selected for the case studies, and where possible, the responses were triangulated against other data sources.

### Country case studies selection

The three country case studies for each region were selected from among those countries where the country programmes were representative of the Housing Approach at regional level. In most cases these were countries in which UN-Habitat has had a long-term presence; and for which sufficient information on programmes and achievements was available. Other factors also influenced the selection of the countries, such as current presence of a CO to support data collection, analysis and to facilitate contacts with country key informants. This selection was then discussed and refined with UN-Habitat. It is important to emphasize that this was a purposive sample where the countries selected had more comprehensive country programmes. This selection strategy was used as the purpose was to assess what can be achieved with well-functioning country programmes. **The regional analysis provides a context for assessing how representative the case study countries are with typical country performance in the respective regions.**

The final selection of country case studies in the four main regions was:

### Country visit selection

The selection of the countries to be visited for the in-depth case studies was based on the following criteria:

- the representativeness of the Housing Approach at global level;
- the availability of data on programmes, contexts and achievements;
- the potential space for lessons learned to be drawn (informed by HSUB);
- the availability of the CO during the possible visit period.

Three countries were selected for visits, Mexico, Zambia and Iraq (Erbil governorate), but only the first two were eventually visited.

## Step 6: Dimensions of the evaluation

The purpose of the evaluation was to assess UN-Habitat's contribution to achieving the goal of providing affordable and adequate housing for all. Progress towards this goal was assessed by combining five dimensions, that are discussed in this section, while the following section includes a more detailed discussion of how impacts were assessed.

### Overall assessment of UN-Habitat's performance with respect to achieving affordable and adequate housing for all

#### Portfolio Analysis

The Portfolio Analysis, described in the previous sections, provided a framework for integrating all the secondary data sources on overall contribution of UN-Habitat to achieving the goal of affordable and adequate housing for all. The analysis was conducted at the global, regional and country levels

#### Impact assessment

Almost all of UN-Habitat's programmes are implemented in collaboration with one or more national and international partners. The evaluation thus set out to assess the contribution of UN-Habitat to the observed changes in outcome and impact indicators. The data, resource and time constraints under which the evaluation was conducted meant that it was not possible to use either experimental designs such as randomized control trials, where households or communities were randomly assigned to project and control groups; or quasi-experimental designs, where statistical techniques such as propensity score matching are used to construct comparison groups.

Consequently, the evaluation had to rely mainly on qualitative methods such as secondary data reviews, key informant interviews (KIIs) and project visits to assess the relevance and magnitude of UN-Habitat's contributions to the changes.

The different approaches to impact assessment that were used are discussed in Section 4.7

#### Relevance

Relevance assesses how well a regional or country programme is aligned with the different elements of the UN-Habitat Housing Approach summarized in Tables 10 and 11. It is further assessed along two main dimensions. The first is the extent to which the regional or country programme is aligned with regional and national priorities, and the second to the potential significance of the programmes. The distinction is that a programme may focus on priority areas (the first dimension) but might not be replicable or scalable, rendering it of no practical relevance to the achievement of affordable housing goals.

#### Sustainability

A key objective for UN-Habitat's housing interventions at the knowledge management, advocacy, policy advice, technical assistance or implementation levels is to ensure that results achieved will be sustained. This is difficult to assess because many of the interventions are intended to continue effecting change and delivering benefits in the long term, while UN-Habitat's involvement is time-bound to the programme/project duration. Consequently, there is usually no mechanism in place to monitor outcomes beyond this.

In practice, this means that sustainability can be assessed in one of two main ways. The first is to conduct a retrospective analysis of interventions that have already been completed. It may then be possible to observe whether the changes and benefits are continuing to be affected and delivered. In practice UN-Habitat provides very little documentation on completed projects, so historical sustainability can usually only be achieved through interviews with key informants or project visits. The evaluation therefore obtained very limited information on retrospective sustainability analysis.

The second option is to examine ongoing, or recently completed interventions, to assess whether they include plans and resources to ensure sustainability. For example, a number of pilot projects were assessed to determine if financial resources were provided to enable the project to continue; or if there were coordination mechanisms with government agencies or donors to take over successful pilot projects.

Similar approaches can be used to assess the potential sustainability of knowledge management, policy or capacity development interventions, but in most cases it is harder to do this than it is for pilot projects owing to lack of documentation to track sustainability.

### Comparative advantage

Another approach that proved useful within the data, time and other constraints under which this evaluation was conducted, was to assess the areas where UN-Habitat appeared to have a comparative advantage compared to many of its government and international development partners. The comparative analysis assessment is usually based on technical expertise, experience, influence or reach; or the ownership of data sets that are highly useful to government and other agencies, particularly at the city, municipal and local levels (for example, the City Prosperity Index – CPI).

The comparative advantage analysis was based on the combination of information from KIIs, the analysis of questionnaires sent to COs, project visits and review of publications.

## Annex 11: Selected Illustrative indicators on the right to adequate housing

The following indicators were identified as relevant to the assessment of the Housing Approach contribution to adequate housing, as they refer to the strategy theory of the Housing Approach, which is to influence policy, legal and programme frameworks to improve access to adequate housing.

- Selected structural indicators
  - International human rights treaties, relevant to the right to adequate housing, ratified by the State (constitutional and legal level)
  - Date of entry into force and coverage of the right to adequate housing in the Constitution or other forms of superior law (constitutional and legal level)
  - Date of entry into force and coverage of domestic laws for implementing the right to adequate housing (constitutional and legal level)
  - Time frame and coverage of national housing policy or strategy for the progressive implementation of measures, including special measures for target groups, for the right to adequate housing at different levels of government (policy or strategy level)
- Time frame and coverage of national policy on rehabilitation, resettlement and management of natural disaster (policy or strategy level)
- Date of entry into force and coverage of legislation on security of tenure, equal inheritance and protection against forced eviction (constitutional and legal level)
- Selected process indicators
  - Proportion of habitations (cities, towns and villages) brought under the provisions of building codes and by laws in the reporting period (habitability)
  - Proportion of targeted population that was extended sustainable access to an improved water source\*, access to improved sanitation\*, electricity and garbage disposal in the reporting period (Accessibility to Services)
  - Proportion of households that receive public housing assistance, including those living in subsidised rented housing and households subsidised for ownership (affordability)
  - Proportion of targeted households living in squatter settlements rehabilitated in the reporting period (affordability)
  - Proportion of homeless population that was extended the use of public and community (affordability)
  - Number and proportion of displaced or evicted persons rehabilitated or resettled in the reporting period (Security of Tenure)
- Selected outcomes indicators
  - Proportion of population with sufficient living space (persons per rooms or rooms per household) or average number of persons per room among target households (habitability)
  - Proportion of households living in permanent structure in compliance with building codes and by-laws (habitability)
  - Proportion of households living in or near hazardous conditions (habitability)
  - Proportion of urban population living in slums – also a MDG /SDG (Accessibility to Services)
  - Proportion of households spending more than 'X'

## Annex 12: Summary of Assessment of Data Availability, Quality and Coverage

INFORMATION REQUIRED	Data sources	Accessibility	Quality	Coverage
<b>Information on the Housing Approach</b>	<i>Primary source:</i> - UN-Habitat strategic frameworks (MTSIP, SP) and policies (Adequate housing for all, GHS, H@C)	good	good	medium only global level
	<i>Additional information:</i> - Interviews with UN-H senior management and branches management team.	good	medium limited knowledge	medium only for global level and some countries
<b>Information on global partners strategies and priorities</b>	<i>Primary source:</i> - Global partners policies	medium limited availability	good	medium limited areas and themes
	<i>Additional information:</i> - Interviews with global partners - Interviews with regional partners	medium limited availability	medium limited knowledge	medium limited areas and themes
<b>Information on SIDA policies</b>	<i>Primary source:</i> - Cooperation agreements between UN-Habitat and Sweden	good	good	medium limited areas and themes
	<i>Additional information:</i> - Interviews with Sida	good	good	medium limited areas and themes
<b>Information on global housing framework</b>	<i>Primary source:</i> - Millennium Declaration; MDG reports - The 2030 Agenda for Sustainable; SDG reports - The Habitat Agenda - Global Housing Strategy to the Year 2025 (GHS 2025) - The New Urban Agenda	good	good	good
	<i>Additional information, Interviews with:</i> - Global partners - External Experts	medium limited availability	medium limited knowledge	medium limited areas and themes
<b>Information on adequate housing at global level</b>	- Global Urban Observatory (GUO) - MDG/SDG indicators tracking	good	medium some contradictory figures	medium only for some countries only for some AH criteria
<b>Information on adequate housing at country level</b>	- Global Urban Observatory (GUO) - reports - MDG/SDG indicators tracking	medium difficult to get outside of country visit	good quality limited availability	medium only for some countries only for some AH criteria



INFORMATION REQUIRED	Data sources	Accessibility	Quality	Coverage
<b>Information on local housing frameworks</b>	Primary source: - Country housing legislation - Country housing policies and strategies	medium difficult to get outside of country visit	good	good
	Additional information request: - HSUB - other branches - ROs and COs	medium some ROs and Cos not reachable	medium (staff turnover)	medium limited timeframe and geographic coverage
	Additional information, Interviews with: - COs - National and local authorities - Development partners - Local partners - Non-governmental organizations (NGOs) - Academia; External experts - Civil society - Slum dwellers and other pro-poor organizations	medium difficult to reach outside of country visit	medium staff turnover limited knowledge	medium limited timeframe
<b>Information on UN-Habitat country housing programmes</b>	Primary source: - COs	medium some Cos not reachable	medium limited knowledge	medium limited timeframe
	Programme documentation on PAAS	good	medium some information missing	low some programmes missing
	Programme documentation through: - HSUB - Other UN-Habitat branches - ROs and Cos	low turnover, limited knowledge	medium some information missing	medium some programmes missing

INFORMATION REQUIRED	Data sources	Accessibility	Quality	Coverage
<b>Structural indicators</b>	International human rights treaties, relevant to the right to adequate housing, ratified by the State (constitutional and legal level)	good	good	good
	Date of entry into and coverage of the right to adequate housing in the Constitution or other forms of superior law (constitutional and legal level)	medium	good	good
	Date of entry into force and coverage of domestic laws for implementing the right to adequate housing (constitutional and legal level)	medium	good	good
	Time frame and coverage of national housing policy or strategy for the progressive implementation of measures, including special measures for target groups, for the right to adequate housing at different levels of government (policy or strategy level)	medium	good	good
	Time frame and coverage of national policy on rehabilitation, resettlement and management of natural disaster (policy or strategy level)	medium	good	good
	Date of entry into and coverage of legislation on security of tenure, equal inheritance and protection against forced eviction (constitutional and legal level)	medium	good	good
	<b>Process indicators</b>	Proportion of habitations (cities, towns and villages) brought under the provisions of building codes and by laws in the reporting period (habitability)	low	?
Proportion of targeted population that was extended sustainable access to improved water source*, access to improved sanitation*, electricity and garbage disposal in the reporting period (Accessibility to Services)		low	?	?
Proportion of households that receive public housing assistance, including those living in subsidised rented housing and households subsidised for ownership (affordability)		low	?	?
Proportion of targeted households living in squatter settlements rehabilitated in the reporting period (affordability)		low	?	?
Proportion of homeless population that was extended the use of public and community (affordability)		low	?	?
Number and proportion of displaced or evicted persons rehabilitated or resettled in the reporting period (Security of Tenure)		low	?	?

INFORMATION REQUIRED	Data sources	Accessibility	Quality	Coverage
<b>Outcomes indicators</b>	Proportion of population with sufficient living space (persons per rooms or rooms per household) or average number of persons per room among target households (habitability)	low	?	?
	Proportion of households living in permanent structure in compliance with building codes and by-laws (habitability)	low	?	?
	Proportion of households living in or near hazardous conditions (habitability)	low	?	?
	Proportion of urban population living in slums	medium	good	medium limited to some countries and timeframe
	Proportion of households spending more than 'X' percent of their monthly income or expenditure on housing or average rent of bottom three income deciles as a proportion of the top three (affordability)	low	?	?
	Proportion of households with legally enforceable, contractual, statutory or other protection providing security of tenure or proportion of households with access to secure tenure (Security of Tenure)	low	?	?
<b>UN-Habitat strategic plans' indicators of achievements</b>	MTSIP	medium require aggregation from different reports	good	medium some figures not available
	SP			
<b>UN-Habitat Programmes results</b>	Outputs	medium	medium different indicators used	medium only for some programmes
	Outcomes	low	?	low
	Impacts	low	?	low
<b>MDG</b>	7.d Proportion of urban population living in slums	medium raw data is not easily available	good	medium limited to some countries and timeframe
<b>SDG</b>	Target 11.1.1: Proportion of urban population living in slums, informal settlements or inadequate housing.			
	Target 1.3.1: Proportion of population covered by social protection floors/systems			
	Target 1.5.3: Number of countries with national and local disaster risk reduction strategies;			
	Target 1.4.1: Proportion of population living in households with access to basic services			

## Annex 13: Coverage of the UN-Habitat Housing Approach Evaluation

LEVEL OF ANALYSIS		REGIONAL	COUNTRY CASE STUDY ** = visit	COMPARATOR COUNTRIES
<b>GLOBAL</b>	ROAf		Zambia**	Mozambique Somalia
	ROAS		Iraq	Egypt Jordan
	ROAP		Myanmar	Sri Lanka
	ROLAC		Mexico**	Mongolia Colombia Haiti
				<b>ALL COUNTRIES</b>
<b>Housing Approach evolution and implementation</b>				
	● Historical evolution of programmes	✓	✓	x
	● Defining Housing Approach	✓	-	
	● Housing Approach implementation variations	✓	✓	partially
<b>Consistency</b>				
	● Consistency with the Comprehensive Housing Approach	-	✓	partially
	● Consistency with country partners' priorities and approaches	-	✓	x
<b>Outputs</b>				
	● Advocacy at the global level	✓		
	● Knowledge management at global level	✓		
	● Knowledge management at the country level	-	✓	partially
	● Policy advice	-	✓	✓
	● Technical assistance and capacity development	-	✓	partially
	● Support to programme implementation	-	✓	✓
<b>Impact at Structural and Process level</b>				
	● Advocacy	-	✓	x
	● Knowledge management	-	✓	✓
	● Policy advice	-	✓	partially
				x

REGIONAL		COUNTRY CASE STUDY ** = visit	COMPARATOR COUNTRIES
● Technical assistance and capacity development	-	✓	x
● Cross cutting issues	partially	✓	partially x
<b>LEVEL OF ANALYSIS</b>			
<b>GLOBAL</b>			
	<b>REGIONAL</b>	<b>COUNTRY CASE STUDY</b> ** = visit	<b>COMPARATOR COUNTRIES</b>
	ROAf	Zambia**	Mozambique Somalia
	ROAS	Iraq	Egypt Jordan
	ROAP	Myanmar	Sri Lanka Mongolia
	ROLAC	Mexico**	Colombia Haiti
<b>Impact at Outcomes level</b>			
● Support to programme implementation	-	✓	x
● Adequate housing	-	✓	✓
● Poverty	-	✓	partially
● Cross cutting issues	partially	✓	partially
<b>Sustainability</b>			
● Sustainability of impacts	✓	✓	x
<b>Value Added</b>			
● Value added and (if possible) contribution analysis	-	✓	partially
	not relevant covered	partially	partially covered not covered
	covered	✓	x

## Annex 14: SDGs targets relevant to the Right to Adequate Housing and Slums

SDG 1	End poverty in all its forms everywhere.
SDG 5	Achieve gender equality and empower all women and girls.
SDG 6	Ensure availability and sustainable management of water and sanitation for all
SDG 8	Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.
SDG 10	Reduce inequality within and among countries.
SDG 11	Make cities and human settlements inclusive, safe, resilient and sustainable
SDG 11.1	By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums
SDG 11.2	By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons.
SDG 11.3	By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries.
SDG 11.7	By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities.
SDG 11.C	Support least developed countries, including through financial and technical assistance, in building sustainable and resilient buildings utilizing local materials.

## Annex 15: Knowledge Products on Housing published from 2008 to 2019

Fact Sheet 21. The Right to Adequate Housing	2011
Fact Sheet 25 on Forced Evictions	2014
A Policy Guide to Rental Housing in Developing Countries. Quick Policy Guides Series 1;	2011
Affordable Land and Housing in Africa;	2011
Affordable Land and Housing in Asia;	2011
Affordable Land and Housing in Europe and North America.	2011
Affordable Land and Housing in Latin America;	2011
Enabling Shelter Strategies: design and implementation guide for policy makers;	2011
Evictions and the Rights-based Approach to Urban Development	2012
Practical Guide to Design, Plan, Manage and Execute 'Citywide Slum Upgrading Programme,	2014
Streets as Tools for Urban Transformation in Slums: A Street-Led Approach to Citywide Slum Upgrading	2014
Training Module on Planning and Implementing Citywide Slum Upgrading Programmes	2015
Vivienda para pueblos indígenas en ciudades capitales andinas "Procesos de urbanización y análisis de políticas públicas	2012
Policy Guide on Housing for Indigenous People	2011
Accessibility of Housing	
Alternative solutions to forced evictions and slums demolitions	
Building Sustainability Assessment and Benchmarking	
Community-Based Housing Finance Initiatives	
Enabling Shelter Strategies	
Evictions and the rights-based approach to urban development	

Financing Urban Shelter, Global Report on Human Settlements 2005	
Forced Evictions, Global Crisis, Global Solutions	
Gender Issue Guide: Housing and Slum Upgrading	
Going Green: A Handbook of Sustainable Housing Practices in Developing Countries	
Green Building Interventions for Social Housing	2015
Guide to Preparing a Housing Finance Strategy Human Settlements Financing Tools and Best Practices	
Guide to preparing a housing finance strategy	
Handbook Assessing the Impact of Eviction	2014
Housing Finance Manual for Developing Countries - Part 1	
Housing Finance Manual for Developing Countries - Part 2	
Housing Finance Mechanisms in Brazil	2010
Interlocking Stabilised Soil Blocks, Appropriate earth technologies in Uganda	
Leveraging Land LBF for Local Governments - A Reader	
Policy Guide to Rental Housing in Developing Countries	2011
Pro Poor Land Management	
Public-Private Partnership in Housing and Urban Development	
Secure Land Rights for all	2008
Social Investment Funds	
Sustainable Housing for Sustainable Cities	
The Human Rights-Based Approach to Housing and Slum Upgrading	
A Training Course on Land, Property and Housing Rights in the Muslim World	
Housing Barometer. A tool to assess the performance of the housing sector.	2019
Housing Rights Index. A tool to assess the realization of the right to adequate housing.	2019
Losing Your Home: assessing the impact of eviction;	2011
Practical Guide for Conducting Housing Profiles;	2011
Handling Land - Innovative tools for land governance and secure tenure	
Prosperity for all: Enhancing the informal economy through participatory slum upgrading	2018
Addressing the most vulnerable first: Pro-Poor Climate Action in Informal Settlements	2018
Slum Upgrading Legal Assessment Tool	2018
Urban Indigenous Peoples and Migration A Review of Policies, Programmes and Practices	
Forced Evictions: global crisis, global solutions.	2011
A Training Course on Land, Property and Housing Rights in the Muslim World	
Financing Affordable Housing in Europe	
Housing as a Strategy for Poverty Reduction in Ghana	2010
Indigenous Peoples' Right to Adequate Housing A Global Overview	
Scaling Up Affordable Housing Supply in Brazil	2013
Alienacion de la Vivienda en Cuba.y la Nueva Agenda Urbana. Habana – Ciudad de Mexico: UN-Habitat.	2018
Condominium Housing in Ethiopia: the integrated housing development programme	2011
Community Development Fund in Thailand	
HLP issues from Syrian refugees in Lebanon from Homs	
SDG Goal 11 Monitoring Framework	2016
Monitoring SDG Indicator 11.1.1	2019

## Annex 16: List of illustrative indicators on the right to adequate housing

The following table present the exhaustive list of the illustrative indicators on the right to adequate housing, in yellow are highlighted the ones used in this evaluation.

Govt./HAP promote equitable land and housing rights increased		Illustrative indicators of the progressive realization of the adequate housing rights			SDG 11	SDG 1	POVERTY
		Habitability	Accessibility to Services	Housing Affordability	Security of Tenure		
		<ul style="list-style-type: none"> <li>International human rights treaties, relevant to the right to adequate housing, ratified by the State</li> </ul>					
		<ul style="list-style-type: none"> <li>Date of entry into force and coverage of the right to adequate housing in the Constitution or other forms of superior law</li> </ul>					
		<ul style="list-style-type: none"> <li>Date of entry into force and coverage of domestic laws for implementing the right to adequate housing</li> </ul>					
Govt. adopt improved housing reforms	<b>STRUCTURAL</b>	<ul style="list-style-type: none"> <li>Type of accreditation of National Human Rights Institutions by the rules of procedure of the International Coordinating Committee of National Institutions</li> </ul>					
	<b>INDICATORS</b>	<ul style="list-style-type: none"> <li>Number of registered and/or active non-governmental organizations (per 100,000 persons) involved in the promotion and protection of the right to adequate housing</li> </ul>					
		<ul style="list-style-type: none"> <li>Time frame and coverage of national housing policy or strategy for the progressive implementation of measures, including special measures for target groups, for the right to adequate housing at different levels of government</li> </ul>					
		<ul style="list-style-type: none"> <li>Time frame and coverage of national policy on rehabilitation, resettlement and management of natural disaster</li> </ul>					
					<ul style="list-style-type: none"> <li>Date of entry into force and coverage of legislation on security of tenure, equal inheritance and protection against forced eviction</li> </ul>		



- Proportion of received complaints on the right to adequate housing investigated and adjudicated by the national human rights institution, human rights ombudsperson or other mechanisms and the proportion of these responded effectively by the government
- Number of and total public expenditures on housing reconstruction and rehabilitation by evicted/displaced persons during the reporting period
- Net official development assistance (ODA) for housing (including land and basic services) received or provided as proportion of public expenditure on housing or Gross National Income\*
- Proportion of targeted residents reporting satisfaction with how involved they feel in decision making process affecting their enjoyment of the right to adequate housing

- Target 1.3.1 of population covered by social protection floors/systems, by sex, distinguishing children, unemployed persons, older persons, persons with disabilities, pregnant women, newborns, work-injury victims and the poor and the vulnerable

- Proportion of households (cities, towns and villages) brought under the provisions of building codes and by laws in the reporting period
- Share of public expenditure on social or community housing
- Habitable area (sq. m) added through reclamation, including of hazardous sites and change in land use pattern in the reporting period
- Habitable area (sq. m per capita) earmarked for social or community housing during the reporting period
- Proportion of public housing brought under the provisions of building codes and by laws in the reporting period
- Share of public expenditure on social or community housing
- Proportion of population that was extended to improved water source\*, access to improved sanitation\*, electricity and garbage disposal in the reporting period
- Proportion of homeless population that was extended the use of public and community
- Proportion of households that receive public housing assistance, including those living in subsidised rented housing and households subsidised for ownership
- Proportion of targeted population that was extended sustainable access to an improved water source\*, access to improved sanitation\*, electricity and garbage disposal in the reporting period
- Proportion of targeted households living in squatter settlements rehabilitated in the reporting period
- Proportion of homeless population that was extended the use of public and community
- Average time taken to settle disputes related to housing and land rights in courts and tribunals
- Number/proportion of legal appeals aimed at preventing planned evictions or demolitions ordered by court in the reporting period
- Number/ proportion of legal procedures seeking compensation following evictions in the reporting period, by result after adjudication
- Number and proportion of displaced or evicted persons rehabilitated or resettled in the reporting period

Govt/HAP implement improved land and housing policies and regulation/ programmes

PROCESS INDICATORS

- Target 1.5.3: Number of countries with national and local disaster risk reduction strategies;
- Target 1.A.1: Proportion of resources allocated by the government directly to poverty reduction programmes;
- Target 1.A.2: Proportion of total government spending on essential services (education, health and social protection)
- Target 1.B.1: Proportion of government recurrent and capital spending to sectors that disproportionately benefit women, the poor and vulnerable groups.

<p>Govt/HAP promote equitable land and housing rights increased</p>	<p>Illustrative indicators of the progressive realization of the adequate housing rights</p>	<p>MDG 7 / SDG 11 SDG 1</p>	<p>POVERTY</p>
<p><b>OUTCOMES</b></p>	<ul style="list-style-type: none"> <li>• Proportion of population with sufficient living space (persons per rooms or rooms per household) or average number of persons per room among target households</li> <li>• Proportion of households living in permanent structure in compliance with building codes and by-laws</li> <li>• Proportion of households living in or near hazardous conditions</li> </ul>	<ul style="list-style-type: none"> <li>• Proportion of urban population living in slums*</li> <li>• Proportion of population using an improved drinking water (public / private) source, sanitation facility, electricity and garbage disposal</li> <li>• Proportion of household budget of target population groups spent on water supply, sanitation, electricity and garbage disposal</li> </ul>	<ul style="list-style-type: none"> <li>• increased access:                             <ul style="list-style-type: none"> <li>● to economic resources and services</li> <li>● economic stability</li> <li>● citizenship</li> </ul> </li> </ul>
<p><b>INDICATORS</b></p>	<ul style="list-style-type: none"> <li>• Proportion of households spending more than 'X' percent of their monthly income or expenditure on housing or average rent of bottom three income deciles as a proportion of the top three</li> <li>• Reported cases of "forced evictions" (e.g. as reported to UN special procedures), in the reporting period</li> <li>• Annual average of homeless persons per 100,000 population</li> <li>• Proportion of households with legally enforceable, contractual, statutory or other protection providing security of tenure or proportion of households with access to secure tenure</li> <li>• Proportion of women with titles to land or property</li> </ul>	<ul style="list-style-type: none"> <li>• Proportion of urban population living in slums[i]</li> <li>• 11.1.1 Proportion of urban population living in slums, informal settlements or inadequate housing</li> </ul>	<ul style="list-style-type: none"> <li>• Target 1.4.1: Proportion of population living in households with access to basic services</li> <li>• impacts on health</li> </ul>

## Annex 17: Main Housing Approach Achievements per Country

Countries	Region	Strong Housing Approach consistency							Local Housing Programme(s)	National Housing Programme	Building code	Slum upgrading and prevention policies or strategies	Local PSUP	Other operational interventions
		National Housing Sector	National Housing Policy	Housing policy implementation strategy	Local Housing Programme(s)	National Housing Programme	Building code	Slum upgrading and prevention policies or strategies						
		profile	developed	adopted	developed	developed	developed	developed	developed	developed	national	local	implemented	implemented
Lesotho	Africa	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Somalia	Africa	yes												
Ghana	Africa	✓	✓	✓	2016	2016					✓		Ga Mashie	✓
Mozambique	Africa	yes	2018	✓	2016	2016						Nampula City		
Zambia	Africa	yes	2009	2010	✓	2016		2019						
Angola	Africa	yes		✓										
Benin	Africa	no	2009											
Botswana	Africa	yes		2016	2016					✓				
Burkina Faso	Africa	no									✓		Ouagadougou	
Burundi	Africa	no									✓			
Cameroon	Africa	no											Bamenda and Kribi, Garoua, Bertoua, N'Gaoundéré, Douala, Yaoundé, Bafoussam, Praia, Pedra Badejo and Espargos	✓
Cape Verde	Africa	yes	2019	2018								✓		
Chad	Africa	yes		2018		✓								
Democratic Republic of Congo	Africa	yes					✓						Hindou Market	
Djibouti	Africa	yes	✓											
Eritrea	Africa	yes	✓				✓							
Kenya	Africa	yes										2018	Mtwapa, Majengo Korogocho (2012)	✓
Liberia	Africa	yes	✓	✓	✓	✓	✓							
Madagascar	Africa	no												
Malawi	Africa	no												✓
Mali	Africa	yes	2009					1995						
Mauritania	Africa	yes		2102										
Mauritius	Africa	no									✓			

	National Housing Sector	National Housing Policy implementation strategy	Local Housing Programme(s)	National Housing Programme	Building code	Slum upgrading and prevention policies or strategies	Local PSUP	Other operational interventions
Namibia	Africa	yes	2014			✓		
Niger	Africa	no	2009			✓	✓	
Nigeria	Africa	yes						
Rwanda	Africa	no	2011		Kigali			✓
Senegal	Africa	yes					✓	✓
South Sudan	Africa	yes	✓				El-Geniena (2012)	✓
Sudan	Africa	yes	2016				Nyala (2012)	
Tanzania	Africa	no			✓		Dares Salaam	
Uganda	Africa	yes	2009		✓			
Zimbabwe	Africa	yes	2012	✓	2016			
Egypt	Arab States	yes	✓					
Iraq	Arab States	yes	2010	2010		✓	Kurani Ainkawa	✓
Jordan	Arab States	yes						✓
Iran	Arab States	no						✓
Kuwait	Arab States	no				✓		
Lebanon	Arab States	yes	✓					
Libya	Arab States	yes	✓					
Palestine	Arab States	yes	2014					✓
Saudi Arabia	Arab States	yes	✓			✓		
Syrian Arab Republic	Arab States	no		3 cities (Erbil)				
Afghanistan	Asia & the Pacific	yes	2016	2018		2016	Kabul	✓
Philippines	Asia & the Pacific	yes		Cagayan de Oro			✓	✓
Myanmar	Asia & the Pacific	yes	2018	2011	✓	2016	✓	
Sri Lanka	Asia & the Pacific	yes	2016	2016	✓	✓		
Vietnam	Asia & the Pacific	yes	✓		✓			
Bangladesh	Asia & the Pacific	yes	2018	✓		✓		
Cambodia	Asia & the Pacific	yes		2018		✓		
Fiji	Asia & the Pacific	no				✓		
India	Asia & the Pacific	no			✓			
Mongolia	Asia & the Pacific	no				✓		
Nepal	Asia & the Pacific	yes	✓					
Pakistan	Asia & the Pacific	yes	2012				Gadap	

	National Housing Sector	National Housing Policy implementation strategy	Housing policy implementation strategy	Local Housing Programme(s)	National Housing Programme	Building code	Slum upgrading and prevention policies or strategies	Local PSUP	Other operational interventions
Papua New Guinea	Asia & the Pacific	no					2016		
Solomon Islands	Asia & the Pacific	no						Honiara	
Tuvalu	Asia & the Pacific	yes	✓						
Albania	Europe	no							
Georgia	Europe	yes	✓						
Macedonia	Europe	yes	2012						
Serbia	Europe	yes	2012						
Bolivia	Latin America & the Caribbean	yes	✓						
Haiti	Latin America & the Caribbean	yes	✓						
Mexico	Latin America & the Caribbean	yes	✓		✓				
Antigua and Barbuda	Latin America & the Caribbean	no							
Brazil	Latin America & the Caribbean	yes	✓						
Chile	Latin America & the Caribbean	yes	✓						
Colombia	Latin America & the Caribbean	no		Cali				Cali	
Costa Rica	Latin America & the Caribbean	no					✓		
Cuba	Latin America & the Caribbean	yes	✓						
El Salvador	Latin America & the Caribbean	yes	✓						
Guyana	Latin America & the Caribbean	yes	✓						
Peru	Latin America & the Caribbean	no							
St. Vincent and the Grenadines	Latin America & the Caribbean	no					✓		

## Annex 18: Programme Portfolio at Regional Level per Intervention Area

All PROGRAMMES	Programmes Number	Number %	Programmes Budget	Budget %
Global	752	30.74	510,795,522	31.48
Africa	498	21.07	455,243,429	20.85
Arab States	234	10.02	442,775,563	9.79
Asia and the pacific	466	19.78	843,458,945	19.51
Europe and North America	61	2.46	25,946,641	2.55
Latin America and the Caribbean	177	7.38	109,918,753	7.41
Multi-country	201	8.55	247,193,358	8.41
<b>Total</b>	<b>2389</b>	<b>100.00</b>	<b>2,635,332,211</b>	<b>100.00</b>
Post disaster and post conflict interventions	Programmes Budget	Budget %	Programmes Number	Nb. %
Global	5,227,932	1.00	22	7.41
Africa	86,247,030	16.42	70	23.57
Arab States	157,557,790	30.00	59	19.87
Asia and the pacific	225,254,342	42.88	115	38.72
Europe and North America	335,127	0.06	1	0.34
Latin America and the Caribbean	25,525,005	4.86	20	6.73
Multi-country	25,118,486	4.78	10	3.37
<b>Total</b>	<b>525,265,712</b>	<b>100.00</b>	<b>297</b>	<b>100.00</b>
Others	Programmes Budget	Budget %	Programmes Number	Number %
Global	124,901,167	20.14	329	41.75
Africa	112,117,315	18.08	130	16.50
Arab States	103,063,985	16.62	66	8.38
Asia and the Pacific	195,066,730	31.46	108	13.71
Europe and North America	13,098,078	2.11	34	4.31
Latin America and the Caribbean	23,342,934	3.76	56	7.11
Multi-country	48,492,251	7.82	65	8.25
<b>Total</b>	<b>620,082,460</b>	<b>100.00</b>	<b>788</b>	<b>100.00</b>
Resilience DRR and CCA	Programmes Budget	Budget %	Programmes Number	Number %
Global	14,848,123	11.07	25	22.32
Africa	19,504,397	14.54	19	16.96
Arab States	40,321,588	30.07	8	7.14
Asia and the pacific	32,428,386	24.18	31	27.68
Latin America and the Caribbean	633,976	0.47	5	4.46
Multi-country	26,361,618	19.66	24	21.43
<b>Total</b>	<b>134,098,088</b>	<b>100.00</b>	<b>112</b>	<b>100.00</b>
Land	Programmes Budget	Budget %	Programmes Number	Number %
Global	54,571,552	33.10	30	31.58

<b>All PROGRAMMES</b>	<b>Programmes Number</b>	<b>Number %</b>	<b>Programmes Budget</b>	<b>Budget %</b>
Africa	37,101,018	22.50	36	37.89
Arab States	5,421,812	3.29	3	3.16
Asia and the pacific	14,819,957	8.99	10	10.53
Europe and North America	270,272	0.16	1	1.05
Latin America and the Caribbean	2,002,638	1.21	3	3.16
Multi-country	50,682,330	30.74	12	12.63
<b>Total</b>	<b>164,869,579</b>	<b>100.00</b>	<b>95</b>	<b>100.00</b>
<b>Urban Governance, Finance or Planning</b>	<b>Programmes Budget</b>	<b>Budget %</b>	<b>Programmes Number</b>	<b>Number %</b>
Africa	73,651,132	12.65	122	19.61
Arab States	74,510,482	12.79	48	7.72
Asia and the pacific	135,795,527	23.32	77	12.38
Europe and North America	9,752,698	1.67	17	2.73
Global	172,692,253	29.65	226	36.33
Latin America and the Caribbean	47,726,634	8.20	71	11.41
Multi-country	68,237,000	11.72	61	9.81
<b>Total</b>	<b>582,365,726</b>	<b>100.00</b>	<b>622</b>	<b>100.00</b>
<b>Housing</b>	<b>Programmes Budget</b>	<b>Budget %</b>	<b>Programmes Number</b>	<b>Number %</b>
Africa	31,779,037	18.35	53	30.11
Arab States	42,254,698	24.40	22	12.50
Asia and the pacific	69,507,559	40.14	31	17.61
Europe and North America	2,423,541	1.40	7	3.98
global	11,105,911	6.41	41	23.30
Latin America and the Caribbean	6,949,856	4.01	12	6.82
Multi-country	9,133,803	5.27	10	5.68
<b>Total</b>	<b>173,154,405</b>	<b>100.00</b>	<b>176</b>	<b>100.00</b>
<b>Water, Sanitation and Basic Services</b>	<b>Programmes Budget</b>	<b>Budget %</b>	<b>Programmes Number</b>	<b>Number %</b>
Africa	76,250,864	29.74	42	23.73
Arab States	15,120,026	5.90	11	6.21
Asia and the pacific	67,637,471	26.38	67	37.85
Europe and North America	66,925	0.03	1	0.56
global	77,220,887	30.12	37	20.90
Latin America and the Caribbean	1,032,124	0.40	2	1.13
Multi-country	19,032,870	7.42	17	9.60
<b>Total</b>	<b>256,361,167</b>	<b>100.00</b>	<b>177</b>	<b>100.00</b>
<b>Slums</b>	<b>Programmes Budget</b>	<b>Budget %</b>	<b>Programmes Number</b>	<b>Number %</b>
Africa	18,592,636	10.38	26	21.31
Arab States	4,525,182	2.53	17	13.93

All PROGRAMMES	Programmes Number	Number %	Programmes Budget	Budget %
Asia and the Pacific	102,948,973	57.47	27	22.13
Global	50,227,697	28.04	42	34.43
Latin America and the Caribbean	2,705,586	1.51	8	6.56
Multi-country	135,000	0.08	2	1.64
<b>Total</b>	<b>179,135,074</b>	<b>100.00</b>	<b>122</b>	<b>100.00</b>

## Annex 19: Global Report on Human Settlements and State of the World's Cities Report

Global Report on Human Settlements		State of the World's Cities Report	
Title	Year	Title	Year
Global Report on Human Settlements	1986		
An Urbanizing World	1996		
Cities in a Globalizing World	2001	State of the World's Cities	2001
The Challenge of Slums	2003	Globalization, Culture and Cities	2004-05
Financing Urban Shelter	2005	The Millennium Development Goals and Urban Sustainability: 30 Years of Shaping the Habitat Agenda	2006-07
Enhancing Urban Safety and Security	2007	Harmonious Cities	2008-09
Planning Sustainable Cities	2009	Bridging the Urban Divide	2010-11
Cities and Climate Change	2011	Prosperity of Cities	2012-13
Planning and Design for Sustainable Urban Mobility	2013		

## Annex 20: Global Report Download Statistics

Download statistics of Global Report on Human Settlements, 2008-2013

Title	Year	2008	2009	2010	2011	2012	2013	Total
Global Report on Human Settlements	1986	222	1,354	1,147	867	484	428	4,502
An Urbanizing World	1996	489	1,678	1,722	1,300	1,257	1,300	7,746
Cities in a Globalizing World	2001	1,464	2,058	2,297	1,694	1,565	1,947	11,025
The Challenge of Slums	2003	5,265	6,188	9,484	9,904	12,505	13,617	47,059
Financing Urban Shelter	2005	4,462	2,031	2,715	1,334	1,239	2,812	14,593
Enhancing Urban Safety and Security	2007	2,490	2,874	2,993	1,383	1,002	826	11,568
Planning Sustainable Cities	2009			2,813	3,275	2,598	2,379	11,065
Cities and Climate Change	2011				3,865	5,689	3,679	13,233
Planning and Design for Sustainable Urban Mobility*	2013						1,912	1,912

\* The 2013 GRHS was launched in Oct. 2013 and the number of downloads is based on the period Oct. – Nov. 2013.

Note: This table does not include downloads through the GRHS website from 1 January to 31 October 2013.



## Download statistics of State of the World's Cities Reports, 2008-2013

State of the World's Cities Report	Year	2008	2009	2010	2011	2012	2013	Total
State of the World's Cities	2001							
Globalization, Culture and Cities	2004/2005			892		3,279	4,067	8,238
The Millennium Development Goals and Urban Sustainability: 30 Years of Shaping the Habitat Agenda	2006/2007		2,762	3,834	5,220	11,829	9,257	32,902
Harmonious Cities	2008/2009	1	32,225	22,010	13,510	8,968	6,529	83,243
Bridging the Urban Divide	2010/2011			3,993	22,954	15,530	8,645	51,122
Prosperity of Cities	2012/2013					27,701	33,838	61,539

Source: Evaluation of UN-Habitat's Flagship Reports: Global Report on Human Settlements and State of the World's Cities Report.40

## Annex 21: List of the Housing Sector Profiles published since 2008

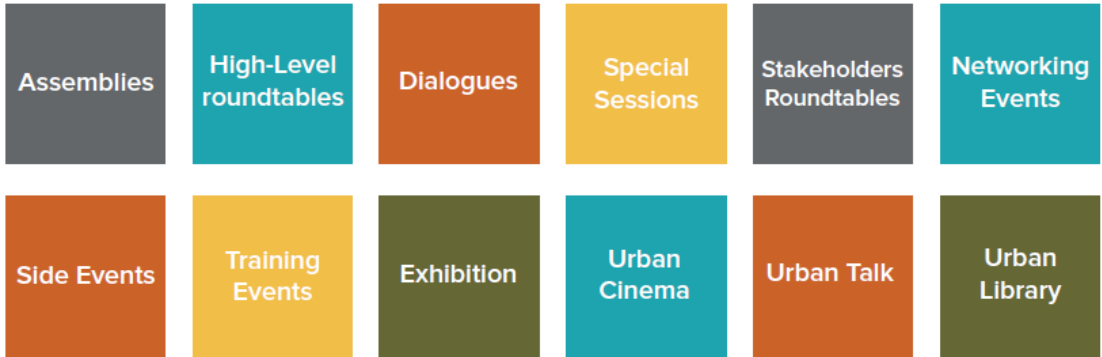
Afghanistan		Malawi	2010
Bangladesh	2018	Mali	2009
Benin	2009	Mexico	
Cape Verde	2019	Mozambique	2018
Cuba		Myanmar	2018
Djibouti		Nepal	2011
Ecuador	2013	Niger	2009
Egypt		Saudi Arabia	
El Salvador		Senegal	2013
Eritrea		Serbia	2012
Ghana	2011	Tunisia	2012
Guyana		Tuvalu	
Haiti		Uganda	2012
Lebanon		Vietnam	
Lesotho		Zambia	2012
Liberia		Zimbabwe	2012
Libya			

## Annex 22: World Urban Forum

### Location and Participation

WUF#	Year	City, Country	Theme	Registered Online	No. of Participants	% F/M	No. of Countries
WUF1	2002	Nairobi, Kenya	Sustainable Urbanization		1,195		81
WUF2	2004	Barcelona, Spain	Cities: Crossroads of culture inclusiveness and integration?		4,389		
WUF3	2006	Vancouver, Canada	Our Future: Sustainable Cities – Turning Ideas into Action		9,689	47/52*	
WUF4	2008	Nanjing, China	Harmonious Urbanization: The Challenge of Balanced Territorial Development	15,730	8,000		146
WUF5	2010	Rio de Janeiro, Brazil	The Right to the City: Bridging the Urban Divide	22,269	13,795	42/58	150
WUF6	2012	Naples, Italy	The Urban Future	9,703	8,209	42/58	152
WUF7	2014	Medellin, Columbia	Urban Equity in Development – Cities for Life		18,030	47/53	142
WUF8	2016						
WUF9	2018	Kuala Lumpur, Malaysia	Cities 2030 – Cities for All: Implementing the New Urban Agenda		19,237	44/56	164

## World Urban Forum Events



Source: *Urban Impact Issue 08/November 2019*

percent of their monthly income or expenditure on housing or average rent of bottom three income deciles as a proportion of the top three (affordability)

- Proportion of households with legally enforceable, contractual, statutory or other protection providing security of tenure or proportion of households with access to secure tenure (Security of Tenure)

## Annex 23: Tracking of impacts by UN-Habitat

As mentioned in the section 4.1 on data limitations, the identification and assessment of the impacts of the Housing Approach has been challenging, mainly because impact monitoring and assessment is not well-developed within UN-Habitat. Consequently, the findings are mainly based on monitoring data (e.g. number of houses were built by a specific housing project) making it difficult to assess the contribution of UN-Habitat to greater achievements (e.g. number of people provided with adequate housing through a public programme).

### The current UN-Habitat approaches to Impact monitoring

#### Impact theory

The data collection for the present evaluation has faced the challenge that only limited monitoring and no impact evaluation systems are yet in place within UN-Habitat. Ideally such a system should include a TOC explaining the processes through which impacts are intended to be produced, and a monitoring, tracking and reporting mechanisms. The Housing Approach does not currently have a TOC, and the TOC presented in this evaluation has been developed by the evaluation team. Moreover, most of the links (or intermediate states) between housing programmes outcomes and Housing Approach goals presented in the TOC are not included in the strategic or programme documents. Consequently, most of the Housing Approach strategic principles are based on largely untested assumptions that the outputs and outcomes will eventually contribute to the global objectives. Currently, these assumptions are mainly based on the expertise and long-term experience of UN-Habitat on housing issues, but remain undocumented and largely untested.

### Impact monitoring systems

The absence of a monitoring and evaluation system means that there are few indicators for assessing impacts of the Housing Approach. While strategic plans results frameworks support the global UN-Habitat objective of Adequate Housing for All; they provide very few indicators to assess progress towards this objective. Available indicators are limited to assessing project outputs and occasionally outcomes, such as the development and adoption of policies. An additional challenge is that adequate housing for all and poverty reduction objectives require indicators to assess the interaction among multiple dimensions, whereas most monitoring indicators only cover single projects with limited objectives such as specific adequate housing criteria (e.g. habitability or access to water and sanitation), or the needs of different target vulnerable groups (e.g. disaster affected population).

At the country level, the monitoring of housing project impacts is very limited, and most project performance are only assessed against their own results frameworks. In addition the present evaluation was only able to identify a few internal evaluations and a rather limited number of external evaluations. Most of the external evaluations confirm the need for accurate and objective impact assessments, indicators<sup>42</sup>, data collection<sup>43</sup> and reporting<sup>44</sup> and improved programme logic models<sup>45</sup>. The limited number of evaluations, did not provide sufficient data to conduct retrospective analysis, on the likely effects of the intermediate steps of the Housing Approach logic, linking outcomes to impacts such as political will, policy adoption, public programme implementation or disposable income increase.

Moreover, project impacts (or outcomes) are never combined to assess the cumulative effects of country, regional or global level strategies or portfolios. Project results are expressed using different metrics that make the aggregation of data impossible. For example, in multi-country annual reports, the project results are often not aggregated, numbers of beneficiaries, or the improvement to different elements of housing are listed without being summed to demonstrate the progress towards a broader objective (See Myanmar Report). This is especially true for the evaluation of poverty reduction objectives, where again available indicators do not make it possible to assess programme effects and to what extent they contribute singly or in combination to the reduction of poverty.

In the case of PSUP, programme outcomes can be combined to demonstrate global achievements, as reported in the chapter 5 on [Housing Approach achievements]. However, the lack of a centralized monitoring and management system means that available results only concern programme outputs and sometimes outcomes, but do not inform on impacts on global goals. While numbers of people benefiting from the programme are reported, the contribution of the programme towards adequate housing rights is not well-documented.

### Impact on adequate housing and poverty reduction

The lack of documentation of outcomes means that it is usually not possible to assess the extent to which the adequate housing criteria have been achieved for a specific target population. For example, in the case of a project aiming to address one specific issue (e.g. access to water and sanitation), it is not possible to determine which adequate housing criteria were already achieved or if complementary interventions through the Housing Approach are still required (to address affordability of security of tenure for example). Similarly, while outputs on normative interventions often refer to the development or adoption of improved policies, it is rarely stated to what extent these policies are consistent with different adequate housing rights and to what extent these have been adopted and applied.

The lack of follow-up on project achievement also makes it difficult to assess the overall UN-Habitat contributions. In the case of knowledge production or policy advice, whether and how the knowledge or improved policies are used is rarely documented, representing a huge missed opportunity to document impacts, especially since the approach is based on the continuity of the housing reform after Housing Approach support.

The limited ability of COs to follow-up on project results is explained by two main factors. First, the demand-driven CO activities in many countries mean that staff frequently move from one project to another, and secondly the limited budget for activities such as M&E outside the country programme framework. Consequently, when reviewing project documentation, and results indicators (when available), it is usually only possible to report on the particular dimensions or criteria where there has been improvement.

It is even more difficult to assess impacts on poverty reduction, UN-Habitat does not have a framework or guidance on how housing is expected to reduce poverty, and to support broader intended objectives. Only one UN-Habitat publication produced during the evaluation period was identified, *Housing as a Strategy for Poverty Reduction in Ghana*, which assesses the role housing could play in a poverty reduction strategy<sup>46</sup>. Beside this study, impacts of housing programmes on poverty reduction remain undocumented.

### Adequate housing indicators

Many key informants highlighted the need for indicators and baselines against which to measure programme performance. The existing secondary sources at country level such national statistical data, local urban observatory or UPR and SR reports are not considered sufficiently relevant to assess the impact of UN-Habitat on adequate housing<sup>47</sup>. The more relevant indicators are mainly UN-Habitat internal sources such as programme databases, reports and evaluations.

Several global partners interviewed regretted the lack of indicators tracking to assess the evolution of adequate housing at country and local level, (see section 6.1 [Relevance]).

A further serious limitation of the current systems is that most of the reporting only provides information on the number of programmes, and cost, but there are very few estimates of the number of beneficiaries. In the relatively few cases where numbers are provided, it is difficult to find the methodology on which the numbers are based. For example, the PSUP has reportedly supported over 800,000 slum dwellers to gain improved tenure security but there is no explanation as to how this figure has been reached.

The above considerations suggest the need for two levels of indicators: to monitor Housing Approach impacts, and to monitor the realization of adequate housing at local and country level. These two levels are different as UN-Habitat is not the only stakeholder influencing housing outcomes, and many other actors and factors are impacting Housing Approach outcomes positively or negatively.

To tackle these limitations, the present impact assessment has developed several additional methodologies and impact indicators (see section 3 [Methodology] and annex 10).

## Adequate housing

The evaluation has reviewed the different available indicators and criteria for the assessment of UN-Habitat housing impacts. The analysis of existing global housing indicators is detailed in section 3.4, and findings are only briefly mentioned here.

While the SDG indicators have been found useful by many different stakeholders; SDG 11.1 is often criticized because it does not cover all the dimensions of adequate housing. Moreover, it is mostly collected at country level and at infrequent intervals over time, making it difficult to assess the influence of a particular stakeholder or outcome.

National statistical data and other data collection systems (Local Urban Observatories, CPI), are not usually designed to cover the comprehensive dimensions of adequate housing. As discussed above, UN-Habitat housing results frameworks do not currently include the project impact dimension.

UN-Habitat reports on housing have provided a valuable understanding of housing contexts but are mainly based on qualitative information. When quantitative data is used it has normally been produced by other stakeholders, such as statistical institutions or academics. Moreover, in only one case (Senegal) did an actualization of the housing profile capture the evolution of the housing situation in the country.

The UPR and the Special Rapporteur on adequate housing reports are not commonly used by UN-Habitat. In the questionnaire, the COs rated these reports as less relevant to assess both the achievement of adequate housing rights at country level and the impact of UN-Habitat on adequate housing. They provide key qualitative and comprehensive information on the achievement of adequate housing at country level. However, they do not provide time series indicators to assess the evolution of adequate housing rights over time.

The last set of indicators are the Illustrative Indicators in the Achievement of Adequate Housing Rights. This framework has been developed by UN-Habitat and OHCHR<sup>48</sup>, and provides a comprehensive set of indicators illustrating the progressive achievement of adequate housing rights. The indicators are combined into a three-step scale: structural, process and outcome indicators, which is consistent with the Human Right-Based Approach promoted by OHCHR and adopted by

UN-Habitat. The indicators are divided into four housing criteria: Habitability, Accessibility to Services, Housing Affordability and Security of Tenure<sup>49</sup>. These indicators do not seem to be used in UN-Habitat programme strategies or results frameworks, but As discussed above (section 3.4 [Impact measurement] of the Methodology chapter), several indicators already collected by UN-Habitat at programme or global level, as well as some SDGs are consistent with this framework.

This last set of indicators is the one that covers most of the dimensions of adequate housing and also includes a selection of likely impacts of the Housing Approach, from the structural to the outcome level. In addition, it includes indicators that cover different adequate housing criteria, level of implementation (national to local) and intervention types (normative to operational). Together these cover the diversity of Housing Approach interventions, and these indicators have been adopted to assess the impacts of the UN-Habitat Housing Approach in the framework of this evaluation.

## Poverty reduction

UN-Habitat housing programmes do not report on any indicators of poverty, and published, indicators only inform on the specific interventions implemented (training, improvement of infrastructure). The only global objective that has a direct relation with poverty is to increase the supply of affordable housing, however, this objective is not associated with any specific indicator within the strategic plans' results frameworks<sup>50</sup>.

UN-Habitat has adopted a human-rights based approach<sup>51</sup> which recognizes that poverty is a multidimensional phenomenon that encompasses more than a lack of sufficient income alone but also involves a lack of access to basic services and social exclusion<sup>52</sup>. The percentage of the population below the poverty line assesses access to a sufficient income, but it is not a sufficient indicator to assess the multidimensional nature of poverty. In fact, this indicator is more commonly used to estimate the achievement of rights such as access to food, social security or non-discrimination and equality.

The main existing framework to assess the evolution of poverty at country level is the SDG 1 on poverty alleviation. Several targets of this goal have been identified as likely to express the impacts of UN-Habitat housing programmes on poverty (See Chapter 3 Methodology).

Some SDG 1 targets, along with housing affordability, have been adopted within the framework of this evaluation to identify and qualify the impacts housing programmes are likely to have on poverty. Other dimensions such as access to education, participation or health are also discussed in the Impact chapter, these are also informed by the review of the Ghana study<sup>53</sup> and several external studies on the links between housing programmes and poverty reduction.

There are a number of gender dimensions of poverty that the available data on Housing Approach projects do not address. For example, many sources of information on income, particularly when used to assess capacity to pay for housing, only take into account earned income – and sometimes only wages earned in the formal labour market. Many female households receive significant proportions of their income in the form of transfers and remittances from family members and sometimes neighbours.<sup>54</sup>

## Annex 24: Impact Assessment – Global Level Interventions

### Events and networks

The events and networks organized by UN-Habitat at global and regional levels have contributed to several significant impacts. First the events foster discussion between different housing stakeholders, mainly governments and experts. The country case studies have shown that in some places this has enabled the exchange of experience (ROLAC, ROAf, ROAS) and has influenced the positioning and commitment of national authorities (Myanmar, Zambia).

The major event organized by UN-Habitat during 2008-2019 period was the Habitat III conference, which had a major impact on government interest in urban and housing issues. Most of the 110 countries where UN-Habitat operates were supported in a preparatory process of assessment of their urban context, in which housing was a central issue. This information enabled the elaboration of five regional reports and declarations addressing housing challenges, and several Issues Papers and Policy Papers addressing specific thematic such as "Housing Policies" or "Informal Settlements". In all these papers and the majority of the declarations the right to adequate housing is promoted.

The major outcome of Habitat III was the global New Urban Agenda (NUA), which reaffirms the commitment of countries to the full realization of the right to adequate housing. The incorporation of the NUA guidance and principles into regional and cities strategies is a major impact achieved by UN-Habitat. The NUA has been endorsed by 167 countries. A number of important publications were produced for all regions (see findings annex)

Several stakeholders however regretted that the major accomplishments of the previous Habitat I and Habitat II conferences toward the recognition and the formalisation of the right to adequate housing have not been reinforced in Habitat III, and that the NUA did not include major breakthroughs on the operationalisation of the housing rights.

The other main achievement of these events was the follow-up and dissemination of the countries' commitment and achievements in terms of adequate housing. The case of Mexico has shown (see case-study report) that the engagement of the national authorities in the international events have had major impact on the commitment to adequate housing, with the active endorsement of the agenda 2030 and the adequate housing principles. This commitment has been concretized through the revision of the national housing frameworks and the developed of improved policies.

As shown by the country case studies the influence of the global events and networks vary regionally. The influence of the WUFs is always greater in the host region. For example the several WUFs organized in Asia provided substantial support for the promotion of the "People's Process" methodology and achievements, while the organisation of the Habitat III conference in Latin America fostered the discussion and engagement on housing issues in the region.

Several partners regretted the fact that the participants to these events are not sufficiently representative of all key housing stakeholders, especially at the biannual WUFs. The two most important under-represented groups were the private sector (including land and homes owners, developers and service providers) and civil society, especially the advocacy groups and the CBOs. Some partners regret that the participants to the global and regional events are mainly the ones that have already endorsed the global housing frameworks. This lack of representativity is perceived as limiting the impact of these events, especially in terms of promotion of adequate housing rights.

The global or regional events organized by UN-Habitat such as Habitat III conference, the WUFs, or the Asia-Pacific Urban Forum (APUF-7) have not had a strong focus on housing, as they address the full scope of the urban matters. Several stakeholders also criticized the fact that housing is not given enough prominence within these events, with the risk of sometimes considering housing as merely a cross cutting issue within the broader urban challenges, and that this has limited the promotion of adequate housing.

In terms of slums prevention and improvements, the PSUP global events have increased commitment among ACP governments to improve conditions in slums, through the three International Tripartite Conferences on Sustainable Urbanization for Urban Poverty Eradication and the respective Declarations of Nairobi (2009), Kigali (2013) and Brussels (2018) with each time growing numbers of country signing.

The evaluation did not identify and assess the influence of specific global networks on adequate housing. The role of the GHS in this regard seems to have been limited to the countries where specific programmes have been implemented such as the 'Strengthening National Capacities to Formulate and Adopt Housing and Slum Upgrading Strategies' project, in Afghanistan, Lesotho, Mozambique, Myanmar, Sri Lanka and Zambia. Impacts of the implementation of the Housing Approach in the country case studies of Myanmar and Zambia are mentioned in the following impacts sections and discussed in detail in the case study reports.

## Knowledge

The knowledge products UN-Habitat has been producing at the global level have significantly contributed to the recognition of the lead position of UN-Habitat on adequate housing, particularly on specific topics such as slum upgrading.

Many key reports have provided housing stakeholders worldwide with key information, best practices or guidance to improve their knowledge, policies and practices. Global partners have cited many key reports addressing the issues of slums, forced evictions, or access to adequate housing for women, youth or indigenous populations. One key added value of the UN-Habitat publications is that they focus on guidance and support the translation of data and principles into practice, through the development of strategies and programmes.

Among them the 'Fact Sheet on adequate housing' developed in collaboration with OHCHR (2011) remains the key reference on adequate housing criteria. The document provides clear and comprehensive understanding on adequate housing rights. The work on housing rights has also produced several additional training tools, documentation and guidance on housing rights.

Most of the cited publications have been produced during the first years or before the 2008-2018 period, such as the *Global Report on Human Settlements, 2003: The Challenge of Slums*<sup>55</sup>. Some informants estimate that the capacity of UN-Habitat to produce quality reports on housing has been reduced over the years. All stakeholders however acknowledge that the reports have been helping to keep housing on the international agenda, and especially maintaining the focus on the challenges of adequate housing provision for the marginalized and vulnerable groups.

These global publications continue, to be very influential, especially for two groups, the academics and the young housing professionals, as they provide both key data and analysis on housing trends and unique guidance on innovative methodologies. The impact of these reports is as such very important at the country level (see below). The impact of the publications seems to be similar in the different regions, except in the Arab States, where it has been more limited mainly because publications have been translated into Arabic for a long time.

UN-Habitat does not follow-up on the use of the produced publications, usually the only available data is the number of prints or downloads achieved. In addition, the promotion of the published documents is limited as well as their availability.



As mentioned above, the access to UN-Habitat websites has been very limited and difficult over the period of this evaluation, and some documents could not be located. An example of an agency that invests significant resources in assessing the readership of its publications, and the frequency of references to each publication in the mass media is CONEVAL (the national evaluation agency in Mexico).

## Annex 25: Impact Assessment – Knowledge production and dissemination

Many knowledge products are produced by UN-Habitat at country level, and this is a main area of the agency's work. The responses to the questionnaire to COs show that knowledge production – and in particular the profiles of the national housing sector, cities, neighbourhoods and slums – are the publications that have the greatest impact on adequate housing issues.

The knowledge products are also often reported as an effective entry point and an advocacy tool, as they influence the public agendas and trigger improvements in housing and slums policies and strategies,<sup>56</sup> such as demonstrated in the example of Myanmar (see case study report).

One other main impact of these publication is that they enable all housing stakeholders to gain a comprehensive understanding of housing contexts by providing information on undocumented areas and marginalized groups. The publications provide an understanding of current housing policies, legislation and regulations, and an alternative narrative on informal settlements and slums as well as alternatives to forced evictions and slums demolitions. This is particularly important for authorities and especially municipalities who are often struggling from the lack of information and guidance. Reports and profiles are able to increase understanding on housing issues among national and local authorities as reported by others evaluations, however not all authorities have proven to have used this knowledge.<sup>57</sup> In several cases the production of profiles has not been sufficient to enable housing reforms (Nepal, Mali, Niger). The responses to the questionnaire to COs, show that less than half of the country governments are promoting equitable access to adequate housing for all.

Beside authorities the other main audience of the publications are the academics and young housing and urban professionals. The data and guidance produced in country by UN-Habitat enable future housing stakeholders and authorities to gain knowledge on often undocumented issues and areas. The UN-Habitat publications are also very important because they promote the incorporations of key cross-cutting issues into housing studies, such as climate change, participation, or inclusion of women and youth. This knowledge building is further reinforced by the learning and sharing events developed to accompany these data production (webinars, seminars, etc.)

The data produced facilitates the analysis required to inform policy formulation. In most cases, national housing policy formulation has been preceded by the elaboration of a national housing profile. This is also true for many slum upgrading and prevention policies and strategies which are always informed by nation-, city- or neighbourhood-wide analysis of the slum situation. Most UN-Habitat staff interviewed were confident that the housing and slums profiles include all the data required to prepare a policy.

However, most COs are not able to monitor the use of the knowledge products. There is no follow-up of the use of the key documents. In addition, some stakeholders regret that the impact of the knowledge is confined by the classic form of the reports and by the lack of declination of publication of the data, some say that the information need to be adapt to different audiences and medias, including made available in summary to foster its appropriation and use by the general public.

The need for the post-disaster interventions has prompted the publication of technical manuals and guides on the design and construction processes or the type of building materials aimed at supporting the reconstruction efforts of partners.<sup>58</sup> Due to the often-deep knowledge of UN-Habitat of the local construction techniques, these reports are greatly appreciated and have influenced many shelter and housing reconstruction programmes (Sri Lanka, Indonesia, Mozambique).

## Annex 26: Impact Assessment – Policy Advice

The normative interventions to support authorities to develop pro-active housing policies can be undertaken through different entry points, it can be demand driven, and respond to the request expressed by government (ex. Myanmar), or it can come as a secondary result of other housing interventions such as post-disaster responses, or slum upgrading or prevention.

The achieved results are however different depending of the entry point. Most housing reforms have enabled the elaboration of national housing policies; post-crisis interventions have been to trigger the elaboration of national policy on management of natural disaster, or building codes (e.g. Myanmar), while slums-related interventions have enabled the development of slum upgrading and prevention policies.

The elaboration of national housing and slums policies is one key intermediate objectives of the Housing Approach and one key strategic result of the UN-Habitat global strategic plans. This result has been achieved in many countries where the Housing Approach has been implemented. This step of the Housing Approach contributes to the first indicators of the realization of adequate housing rights, through the operationalization of global agendas at the national level.

The consistency of improved frameworks have been assessed through the case-studies analysis. It revealed the broad consistency of the policies with adequate housing criteria and NUA in the case of Myanmar and Mexico. However, in some cases, national authorities have been reluctant to incorporate explicitly key adequate housing principles, such as the right to adequate housing for all, as they see this as an unfulfillable commitment by Government.

PSUP interventions have enabled the development and adoption of many national and local policies and strategies, in most cases these have had a major influence on the policies and have enabled significant reorientation of institutional and political policies toward slums integration, upgrading and relocation, reducing forced evictions and demolition. Despite this achievement, examples of synergy between housing and PSUP interventions are rare, the PSUP being implemented more as a stand-alone process from

Nairobi with few linkages to other related interventions<sup>59</sup> implemented by COs or other branches at country level.

Post-crisis interventions have, in many contexts, triggered other development policies besides the housing reconstruction policies supported by UN-Habitat in the framework of coordination or assistance to post-disasters responses (Pakistan, Haiti, Sri Lanka, ...), UN-Habitat has also contributed to the development of building codes, for example in Myanmar (See Report), or has influenced the reorientation of reconstruction polices, such as in Haiti, Iraq and Mozambique, with a shift in attention from camps to neighbourhoods to support, accelerate and sustain the recovery process.

One key area of intervention for the COs is the support to the elaboration of improved policies is the promotion of adequate housing. However, this activity is not developed in the TOC and UN-Habitat strategic frameworks. At country level, the engagement of COs in the promotion or advocacy of housing rights are generally limited. Collaboration at country level with OHCHR, Special Rapporteur for adequate housing (SR), and advocacy groups are rare, as regretted by many stakeholders.

Indeed, SR recommendations are rarely mentioned in UN-Habitat country strategies and some country and global partners have criticized what they see as a lack of engagement of UN-Habitat in the promotion of housing rights. This is perceived as a missed opportunity as UN-Habitat usually enjoys a favourable positioning and trustful relationship with governments, and because the agency has developed comprehensive knowledge and guidance products. The lack of engagement is explained by some partners as being because of COs lack of capacity in advocacy work and therefore a fear of criticizing government at the risk of endangering ongoing projects and good relationships.

The success of normative interventions is not automatic, and in many countries the production of knowledge has not resulted in the development of policy, while in other cases policy advice has not permitted the adoption of improved frameworks. The case studies analysis and other evaluations<sup>60</sup> show the political context is key to enable the development and adoption of inclusive housing policies. The examples of Myanmar and Mexico show the importance of windows of opportunities created by political changes. Post-disaster interventions also show crisis can also be a favourable moment for authorities to receive support to revise and improve frameworks. But the windows of opportunities are not

sufficient, the cases studies of Myanmar and Mexico prove that the governments have agreed to engage into housing reforms with UN-Habitat because of the recognized expertise of the agency on housing issues, because of its long-term presence in the country and its deep knowledge of the housing contexts, and because of the trustful relationship developed over the years with authorities and institutions. On the other hand, UN-Habitat has been able to achieved these results because of the engagement with the rights policy actors mainly at national level.

Other favourable factors for the achievement of improved housing policies mentioned in the KIIs are the conditions that governments have the means to develop housing strategies and programmes.

The adoption of improved housing and slums policies is not an end in itself, as these must be translated into strategies and programmes and implemented to eventually improve access to adequate housing for populations. This initiative ultimately relies on authorities, and UN-Habitat has limited ability to ensure the engagement of government in housing reforms. It has even less influence on the implementation of policies, which is highly dependent of political commitment.

## Annex 27: Impact Assessment – Technical assistance and capacity development

Not discussed here are the interventions implemented by the Research and Capacity Development Branch, such as the development and dissemination of the guides for *Housing the Poor in Africa and Asia*, or the Global Urban Lectures.

As UN-Habitat has had a limited engagement with country authorities to support the development and implementation of housing programmes, the technical assistance interventions on this topic have been found limited. Even in the country case studies where national housing programmes were in process of revision (Mexico) and implementation (Myanmar), the COs were not providing specific technical assistance in this regard. This has been explained by the high dependency of UN-Habitat on governments demand for assistance, and the limited capacity of the agency to implement activities and follow-up outside of the framework of

projects. Hence, technical assistance and capacity building interventions are incorporated into specific projects, and rather disconnected from UN-Habitat global or country level strategies, with two exceptions, the global-led interventions such as PSUP and GHS-inspired programmes. In these two cases the programmes have developed and implemented systematic training modules on housing and slums policies (see below).

The more frequent technical assistance interventions on housing are linked with the other components of the approach, knowledge management or policy advice.

Global partners and country stakeholders report that UN-Habitat is having a great impact on authorities, and especially on local authorities to build their capacity in assessing housing contexts. UN-Habitat is providing some theoretical and practical support to provide a comprehensive understanding of housing contexts by their own stakeholders. They also built their capacity to articulate linkage between their own housing situation with global housing and urban trends and challenges. Indeed, UN-Habitat capacity building to authorities includes the understanding of global frameworks, such as adequate housing rights and criteria, and goals (mainly the SDGS) and enable the development or policies and strategies in consistency with global goals and indicators.

The knowledge and tools provided by UN-Habitat thus allow better understanding of housing concepts and realities such as 'slums', 'informal settlements', 'adequate housing' or 'housing affordability'. The case studies of Myanmar, but also of Haiti and Mongolia show that policy improvements have required mind shift from policy makers and advisers, encouraged by knowledge and capacity building to articulate these housing-related concepts.

The impact of these activity is dependent on trained people remaining in position and using the acquired capacities. In this regards, regional discrepancies have been observed, the impact has been greater in Asia than in Latin America, because of the important turnover that occurs, at each political change in governance bodies and institutions. In Asia on the contrary, technical staff have been reported to be more stable which has facilitated the institutional skill improvement.

UN-Habitat has been also providing support to national authorities in the monitoring of housing indicators. This includes the identification of context relevant indicators for adequate housing at country level, as well as the support to national institutes of statistics to develop monitoring systems (e.g. Haiti). This also includes the capacity building to national authorities to develop and implement the tracking of SDG 11 indicators, in consistency with the Agenda 2030 and with the custodian role of UN-Habitat (e.g. Mexico).

The Mexico case-study in a great example of the achieved capacity building of different stakeholders from government bodies and institutions over the past years, that recently supported the revision of the national housing policy and strategic framework.

The case-study, also shows that the capacity gap is huge between national and local authorities, municipalities often have limited expertise on housing issues and have to deal with huge challenges. UN-Habitat capacity building support is mainly provided to national authorities and institutions, and capital cities municipalities, and does not normally cover the needs from intermediate and smaller cities municipalities, where reports show that they are facing the biggest urbanization and migration growth rates<sup>61</sup>. Moreover, most intermediate cities and towns do not have the time and financial means to contract UN-Habitat.

The expertise and involvement of UN-Habitat in some specific housing matters have enabled the agency to transfer its experience to housing stakeholders. In Asia the expertise on DRR approach and participatory processes developed through the implementation of various post-disaster and other housing-related operations, have been soon transferred to local partners through publications, workshops or other capacity building interventions. In Sri Lanka, from the beginning of the implementation of the 'People's Process' approach, the participatory methodology has been transferred to the National and local authorities which has soon enabled its replication in other communities. In the framework of post-crisis and CCA contexts (Haiti, Sri Lanka, Myanmar) many capacities building focus on sustainable construction or Build Back Better principles, reported main impact of these activities is that they include all level of governance (national to community level) to build up resilience of communities and territories.

PSUP programmes have focused on building the institutional capacity on slum upgrading, by providing key governance and financing skills and mechanisms, evaluations<sup>62</sup> have shown that governments and institutional had effectively gained capacities but that not all have been able to use them (See Impact on Knowledge section).

## Annex 28: Impact Assessment – Support to housing programmes implementation

### Adequate Housing

#### Demonstration programmes

One main contribution of UN-Habitat support to housing programme implementation is the provision of support and implementation of pilot projects. These projects are an important part of the UN-Habitat operational activities, the review of the housing programmes in Myanmar show that more than half on the programmes include pilot demonstration components.

These programmes can serve several objectives: (i) demonstrate the relevance of an approach, as in the example of the affordable housing units built for refugees in Jordan<sup>63</sup>, (ii) demonstrate the feasibility of a methodology, like in the relocation of Yangon slum dwellers in multi-storey low-cost buildings<sup>64</sup>, or to support the capacity building of housing stakeholders such as the multiple examples of builder training in post crisis contexts in Asia (See Myanmar Report).

The main impact of these interventions is to demonstrate the relevance and feasibility of an approach and is of high importance to use these to trigger the adoption or implementation of strategies by housing stakeholders and specifically by authorities and donors. The example of the affordable housing programmes in Mongolia (See Myanmar Report) funded by Asian Development Bank (ADB) since 2016, illustrate the need to validate the multiple components of a housing programme before moving to implementation before scaling-up.

## Public housing programmes

The support to the implementation of public housing programmes should be for UN-Habitat the concretisation of the Housing Approach, as a concrete step towards the provision of adequate housing to all or to targeted vulnerable groups.

However, the case studies have revealed that UN-Habitat has not been directly involved in countrywide public housing programmes.

In Asia, UN-Habitat claims that the implementation of the regional housing approach through the 'People's Process' has enabled the construction of over 1 million homes<sup>65</sup> and has influenced national housing programmes worldwide (Namibia, South Africa). However, the evaluation was not able to assess the contribution of UN-Habitat to the development of these programmes and provision of these homes, and was not able to verify the reported achievements.

It also remains unknown to what extent government supported by the knowledge management, policy advice and capacity building components of the Housing Approach, have been able to apply gained knowledge and capacity into improved national housing programmes. It has not been, at least for the country case-studies reviewed in this study.

This reveals several things. First, the limited capacity from UN-Habitat to trigger the implementation of housing programmes, most countries in which UN-Habitat has engaged into Housing Approach consistent programmes have not yet initiated improved national housing programmes. Then, it shows the limited capacity of COs to monitor the long-term impact of its normative and capacity-building interventions, as explained above (Monitoring of Impacts section). Consequently, this makes it difficult to monitor the consistency of the supported housing reform with global housing frameworks, and the effective provision of adequate housing to the population. Finally, it demonstrates that UN-Habitat depends on governments and on other housing stakeholders to concretize the work done on policy, knowledge and capacity to eventually contribute to the increase of access to adequate housing for all.

The review of the country cases studies has shown that in many places national housing programmes were to already operating to different extents (Myanmar, Mexico), and that UN-Habitat was only marginally involved in these initiatives. The analysis has shown that most of

these programmes were focusing on the middle class and was not addressing the needs of the low-income households. This is largely due to the fact that these programmes rely on formal economy and market, which the poorest have not access to. This reveals the limited impact UN-Habitat has had so far on the development of pro-poor housing frameworks, and the many challenges involved in providing housing for the poor.

Many stakeholders state that these challenges have to be addressed through innovative approaches that challenge the classic scheme of access to home ownership through formal finance, such as incremental tenure, inclusive financial tools, rent or social housing. The same stakeholders regret the fact that UN-Habitat is currently not in the best position to foster these changes and that the agency has to try to reclaim the innovative position it previously enjoyed in the 2000's (See Relevance sections). However, there are a number of country programmes, that are addressing these challenges, such as the low-cost inclusive housing programme in Mongolia, which is in the feasibility stage.

## Post-crisis interventions

Post-disasters and post-conflict interventions are the most frequent kind of operational interventions for UN-Habitat. The agency has been involved in hundreds of programmes in Asia and the Pacific, Africa, Arab States and the Caribbean, supporting post-disaster habitat reconstruction, IDPs and refugees' resettlements or relocation of crisis-affected population.

These programmes are often incorporated into humanitarian responses which UN-Habitat supports or even coordinates (Sri Lanka, Haiti, Myanmar). The housing programmes UN-Habitat supports are consequently implemented directly by the agency or in coordination with shelter agencies, other UN agencies, governments or local NGOs. Through these interventions UN-Habitat have been promoting some innovative approaches such as the Build Back Better principles, or the need to foster quick recovery processes.

As shown by the review of some post-disaster intervention in Asia (see Myanmar report) the interventions do not always intervene on housing but rather target the most urgent habitat elements, such as water, infrastructure, or education. Consequently, such interventions are not able to address all the adequate housing criteria as observed by some evaluations. Security may be temporary or unsecure<sup>66</sup>, and access to sanitation limited<sup>67</sup>.

Nevertheless, these interventions have been assessed as addressing the urgent needs of very vulnerable and marginalized people, by providing more safe and adequate homes. The identification of the number of provided shelters and houses through the review of the programme portfolios of Myanmar (about 10,000) and Sri Lanka (more than 40,000) demonstrate the significant contribution the agency in making in the progress of adequate housing for these specific groups.

As mentioned above some post-crisis interventions have been to be able to articulate longer term considerations, and to trigger the improvement of housing frameworks, such as in the example of the progressive development of the first Myanmar National building code (See Myanmar report). This is important because there is often a complete separation between short-term emergency programmes and longer-term development strategies.

In addition, post-crisis interventions have enabled UN-Habitat to address contemporary challenges such as migration, promoting the same holistic and inclusive approach, the agency has been developing for disaster affected populations or slum dwellers.

## Slums upgrading and prevention

Slums upgrading interventions are also a major way for UN-Habitat to provide direct housing assistance. Hundreds of thousands of slum dwellers have reportedly been supported through slum upgrading interventions within the framework of the PSUP as well as outside of it. According to a PSUP brief entitled '*10 Years of Impact*', PSUP has leveraged US\$ 1 billion from development partners and supported 190 cities in 35 PSUP countries and a total of 5 million slumdwellers. The key PSUP achievements of the PSUP are summarized in Table 8.

However, as mentioned in the Outcomes section, the number of slum dwellers provided with improved housing conditions is not rigorously tracked by UN-Habitat, nor is the coverage of adequate housing criteria within the slum upgrading interventions. It is therefore not known whether the PSUP beneficiaries counted in Table 8 have fully achieved their right to adequate housing or if there are still lacking some basic necessities. As mentioned by some other evaluations<sup>68</sup>, in most countries, it remains quite difficult to assess the impact of implemented programmes in terms of improving the living conditions of the urban poor.

Moreover, many PSUP programmes do not include operational interventions, and slum dwellers may not directly experience improvement of their living conditions.<sup>69</sup> This has been explained by the fact that physical interventions in slums will be implemented in the phase III of the PSUP, and have not yet commenced in most countries.

Nevertheless, some physical interventions have been implemented by UN-Habitat in slums and have achieved significant comprehensive results, such as the relocation of some vulnerable slumdwellers of Yangon townships<sup>70</sup>, but information on these cases and their quantified and qualified achievements remain difficult to obtain.

Many UN-Habitat slum interventions aim to trigger the improvement of slums upgrading and prevention policies to enable future improvements of the living conditions. Many programmes focusing on slums have achieved such results with the elaboration and adoption of improved policies and strategies, however as mentioned above, UN-Habitat is not tracking the effects of these policies, and the likely effects enabled remain undocumented.

**Table 8: Summary of key PSUP achievements**

<b>National development plans, policies and strategies reviewed to incorporate PSUP principles</b>	Over 50
<b>Government and non-government partners with strengthened capacity in slum upgrading</b>	1,200
<b>People with secure tenure</b>	Over 800,000
<b>People supported to access water and sanitation</b>	98,225
<b>People supported to access to waste management services</b>	126,564

Source: PSUP Brief:

## Poverty Reduction

As mentioned previously UN-Habitat does not have strategic objectives at country or global level associated with poverty and thus does not track indicators expressing achievements in this area.

Even if some UN-Habitat housing programmes are focusing on housing affordability, for example the Yangon slums dwellers relocation programme discussed above, the information currently collected in programme results does not assess the economic impact of these programmes on poverty. In addition to the significant impacts these programmes can bring, the programme indicators do not provide information on improved housing affordability compared to local or global<sup>71</sup> indicators.

Some housing programmes have been found to focus on the housing affordability of formal sector homeownership and largely ignore the private rental market, where most low-income families live<sup>72</sup>, or to the informal and public housing which actually provides greatest affordability<sup>73</sup>.

There is a similar lack of information for programmes focusing on security of tenure or service provision, or access to economic opportunities and jobs. UN-Habitat housing programmes provide information on programme outcomes, but do not assess to what extent poverty is reduced through these interventions.

To Tackle these limitations, the methodology for the present evaluation identifies a set of proxy indicators that are recognized at global level as providing approximate estimates of the likely impacts of UN-Habitat housing programmes on poverty. In addition, the following section identifies potential dimensions of poverty on which UN-Habitat housing programmes are likely to have impact.

The main globally acknowledged framework to assess efforts towards poverty eradication is SDG 1. Some of its targets and indicators are consistent with the UN-Habitat housing interventions. The Target 1.3.1<sup>74</sup> can be considered as a process level indicator that assesses the social protection safety nets/systems in place at country level. UN-Habitat housing interventions are contributing to the development of social protection frameworks as they are intended to enable the development and implementation of pro-poor housing policies, as discussed above. The targets 1.4.1<sup>75</sup> and 1.4.2<sup>76</sup>, are outcomes level indicators and are informing on the proportion population with access to basic services and

with secure tenure, UN-Habitat housing interventions also focus on these two dimensions and the identified achievements in these regards are discussed in the previous sections.

Beyond significant contributions to some of the SDG 1 targets, UN-Habitat housing interventions are likely to impact other dimensions of poverty, some of which will be reported while others will not.

An important impact that housing programmes can have on poverty is to increase disposable income through reduction of housing costs, including costs associated with ownership and renting; housing maintenance costs; basic services and transportation costs; and financial taxes and subsidies. The cost of housing is considered a key issue within a holistic analysis of the links between housing and poverty, even if incomes and remittances are no longer considered as the only factors to express poverty<sup>77</sup>. Adequate housing can have multiple impacts on economic situation of dwellers<sup>78</sup>, good design can reduce energy consumption and maintenance costs. Housing can also provide additional income through home-based-enterprises (e.g. shop, factory) or through renting.

Many UN-Habitat publications<sup>79 80</sup> and others<sup>81</sup>, show the positive impact secure tenure can have on several dimensions of poverty, such as turning a house into a financial asset, increasing occupancy stability; reduced rent or taxes; or facilitating ability to move to areas with better employment prospects. All these kinds of impacts can be expected from UN-Habitat housing programmes focusing on increasing security of tenure.

Housing programmes which also aim to the improvement of access to basic services or to economic development are likely to have complementary impacts on several other dimensions on poverty. Improved access to sanitation could lead to improvements in the health, hygiene, and psychological wellbeing<sup>82</sup>. As well, housing interventions can have positive impacts on local economies particularly in marginalized areas<sup>83</sup>, and participatory interventions and improved security of tenure contribute to increased access to citizenship<sup>84</sup>.

## Annex 29: Leadership on adequate housing for all issues

Competence/ Capability/ Attribute	Remarks
<b>Housing expertise and experience</b>	<ul style="list-style-type: none"> <li>• Housing is an area of excellence of UN-Habitat – it is 'a first point of call' for many housing stakeholders.</li> <li>• Great body of normative knowledge products – both online and published.</li> <li>• UN-Habitat provides great added value – particularly through HSUB, Human Settlements Officers, Regional Advisers, Consultants.</li> <li>• UN-Habitat has had great successes in the past; but has not received the recognition it deserves.</li> <li>• Housing has been a missing component of UN-Habitat's work for many years; losing the housing focus was a mistake.</li> <li>• UN-Habitat's expertise in housing is globally recognized, although perhaps less so of late.</li> <li>• There is still demand from national and local government for policy advice/Technical assistance/capacity building support from UN-Habitat – especially in the areas of housing policy, slum upgrading; disaster/post disaster and post-conflict situations;</li> </ul>
<b>Strong mandate</b>	<ul style="list-style-type: none"> <li>• UN-Habitat can significantly influence the global regional and national agendas on housing.</li> <li>• UN-Habitat is able to engage with housing partners and stakeholders at all levels (global to local) – other agencies work on housing but only at programme level, not at policy level</li> <li>• But some struggle to understand the overall mandate/strategy of UN-Habitat, e.g., how its contributes to the SDGs</li> </ul>
<b>Urban focus</b>	<ul style="list-style-type: none"> <li>• UN-Habitat is seen as a generalist urban organization; an 'Urban knowledge aggregator'.</li> <li>• UN-HABITAT is very relevant to the urban agenda – e.g., through its coordinative role; Expertise in urban/ municipal finance; promotion of the continuum of land rights</li> </ul>
<b>Housing focus</b>	<ul style="list-style-type: none"> <li>• Housing is perceived by some to be a secondary mandate of UN-Habitat – it is not seen as central or well-integrated.</li> <li>• Some consider the agency as not having as much knowledge on housing; and its expertise is considered too general.</li> <li>• The reduced focus on housing in recent years has reduced productivity and therefore internal expertise</li> <li>• Some believe that UN-Habitat addresses housing – but not adequate housing for all</li> <li>• UN-Habitat works on housing policies – but does not focus on low income</li> </ul>
<b>UN agency status / UN brand</b>	<ul style="list-style-type: none"> <li>• UN-Habitat has a good international reputation by virtue of its status as a UN agency.</li> <li>• High expectations from housing stakeholders, including on advocacy of housing rights (from NGOs, CSOs, CBOs).</li> <li>• On triggering international financial means (from authorities and institutions)</li> <li>• On sharing at the global level good results and best practices achieved by country stakeholders (from national authorities)</li> <li>• Sometimes unmet (human resource/financial constraints)</li> </ul>
<b>Country strategies</b>	<ul style="list-style-type: none"> <li>• Habitat Country Programme Documents (HCPDs) provide a comprehensive framework for normative and operational work, and partner and stakeholder engagement at the country level.</li> <li>• Country strategy are very dependent on the relationship of the CO with local authorities; and of the people in charge of the CO.</li> <li>• Generally help build strong, long-term relationships – but may vary from one country to another.</li> <li>• Often more developed at national level than local level</li> </ul>
<b>Knowledge of country housing systems and policies</b>	<ul style="list-style-type: none"> <li>• Deep knowledge of housing systems and policies at country level</li> <li>• Capacity to articulate local issues with global frameworks</li> </ul>



Competence/ Capability/ Attribute	Remarks
<b>Country Office expertise</b>	<ul style="list-style-type: none"> <li>COs have different levels of expertise and capacity; with some reported to have limited capacities to implement projects.</li> <li>Reporting capacities/commitment to partners are generally weak</li> <li>UN-Habitat maximizes the use of national expertise and procurement, supporting national execution in COs – which has a significant capacity building impact.</li> </ul>
<b>Holistic / multidimensional vision</b>	<ul style="list-style-type: none"> <li>Expertise on: Slum issues, Homelessness, Slum dwellers, Participatory approaches, and migration (more recently).</li> </ul>
<b>Research at global/ regional/country level</b>	<ul style="list-style-type: none"> <li>Strong support for research at global and country level; expertise and expert networks; links with universities</li> <li>Online data and information hub; Online repository of normative knowledge and guidance products, as well as published reports, guides and information products..</li> </ul>
<b>Specific strengths</b>	<ul style="list-style-type: none"> <li>Very strong in some area: including Policy advice; Understanding of housing contexts and articulation with global frameworks; Strong knowledge products developed, included earlier ones that are still very relevant.</li> <li>Community-led programme/project implementation – People's Process approach.</li> </ul>
<b>Perceived weaknesses</b>	<ul style="list-style-type: none"> <li>Not all elements of the Housing Approach are effectively addressed by the agency –weak on advocacy; and weak on implementation support to housing programmes/projects.</li> <li>Limited achievements with respect to public housing programmes and private sector engagement; and alternatives to home ownership, e.g., rental housing.</li> <li>Weak at addressing current challenges of finance and land –GLTN seen as being distinct from UN-Habitat/ HSUB, and a large programme operating at the regional as opposed to country level.</li> <li>Weak on fostering the development of pro-poor policies.</li> <li>Inadequately adaptive expertise – some experts not able to adequately adapt to specific contexts and situations.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>The cost of engaging UN-Habitat/COs is considered to be too expensive</li> <li>The administrative set-up is weak: the hiring (human resource)/procurement/ finance systems and processes are criticized by many stakeholders for being too complex, inefficient and expensive.</li> <li>UN-Habitat has a limited budget and therefore has very few core staff in many branches, including HSUB – it is unable to recruit as many well-qualified and experienced staff as would be ideal.</li> </ul>

### Contribution to the improvement of national housing policies

Competence/ Capability/ Attribute	Remarks
<b>Political commitment attainment</b>	<ul style="list-style-type: none"> <li>UN-Habitat is able to secure political commitment at the global level, especially through global events such as Habitat III and WUF, which it is very competent at organizing and facilitating – but less so at other levels in some cases.</li> <li>In addition to national and local governments, other country housing stakeholders(private sector, CBOs, grassroots organizations) also need to be engaged at the global level to promote national commitment to improving national housing policies.</li> </ul>
<b>PSUP</b>	<ul style="list-style-type: none"> <li>Has contributed to awareness raising and mobilization of political commitment/ improved understanding of slum upgrading – including the importance of improving not only the physical living conditions, but also social and economic dimensions</li> <li>Has influenced policy and decision making and raised awareness – especially regarding vulnerable groups. E.g., women and youth.</li> <li>Has reinforced local capacities and coordination amongst HAPs at local level; and strengthened linkages between sectoral policies, strategies and plans.</li> </ul>

Competence/ Capability/ Attribute	Remarks
<b>National level advocacy</b>	<ul style="list-style-type: none"> <li>● Strong added value in the development of housing rights frameworks, but lack of promotion of and advocacy for the same.</li> <li>● Very limited advocacy at national level – other UN agencies and NGOs, CSOs and regret lack of commitment of UN-Habitat to engage in active adequate housing rights promotion.</li> <li>● Housing rights mandate and expertise and mandate not being utilized, despite no other organisations being able effectively carry out this role – fulfil this role to do so – other grounded and experienced organization(e.g., Habitat for Humanity, DSDI, Amnesty international) may produce analyses and engage in evidence-based advocacy, but do not have the same mandate nor linkages with national and local government authorities.</li> <li>● UN-Habitat is perceived as reluctant to engage in national advocacy level so as not to compromise ongoing programmes/projects; and as limited in capacities to do so (no tools, guidance, etc.) – hence there is disconnect between messaging and actions</li> </ul>
<b>Policy advice</b>	<ul style="list-style-type: none"> <li>● Strong capacity to articulate and adapt global agendas (especially SDGs and housing rights) to national/ local contexts and issues; and to incorporate all housing-related issues within national housing policies – Including traditionally overlooked issues such as slums, migrations (housing dimensions of migrations) and homelessness (in some countries).</li> <li>● Many national level policies, strategies and approaches promoted by UN-Habitat have been adopted by national and local governments and other non-governmental actors (e.g., participatory slum upgrading, continuum of land rights, STDM approach).</li> </ul>
<b>Mandate to engage with authorities</b>	<ul style="list-style-type: none"> <li>● Able to execute its convening role more effectively and cost effectively than other UN agencies as well as other housing stakeholders (e.g., NGOs, CSOs) – and to promote and facilitate dialogue between governments and non-governmental actors.</li> </ul>
<b>National level relevance</b>	<ul style="list-style-type: none"> <li>● Translation of normative national frameworks (national housing policies and strategies) into local level city/municipal housing strategies and action plans; and provides much required and requested technical advice and capacity building – but it is less technically relevant in (middle-income) countries with adequate capacity.</li> </ul>
<b>Support to government</b>	<ul style="list-style-type: none"> <li>● Support to the review and revision of national housing policies; sensitization and awareness raising</li> <li>● Initiation and implementation of reform processes; knowledge production and the dissemination of the same to key stakeholders; facilitation of dialogue between partners and stakeholders, especially communities, slum dwellers, etc.; Identification and discussion of pro-active strategies.</li> <li>● Formulation and development of inclusive, pro-poor and gender responsive policy and strategy documents.</li> </ul>
<b>Global framework influence</b>	<ul style="list-style-type: none"> <li>● The SDGs – and in particular Target 11.1 on adequate, safe and affordable housing – can catalyse government action to improve housing frameworks and implement interventions</li> <li>● Adequate housing rights should be the basis for the advocacy work – it promotion of adequate housing rights is not seen as a catalytic approach and is consequently often overlooked in strategies and interventions.</li> </ul>
<b>Post-disaster housing competence</b>	<ul style="list-style-type: none"> <li>● Capacity to articulate post-disaster context within the long term national development agenda recognizing that housing is not the biggest barrier to return and recovery – with a focus on the neighbourhood scale.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>● Not always able to foster dialogue between national and local authorities; and to foster shift from medium to long term governance</li> <li>● NGOS, CSOs and grassroots organizations are not sufficiently politically engaged and consulted – many believe the realization of adequate housing rights is incompatible with a free housing market</li> <li>● Influencing policies and stakeholders is a long-term endeavour that requires conducive conditions – UN-Habitat requires favourable conditions to maximize its added value and contribution (e.g., receptive government and partners).</li> <li>● Need for stronger local networks and partners – UN-Habitat does not engage some key, but perhaps radical, national/local partners and stakeholders in some countries, leading them to believe that only those who agree with UN-Habitat's Housing Approach are invited to particular events.</li> </ul>

**Contribution to the implementation of housing framework**

Competence/ Capability/ Attribute	Remarks
<b>Support to local authorities</b>	<ul style="list-style-type: none"> <li>● Capacity to support local authorities to understand and operationalize global agendas at the local level – provide linkage between normative work–technical assistance/capacity building–operational work</li> <li>● Demonstrate feasibility through implementation of pilot projects – which are also an advocacy tool.</li> <li>● Support to mobilization of political commitment at local level to engage in housing agendas</li> </ul>
<b>Relevance to local authorities</b>	<ul style="list-style-type: none"> <li>● Provision of technical assistance and capacity building support to enable local authorities to operationalize and implement housing policies/strategies/programmes/projects and provide secure land and urban services, through support to municipal finance reform –important steps towards realizing the right to adequate housing for all.</li> </ul>
<b>PSUP</b>	<ul style="list-style-type: none"> <li>● Support to the three phases of the PSUP: from the normative urban profiling process in PSUP partner countries–to technical assistance and capacity building in preparation of citywide slum upgrading strategies and action plans – to the recently started operational implementation of pilot projects.</li> <li>● Support to the creation of an enabling environment for slum upgrading through legislation and policy change and strategies – including formulation and development of citywide slum upgrading strategies informed by urban profiles.</li> <li>● Support to the development of national and local level multi-governance frameworks – increased interaction between MDAs and strengthening local, regional and national key stakeholders' capacities in slum improvement and prevention.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>● Lack of expertise in housing finance (limited ability to develop and support housing finance products, ...) – some UN agencies engage with other housing experts (not UN-Habitat) to work on housing finance</li> <li>● Other development partners have greater expertise and capacity in Housing Finance, but have a different mandate and focus, (e.g., World Bank, Asian Development Bank (ADB), African Development Bank (AfDB), etc.)</li> <li>● Lack of effective and productive engagement with the private sector, including service providers – challenges in engaging the profit-driven private sector in increasing access to adequate and affordable housing for all income groups.</li> <li>● Lack of Follow-up after support to formulation and development of improved policies and strategies– in most cases, government authorities do not receive further support from UN-Habitat in the adoption and implementation process policies and strategies)</li> </ul>

**Contribution to the realization of adequate housing for all**

Competence/ Capability/ Attribute	Remarks
<b>Knowledge production, policy advice and technical assistance</b>	<ul style="list-style-type: none"> <li>● UN-Habitat seen as providing the greatest added value through its normative work and technical advice – implementation can be done by others.</li> </ul>
<b>Expertise in slum upgrading and post-disaster reconstruction</b>	<ul style="list-style-type: none"> <li>● Main impacts have been in slum upgrading and post-disaster housing – but in some countries, access to adequate and affordable housing has improved without the contribution of UN-Habitat.</li> <li>● Some stakeholders see UN-Habitat's added value as being its capacity to implement project.</li> </ul>
<b>Expertise in post-crisis housing</b>	<ul style="list-style-type: none"> <li>● Post-crisis intervention is a regional expertise that is well recognized in Asia and the Arab States, but less in Africa and Latin America</li> </ul>
<b>Operational interventions</b>	<ul style="list-style-type: none"> <li>● Are recognized as UN-Habitat's added value in many contexts – but some see UN-Habitat as focusing too much on implementation.</li> <li>● Expertise in participatory processes and engagement with local communities.</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>● Housing programmes need to be implemented.</li> <li>● Many impacts are dependent on political will.</li> <li>● Inadequate capacity to support implementation of national housing programmes (construction works)..</li> <li>● For many stakeholders adequate housing needs to be addressed through land and housing finance are two issues that are perceived as overlooked by UN-Habitat.</li> </ul>

**Contribution to poverty reduction and to the inclusion of other vulnerable groups**

Competence/ Capability/ Attribute	Remarks
<b>Promotion of pro-poor housing policies, strategies and programmes/projects</b>	<ul style="list-style-type: none"> <li>● UN-Habitat articulates housing issues with a focus on the needs of the poorest and most vulnerable groups and their rights to adequate housing – through pro-poor housing policies, strategies and programmes/projects; Guidance tools; Participatory approaches.</li> </ul>
<b>Promotion of cross-cutting issues of gender equality, youth, human rights and climate change</b>	<ul style="list-style-type: none"> <li>● The housing needs of women and youth are addressed in much of UN-Habitat's normative and operational work.</li> <li>● UN-Habitat promotes and operationalizes a human rights-based approach (HRBA) to housing.</li> <li>● Climate change mitigation and adaptation is a strong CC in many counties (Myanmar, Zambia, Jordan, Mozambique)</li> </ul>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>● Lack of follow-up of the promoted improved housing policies and strategies and supported programmes and projects.</li> <li>● Weak pro-poor and housing rights advocacy in some countries.</li> <li>● Some principles included within programmes by HQ but not really implemented by COs</li> </ul>

## Annex 30: List of interviewed key informants

### Key Informants interviewed at the Global level

Organization	Key Informant
UN-HABITAT	Headquarters
	<b>Rosa Muraguli-Mwololo</b> , Programme Advisory Group Secretary
	<b>Ben Arimah</b> , Chief, Research Unit
	<b>Claudio Acioly</b> , Head, Capacity Development Unit, Research and Capacity Building Branch
	<b>Andre Dzikus</b> , Branch Coordinator and OIC Risk Reduction and Rehabilitation Branch
	<b>Pacome Kossy</b> , Senior Strategic Coordination Officer
	<b>Juma Assiogo</b> , Human Settlements Officer, Coordination, Safer Cities Programme
	<b>Bruno Dercon</b> , Senior Human Settlements Officer, ROAP
	<b>Robert Ndugwa</b> , Head, Global Urban Observatory Unit, Research and Capacity Building Branch
	<b>Thomas Chiramba</b> , Senior Human Settlements Officer, ROAf
	<b>Kerstin Sommer</b> , Leader, Slum Upgrading Unit
	<b>Christophe Lalande</b> , Leader, Housing Unit
	<b>Raf Tuts</b> , Head, Programme Division
	<b>Naison Mutizwa-Mangiza</b> , Director, Regional Office for Africa
	<b>Oumar Sylla</b> , Officer-in-Charge, Urban Legislation, Land and Governance Branch
	<b>Angela Mwai</b> , Unit Leader, Gender Coordination and Support Unit
	<b>Claudia Scheufler</b> , Associate Programme Officer
	<b>Catherine Otono</b> , Consultant
	<b>Vincent Kitio</b> , Unit Leader, Urban Energy, Urban Basic Services Branch
	<b>Shipra Narang</b> , Coordinator, Urban Planning and Design Branch
<b>Laura Petrella</b> , Urban Planning and Design Branch	
<b>Fruzsina Straus</b> , Human Settlements Officer, ROAf	
Country Offices	
<b>Dr. Zeyad Elshakra</b> , Palestine CO	
<b>Ms. Salma Yousry</b> , Egypt CO	
<b>Gwendoline Mennetrier</b> , Kosovo CO	

Organization	Key Informant	
GLOBAL PARTNERS	OHCHR	<b>Marcella Favretto</b>
	French Development Agency (AFD)	<b>Olga Koukoui</b>
	Economic Commission for Latin America and the Caribbean (ECLAC)	<b>José Luis Samaniego</b>
	Affordable Housing Institute	<b>Natalia Yunis</b>
	ICMP	<b>Anya Brickman</b>
	Habitat for Humanity International	<b>Ana Feder</b>
		<b>Jane Katz</b>
		<b>Anna Konothchick</b>
		<b>Rebecca Ochong</b>
	One Planet Network, Sustainable Buildings and Construction Programme International Organization	<b>Pekka Huovila</b>
	Aitec	<b>Gustave Massiah</b>
Externals experts and academics	<b>Geoffrey Payne</b>	
	<b>Michael Keith</b>	
	<b>Graham Tipple</b>	

#### Key Informants interviewed at the ROLAC level

Organization	Key Informant	
INSTITUTIONS	SEDATU	<b>Martha Peña</b> , Ministry Advisor
	SEDUVI	<b>Luis Zamorano</b> , Former Urban Development General Director (SEDUVI)
	CONAVI	<b>Dr. Edna Vega</b>
	INFONAVIT	<b>Alejandra de la Mora</b> , CIDS
	Tlajomulco Municipality	<b>Andrés Ampudia Farias</b> , Director de Vivienda del Ayuntamiento
		<b>Gustavo Alejandro Rivera Mendoza</b> , Coordinador de Gestión Integral de la Ciudad de Tlajomulco
	UN-HABITAT	<b>Diego M. Pérez Floreán</b> , Especialista para el desarrollo de programmeas y proyectos
		<b>Eugenia De Grazia</b> , Programme specialist
		<b>Sergio Arredondo Ruíz</b> , Consultor para la Implementación de la Nueva Agenda Urbana a Nivel Local
		<b>Pierre Arnold</b> , Consultor Urbanista
<b>Thomas Casanova</b> , Analyst		
UN-HABITAT	<b>Antonio Azuela</b> , Legal advisor and expert in land management	
	UN-Habitat Regional Office	<b>Elkin Velasquez</b> , Director of ROLAC
	UN-Habitat other ROLAC COs	<b>Sergio Blanco</b> , head of Bolivia CO, former head of Haiti CO
	<b>Gwendoline Mennetrier</b> , former Haiti CO	

Organization		Key Informant
CIVIL SOCIETY	Movimiento Urbano Popular	<b>Jaime Rello</b>
	Habitat International Coalition	<b>Enrique Ortiz</b> <b>Marai Silvia Emanuelli</b>
	ECHALE	<b>Francesco Piazzesi</b> , director
	Habitat for humanity	<b>Luis Armenta Fraire</b> , director
ACADEMIA		<b>Maria de Lourdes Garcia Vazquez</b> , coordinator Laboratorio de Hábitat Social, Participación y Género
	UNAM	<b>Gustavo Moreno</b>
DEVELOPMENT & RESEARCH	IRD	<b>Catherine Paquette</b> , LPED <b>Bérénice Bon</b> , UMR CESSNA
	WRI México	<b>Gorka Zubicaray</b> , Urban Economics Manager <b>Natalia García</b> , Gerente De Regulación Y Normativa Urbana
	UNPD	<b>Edgar Rafael Gonzalez</b>
		<b>Xavier Moya</b>
		<b>Mauricio Escalante</b> <b>Francisco Garcia</b>
	REGIONAL AND GLOBAL	ECLAC
World Bank		<b>Inês Magalhães</b> , consultant

#### Key Informants interviewed at the ROAP level

Organization		Key Informant
UN-HABITAT	UN-Habitat ROAP	<b>Laxman Perera</b> , Human Settlements Officer
		<b>Tim McNair Tim McNair</b> , Human Settlements Officer (former Sri Lanka country Manager)
		<b>Enkhtsetseg Shagdarsuren</b> , Mongolia Country Manager
	UN-Habitat Myanmar CO	<b>Jan Meeuwissen</b> , Former Senior Human Settlements Officer
		<b>Bijay Karmacharya</b> , Country Manager
		<b>Oddy Angelo</b> , Project manager <b>Bruno Decon</b> , Senior Human Settlements Officer (Backstopping officer)
REGIONAL AND GLOBAL	Habitat for Humanity	<b>Anna Konotchick</b> , Director, Housing and Human Settlements
	Asia Pacific Office	<b>Rebecca Ochong</b> , Senior Manager – Urban, Land and Policy
	Japan International Cooperation Agency, Myanmar	<b>Ueki, Ryo</b> , Programme Formulation Advisor

**Key Informants interviewed at the ROAf level**

Organization	Key Informant
UN-HABITAT	<b>Thomas Chiramba</b> , Senior Human Settlements Officer, Regional Office for Africa
	<b>Mathias Spaliviero</b> , Senior Human Settlements Officer, Regional Office for Africa
	<b>Alexander Chileshe</b> , National Technical Advisor
UN-Habitat Zambia CO	<b>Mr Moonga Chilanga'</b> , Projects Coordinator
CENTRAL/ LOCAL GOVERNMENT	<b>Ms Agnes Mporokoso</b> , Chief Planner
	<b>Mr Gregory Mwanza</b> , Chief Planner
	<b>Mr Leonard Chunga</b> , Asst. Surveyor General
	<b>Mr Numeral Banda</b> , Director
	<b>Ms Meembo Changula</b> , Principal Planner Forward Planning
Ministry of Lands and Natural Resources	<b>Ms Charity Chinsenda-Kalombo</b> , Senior Community Development Officer
Ministry of Local Government	
Lusaka City Council	

Organization	Key Informant
CIVIL SOCIETY	<b>Ms Mathabo Makuta</b> , National Director
	<b>Mr Farai Shumba</b> , Policy and Advocacy Specialist
	<b>Ms Ruth Nabutali</b> , Head of Programmes
	<b>Mr Vincent Sitali</b> , Programmes Manager
	<b>Ms Grace Chikumo-Mtonga</b> , Executive Director
	<b>Ms Hildah Namunyola</b> , Monitoring & Evaluations Officer
	<b>Mr Gabriel Mailo</b> , Programmes Officer
	<b>Ms Melanie Chirwa</b> , Community Programmes Coordinator
	<b>Ms Mufaro Tsorayi</b> , Housing and Infrastructure Officer
Zambia Homeless and Poor People's Federation	<b>Ms Veronica Katulushi'</b> National Facilitator
	<b>Ms Joyce Lungu</b> , National Facilitator – Swaliso
DVT	<b>Mr Daniel Phiri</b> , Urban Planning Lead,

**Key Informants interviewed at the ROAS level**

Organization	Key Informant
UN-HABITAT	<b>Mr Mazin Talat Al-Najjar</b> , Regional Coordinator
	<b>Hayder Ali Al-Hado</b>
	<b>Ms. Salma Yousry</b> , Programme Officer
UN-Habitat Palestine CO	<b>Dr. Zeyad Elshakra</b> , Country Manager



## Annex 31: Selected responses to the questionnaire to COs

### Coverage of intervention scopes (source: Questionnaire to COs)

Knowledge management: Providing government and housing sector stakeholders with knowledge products on new approaches, best practices and lessons to be learned	51.92%
Implementation: Supporting the implementation of adequate housing programmes and projects	48.08%
Advocacy: Strengthening monitoring, evaluation and learning on housing	44.23%
Technical assistance: Supporting regional and national authorities' capacities	40.38%
Implementation: Demonstrate feasibility of policies/strategies through programme/ project implementation	38.46%
Technical assistance: Supporting city authorities' capacities	36.54%
Implementation: Supporting slum upgrading and prevention policies, strategies, programmes and projects	34.62%
Advocacy at the global level: Promoting the full and progressive realization of the right to adequate housing	32.69%
Policy advice: Improving national normative framework	32.69%
Implementation: Supporting development and implementation of national housing strategies	25.00%
Knowledge at the global level: Mobilizing networks of housing sector stakeholders	23.08%

### Coverage of adequate housing related strategic objectives (source: Questionnaire to COs)

2. Increase access to adequate housing to low-income households	59.62%
7. Demonstrate feasibility of strategies/programmes through implementation	57.69%
1. Increase access to adequate housing to all	53.85%
3. Support diversification of adequate housing solutions	50.00%
4. Support diversification of government interventions in providing adequate housing	48.08%
9. Improve living conditions in existing slums/informal settlements	48.08%
5. Support advocacy groups	44.23%
8. Provide adequate housing to crisis affected population (conflict, disaster, migration)	44.23%
6. Support self-organizing housing initiatives (by NGO or INGO)	36.54%

### Coverage of poverty reduction related strategic objectives (source: Questionnaire to COs)

4. Improve social inclusion and integration at city-wide scale	57.69%
1. Increase housing affordability for low-income households	53.85%
5. Support gender or age sensitive housing strategies or programmes	48.08%
8. Support climate resilient housing strategies or programmes	44.23%
2. Increase housing affordability for all	38.46%
3. Improve access to economic resources, affordable goods and services for low-income households	30.77%
6. Improve access to adequate housing for female headed households	26.92%
7. Improve access to adequate housing for youth	19.23%

## Annex 32: Recommendations to Strengthen monitoring and develop an evaluation framework

### Operationalizing the Housing Approach as the monitoring and evaluation framework

1. Both the monitoring and evaluation systems should be based on the Housing Approach framework described in Section 3. Monitorable indicators should be defined for each of the 8 elements<sup>85</sup>.
2. The current Theory of Change (TOC) (see Section 3.2) should be updated to ensure consistency with these indicators.
3. The indicators and the TOC will then be used as a reference for the design of both the monitoring and evaluation frameworks.
4. An "information needs" matrix should be prepared that:
  - a. identifies all of the information required for points 1 and 2
  - b. Identifies all of the source of information available to measure each indicator and the quality, consistency and completeness of each source.
  - c. The indicators for which information is not available and ways the information could be collected (surveys, interviews etc), the feasibility and affordability of collecting this information and the remaining gaps.

### Developing a Portfolio Analysis framework

5. A Portfolio Analysis framework will then be developed (See Methodology Note prepared for this evaluation) to organize all of the information that will be required for the different monitoring and evaluation studies that will be conducted at the global, regional and country levels. Sections 3,5 and 6 of the Final Report, and the supporting annexes, include an assessment of the information that is

currently available from UN-Habitat reports and documents. This shows that many required sources of information are not available, or the information is not complete or consistent for all countries.

### The monitoring system

6. One of the functions of the monitoring system will be to produce the information required to populate the Portfolio analysis framework.
7. The monitoring system will probably require slightly different sets of indicators for each of the 5 key elements of the housing approach (policy, advocacy etc). However, for all projects/programmes information will be collected on<sup>86</sup>:
  - a. Which of the 5 elements are included (there may be more than one)
  - b. The quantitative and qualitative goals and the time-frames over which they are to be achieved.
  - c. The human, financial and other resources approved and used
  - d. The outputs produced and over what periods of time
  - e. Where possible there will be a rating of the quality of the outputs and the extent to which they reach the target groups (particularly low-income and vulnerable groups)
  - f. The quantitative and qualitative outcomes and the extent to which they reached the target groups.

### The evaluation system<sup>87</sup>

8. UN-Habitat does not have a regular evaluation programme, and individual studies have often been commissioned in an ad hoc way as resources become available. Many of the studies are determined according to the areas of interest of donor agencies (and governments) rather than being based on a strategy plan.
9. While monitoring needs are usually well understood and monitoring systems are relatively uniform and easy to organize (resources permitting), there is not standard evaluation and different agencies adopt very different approaches both in terms of the kinds of questions that are addressed and also in terms of the methodologies. For example, some agencies rely

on quantitative and statistical methods, sometimes using randomized control trials, other agencies mainly use qualitative, descriptive methods. There is no single, best approach and it is certainly not correct to claim that any evaluation method (such as randomized control trials) can be considered the “gold standard”. Evaluations must be “question driven” and not “methods driven”. The key policy and operational questions must first be agreed upon and the appropriate evaluation tools are then proposed. Beware of evaluators who always try to convince clients to use their preferred method.

## Developing the evaluation system and identifying key questions and priorities

10. The evaluation system will evolve over time as management and key stakeholders see the practical value of the different studies and consequently as more resources can be mobilized. Consequently, it is a good policy to begin by addressing relatively simple evaluation questions, that can be addressed with technically simple, rapid and economical methods. It is essential that management and stakeholders find the initial studies to be useful, to contribute new knowledge or understanding, and to be economical and not too disruptive of the offices being studied. Demand will then gradually grow for more complex and larger evaluations.
11. Many agencies have a 3-tier evaluation strategy:
  - a. *A basic evaluation is conducted for all projects and programmes.* This will report on a set of key questions concerning the efficiency of implementation, the achievement of project objectives and, where possible, numerical estimates of outputs and outcomes. Where possible this will also assess: success in reaching poor and vulnerable groups, contribution to cross-cutting themes (gender, youth, human rights and climate change). Normally these evaluations will mainly rely on desk reviews and phone or internet interviews with project staff and key informants.
  - b. *Special studies focusing on priority issues.* Many of these studies will be rapid and economical, focusing on a specific question (such as a rapid assessment of the effectiveness of strategies

to reduce unoccupied housing units), but a few will be more in-depth, addressing broader issues agreed to between UN-Habitat and key stakeholders. The in-depth studies will normally require significant field-work, while the shorter studies will often combine desk reviews, interviews and more limited field work.

- c. *Periodic evaluations of all country programmes.* For many organizations these reviews are conducted at the end of the programme cycle. For example, UNDP conducts them every four years for each country. For most agencies, the independence of these evaluations is important and they may be conducted by external consultants, supervised by the Evaluation Office.
12. It is recommended to develop an evaluation plan covering a number of years, which is updated annually.

## Assessing attribution and causality

13. An important distinction between monitoring and evaluation is that while monitoring only measures the change in outputs and sometimes outcomes, one of the tasks of an evaluation is to determine the extent to which these measured changes can be attributed to the effects of the intervention. Changes can result from many factor unrelated to the project (government policies, changes in the economy, actions of other donors etc), so it is essential to control for the effects of these other factors when addressing the question: “did the project achieve its objectives?”. For some kinds of projects (health, education or water supply and sanitation) which have one clearly defined input and a single, or small number of outcomes, it may be possible to use a randomized control trial (RCT). However, this is very rarely possible for a housing project due to the multiple inputs, the large number of contextual factors that influence project outcomes, and the large number of intended and unanticipated outcomes. Consequently, the evaluations must consider the possibility of using other ways to construct a counterfactual and to assess causality. The following are some of the possible options:
  - a. *Quasi-experimental designs* using a matched comparison group. When survey or other kinds of data are available, it may be possible to match

the two groups statistically using propensity score matching; but in many cases it will only be possible to use judgmental matching.

- b. *Pipeline designs* where population groups that will be included in a second phase of the project can be used as the comparison group for the first phase. This design can be used in large projects installing water supply or building roads where the project will be constructed in phases, often over a period of years. It can also be used for large slum upgrading programmes.
- c. *Natural experiments* where projects organized by other agencies, or unanticipated delays in a project may make it possible to match areas where an intervention is taking place with similar areas where it is not – even although these opportunities were unplanned
- d. *Case study designs* where there are large numbers of cases (households, projects, communities or implementing partners) with similar characteristics. Sometime the cases will be matched judgmentally but in other cases it may be possible to use more rigorous methods such as qualitative comparative analysis (QCA).

#### *Contribution analysis*<sup>88</sup>

- e. When sufficient data is available, contribution analysis is a powerful way to isolate the influence/contribution of a particular agency when a programme is implemented in collaboration with other agencies. The approach is based on a theory of change which is used to develop a “story-line” of how the agency plans to contribute to intended outcomes. All of the available data sources are then used to validate, challenge and refine the story-line.

## Evaluating complex programmes

14. Most housing programmes are complex because:
  - a. many different agencies, organizations and individual actor that are interacting, coordinating and sometimes competing
  - b. Many external economic, political, social, environmental and other factors that influence the programme

- c. Many interventions are themselves complex
- d. The processes through which programmes produce outcomes are usually complex and non-linear.

15. However, most conventional evaluation designs are “simple, assuming linear relationships between a small number of inputs and a small number of outcomes. Consequently, an agency such as UN-Habitat must consider developing an testing complexity-responsive evaluation designs for some of its programmes. Strategies for designing and implementing complex evaluations are discussed in Methodology Note 2.

## Developing special methodologies for evaluating cross-cutting themes: poverty, gender and climate change.

16. UN-Habitat must also consider the need to develop special methodologies to evaluate the impacts of its programmes on women, poor and vulnerable groups and climate change.

## Integrating big data and data science into the evaluation toolkit<sup>89</sup>

17. Finally, the Evaluation Office should consider ways to broaden the range of data collection and analysis tools by incorporating some of the wide range of big data tools for data collection (satellites and drones, phone call data records, social media, mobile phone apps, the Internet of Things, digital financial transaction records (ATM, etc.) that are now available. There are also powerful new data analytic tools such as machine learning, artificial intelligence and predictive analytics.

## Endnotes

- 1 UN-Habitat (2012), State of the World's Cities report 2012/2013
- 2 23<sup>rd</sup> Session of the Governing Council
- 3 From OHCHR, Fact Sheet No.21, The Human Right to Adequate Housing, 2010
- 4 Kallergis, et al. *Housing Affordability in a Global Perspective*, 2018
- 5 UN-Habitat *Focus Area 3 Policy and Strategy Paper: Access to Land and Housing for All*, 2008
- 6 OHCHR and UN-Habitat *The Right to Adequate Housing*, 2009, p.4.
- 7 Children, youth, elderly, persons with disabilities, displaced persons and migrants, slum dwellers, urban poor, indigenous peoples, homeless persons, minorities, people living with HIV/AIDS, and in particular women in these categories.
- 8 UN-Habitat *UN-Habitat Cross-cutting Issues Progress Report 2015*, 2015.
- 9 The Marker System is based on the UN System *Wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP)* Marker model.
- 10 Interview with Ms Angela Mwai – Leader, Gender Equality Unit, Ms Claudia Scheuffer – Associate Programme Officer, and Ms Catherine Otono – Consultant on 01/11/2019. These are currently the only three staff members of the GEU.
- 11 The Portfolio and Project Management System of UN-Habitat which supports and integrates financial, administrative, planning, monitoring, reporting and knowledge management.
- 12 UN-Habitat *The Human Rights-Based Approach to Housing and Slum Upgrading*, 2017.
- 13 UN-Habitat *UN-Habitat Cross-cutting Issues Progress Report 2018*, 2018
- 14 UN-Habitat *End-of-Phase Evaluation: Global Land Tool Network (GLTN) – Phase 2*, 2018
- 15 UN-Habitat *The Housing Rights Index: A Policy Formulation Support Tool*, 2018
- 16 UN-Habitat *Programmatic Guidance Note for UN-Habitat Staff: Promotion and Protection of Human Rights*, 2015
- 17 Special Rapporteur on adequate housing as a component of the right to an adequate standard of living.
- 18 <https://www.soroptimistinternational.org/making-cities-inclusive-safe-and-resilient-sdg-11/>
- 19 <https://oldweb.unhabitat.org/urban-themes/gender/>
- 20 UN-Habitat *UN-Habitat Policy and Plan for Gender Equality and the Empowerment of Women 2014-2019* 2014.
- 21 UN-Habitat *Evaluation of Gender Mainstreaming in UN-HABITAT*, 2011
- 22 UN-Habitat *State of Urban Youth Report 2012-2013: Youth in the Prosperity of Cities*, 2013.
- 23 UN-Habitat *UN-Habitat Cross-cutting Issues Progress Report 2018*, 2018.
- 24 UN-Habitat *UN-Habitat Cross-cutting Issues Progress Report 2018*, 2018
- 25 UN-Habitat *UN-Habitat Cross-cutting Issues Progress Report 2018*, 2018.
- 26 The Habitat Agenda mandates UN-Habitat to coordinate sustainable human settlements development, as well as sustainable energy production and use, by encouraging energy efficiency, alternative energy and related measures.
- 27 UN-Habitat *Climate Change Strategy 2014 2019*, 2015.
- 28 UN-Habitat *Climate Change Strategy 2010-2013*, 2010.
- 29 UN-Habitat *Pro-Poor Climate Action in Informal Settlements*, 2018
- 30 UN-Habitat *Pro-poor Urban Climate Resilience in Asia and the Pacific*, 2014.
- 31 UN-Habitat *Climate Change Strategy 2014 2019*, 2015.
- 32 UN-Habitat *Sustainable Housing for Sustainable Cities: A Policy Framework for Developing Cities*, 2012. UN-Habitat *Sustainable Housing for Sustainable Cities: A Policy Framework for Developing Cities*, 2012.
- 33 UN-Habitat *Sustainable Housing for Sustainable Cities: A Policy Framework for Developing Cities*, 2012. UN-Habitat *Sustainable Housing for Sustainable Cities: A Policy Framework for Developing Cities*, 2012.
- 34 Interview with Dr Vincent Kitio, Chief, Urban Energy Unit on 01/11/2019.
- 35 In a number of cases, the sources are only accessible within the country
- 36 The process of constructing the TOC is described in Section 2.3 of the inception report.
- 37 This only include the year 2011 and 2019
- 38 Programmes and projects implemented during this period but having a start date before 2008 or end date after 2019 have also been included as significant changes may have been achieved or initiated as a result of their implementation.
- 39 See Inception Report for a discussion of portfolio analysis.
- 40 UN-Habitat *Evaluation of UN-Habitat's Flagship Reports: Global Report on Human Settlements and State of the World's Cities Report*, 2014
- 41 UN-Habitat *Urban Impact*, 2019
- 42 UN-Habitat, PSUP II Final evaluation report, 2015
- 43 PSUP III, Draft Inception Report
- 44 UN-Habitat, *Slum Almanac 2015-2016, Tracking Improvement in the Lives of Slum Dwellers*
- 45 UN-Habitat, *Evaluation of Project for Strengthening National Capacities to Formulate and Adopt Housing and Slum Upgrading Strategies*, 2019
- 46 The findings of this study are discussed in the section 6.2.2 on [Impacts].
- 47 Responses to the questionnaire to COs
- 48 OHCHR, *Human Rights Indicators A Guide to Measurement and Implementation*, 2012
- 49 Location criteria is included within Habitability, Accessibility to Services, and accessibility and cultural adequacy are covered by the requirement to disaggregated data by grounds of discrimination
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