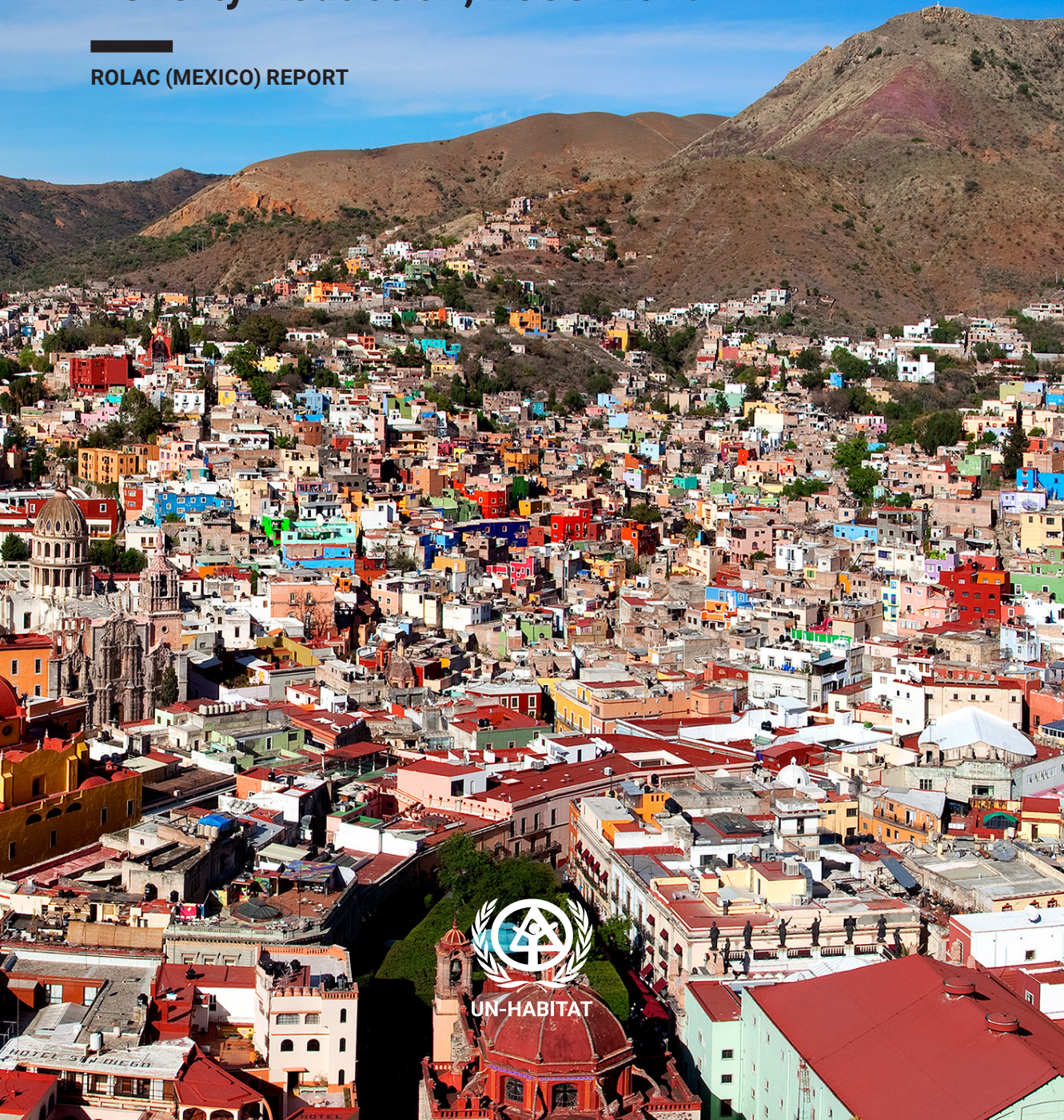


# Evaluation of the Impact of UN-Habitat's Housing Approach to Adequate, Affordable Housing and Poverty Reduction, 2008-2019

ROLAC (MEXICO) REPORT



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

### **Regional Office for Latin America and the Caribbean (Mexico) Report**

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**Evaluation Report 4/2020**

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**ROLAC (MEXICO) REPORT  
DECEMBER 2020**



**UN-HABITAT**



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# 1. EXECUTIVE SUMMARY

Mexico is the first of 10 country case studies included in the global evaluation. Two of these case studies (Mexico and Zambia) were based on 1-2 week country visits, complemented by key informant interviews and a review of available UN-Habitat documentation; while the remaining 8 (Mozambique, Somalia, Egypt, Jordan, Iraq, Myanmar, Sri Lanka and Mongolia) were based on key informant interviews and a review of UN-Habitat documentation. Due to security concerns, the planned visit to the Kurdistan Region of Iraq was cancelled.

## Mexican housing context

Latin America and the Caribbean is the most urbanized developing region in the world. In contrast to other developing regions, the main challenge is not to address the issues of rapid urbanization but rather to improve quality of life, to reduce inequality and to achieve sustainability in existing neighborhoods and cities.

From the end of the 1980s, Mexican governments started to promote massive housing construction programs, based on public private partnerships. The strategies proved to be very effective in reducing the quantitative housing deficit but they failed to address the qualitative housing deficit. Most of the housing was constructed on cheap land on the peripheries of cities or rural areas, with very poor access to economic opportunities and services.

As a result, many homes have been abandoned. In 2010, the abandoned housing stock was estimated to have reached 5 million units (or 14% of the total housing stock). The massive abandonment of houses, resulted in declining housing prices, vandalism, and increased crime, violence and corruption.

In addition, the housing production strategies have only addressed the needs and financial capacity of the employees from the formal sector. At the same time, access to credit has remained very limited for informal workers, renters and marginalized households (youth, the elderly, female headed households).

From the early 2000s governments began to limit the uncontrolled urban spatial expansion and to address the needs of the lower-income population. Elements of this approach have remained in place until recently.

In 2019, one of the first initiatives of the Mexican President Andres Manuel Lopez Obrador was an in-depth review of the housing sector, which led to the adoption of a new approach to housing, including the National Housing Policy 2019-2024.

## UN-Habitat Housing Program in Mexico

The history of the relationship of UN-Habitat and the housing stakeholders in Mexico parallels the evolution of the global housing agenda, marked by the three major Habitat international conferences

During the period covered by the present evaluation, the UN-Habitat Mexican CO has not had a country housing strategy nor specific objectives for housing-related interventions. Instead the program has been largely demand-driven, responding to requests from government.

Until 2015 habitat was not a priority focus for the CO until 2015 and the creation of the partnership with INFONAVIT. Housing related-programs became a priority focus for the CO from 2016 with the implementation of SDG and NUA related programs.

The recent years have been marked by the implementation of two flagship programs, by the Mexico CO the "Infonavit leading the 2030 Agenda in Mexico" which led to the production of the "Vivienda y ODS" ["Housing and the SDGs] publication.

The application of the Housing Approach Framework to UN-Habitat's Mexico country programme found the following:

- the importance of the Advocacy and Knowledge management regional level activities at country level;
- the emphasis put on country level Knowledge Management activities;
- the limited Policy Advice and Technical Assistance supports;
- the absence of direct or indirect Operational Activities.

The Synthesis report that brings together the key findings of all 9 reports produced by the evaluation, compares the performance of Mexico on each of the housing approach dimensions with the assessments for Africa, the Arab States and Asia and the Pacific.

## Articulating the UN-Habitat housing approach

The assessment of the performance of the Latin America and Caribbean regional programme presented in chapter 7 of this report is based on the definition of the UN-Habitat "housing approach" developed by the consultants for this evaluation. The housing approach is summarized in section 1 and described in more detail in the global report and the synthesis report. This framework understands the housing approach as an organizational strategy to provide a systematic approach to address adequate housing issues encompassing a core strategy of influencing housing policy to improve housing practice. UN-Habitat has operationalized the housing approach through the five fundamental normative and operational activities (implementation scope) listed in table 1. Three additional dimensions are included in the table that can also be used to assess performance within a broader development framework. The 8 dimensions are combined to define the "comprehensive housing approach."

**Table 1: The Fundamental Activities (Implementation Scope) included in the Housing Approach**

Activities	Normative/operational
1. Advocacy	Normative
2. Knowledge	Normative
3. Policy Advice	Normative
4. Technical Assistance/Capacity building	Normative/Operational
5. Implementation	Operational
<b>Additional elements for assessing the housing approach within a broader development framework</b>	
6. Incorporation of the 5 elements into an integrated country housing strategy	
7. Incorporating cross-cutting themes (gender, youth, human right and climate change)	
8. Sustainability of country housing strategies and programmes	

Performance on these 5 (or 8) activities was rated to assess how successfully the Housing Approach was implemented at the country or regional level. In terms of a conventional logic models these activities are defined as the programme outputs or products.

The Housing Approach has a range of strategic and operational objectives relating to increasing access to adequate housing and the reduction of poverty. Only the strategic objectives were assessed in this report (see Table 2). All of these objectives are context-specific; but several objectives can be combined within a specific country housing strategy or program.



**Table 2: Strategic criteria for assessing the performance (outcomes) of a country housing programme**

<b>Adequate housing criteria</b>
Increase access to adequate housing for all and particularly for low-income households
Support diversification of adequate housing solutions and government interventions
Support for advocacy groups and self-organizing housing initiatives (by NGOs and INGOs)
Provide adequate housing to crisis-affected populations (conflict, disaster, migration etc)
Improve living conditions in existing slums/informal settlements
<b>Poverty reduction and cross-cutting issues</b>
Increase housing affordability for all focusing on low-income households
Improve access to economic resources, affordable goods and services for low-income households
Improve social inclusion and integration at city-wide scale
Support targeted housing programmes for female-headed households, the elderly or youth.
Support climate change responsive housing strategies and programmes

*Source: Developed by consultants*

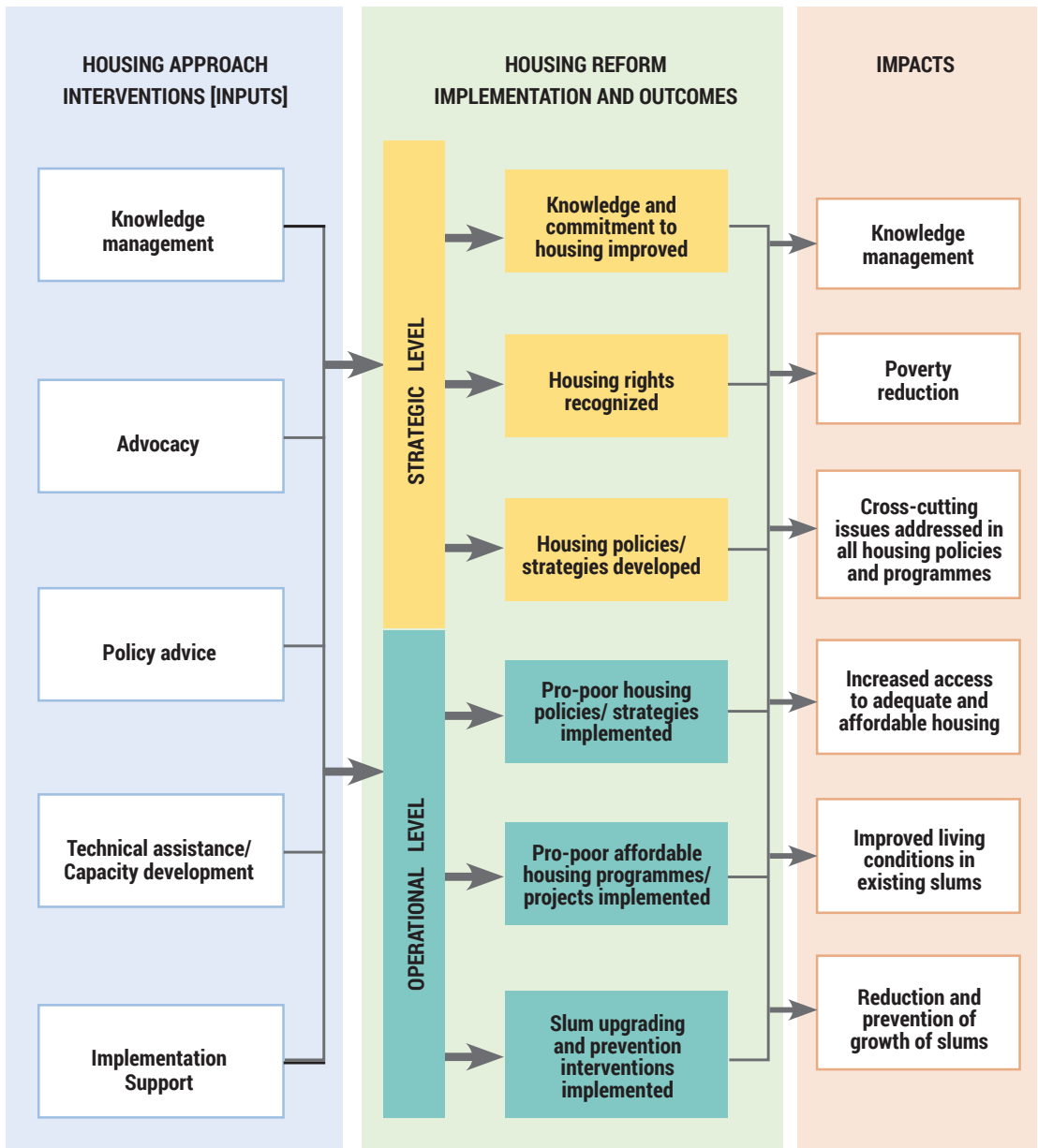
The primary goal of the Housing Approach is to increase access to adequate housing through policy reform, operationalizing housing strategies and implementation of housing programmes and projects. The Housing Approach is an implementation model of housing reform based on (1) the recognition and promotion 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.

The consultants developed a theory of change (see Figure 1) that describes how UN-Habitat's 5 fundamental areas of intervention are combined to produce a set of strategic and operational outputs and outcomes that together are intended to influence country

housing stakeholders' knowledge, commitment and capacity, in order to trigger and influence the reform and implementation of improved housing frameworks, which will contribute to 5 sets of impacts (sustainable urbanization, poverty reduction, cross-cutting issues, increased access to affordable and adequate housing, improved living conditions in existing slums, and prevention and reduction of the growth of slums).

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.

Figure 1: Summary of the Theory of Change



## Case-Study Evaluation Methodology

Based on UN-Habitat global frameworks, publications and documents, a Comprehensive Housing Approach Framework was developed by the evaluation team (see previous section). This provides a framework for understanding the areas of interventions on which the Mexico program has focused, and how these relate to UN-Habitat's strategic guidelines. It is fully recognized that due to resource constraints, government priorities and national contexts, no UN-Habitat program can, or even should, cover all areas of the framework.

The development of a Housing Approach country level TOC permits a comparison of the scope and focus of the actual UN-Habitat country housing program with the generic UN-Habitat Housing Approach. The TOC also makes it possible to assess of the validity of the assumptions on which the different policy and operational activities are based.

The evaluation used a Value-Added Analysis [VAA] to assess the significance and focus of UN-Habitat's contributions to the outcomes and impacts identified in the TOC, and to identify the different areas in which the agency has contributed to improvements in the overall situation with respect to adequate housing.

The present evaluation applies three of the five OECD/DAC evaluation criteria: relevance, impact and sustainability.

## Relevance

The Housing Approach implemented by the Mexico CO is consistent with the UN-Habitat global housing approach. The approach focused on three components: (1) Policy advice, (2) knowledge production and sharing at local level and (3) the mobilization of country partners to engage in global level activities to improve and promote global housing frameworks.

The global housing frameworks are also consistent with the Mexican housing context and challenges and have been widely adopted by the housing sector stakeholders.

## Value-Added

Overall the value-added of the country program was rated as moderately relevant.

The value added of UN-Habitat is acknowledged by Mexican housing sector actors as contributing at both the global and the local level. UN-Habitat's technical expertise on housing matters and the development of concepts and agendas is acknowledged at the macro level, while the value-added at the local level mainly relates to the capacity to provide data and analysis, articulate global concepts and facilitate dialogue between stakeholders.

## Impacts

The Mexican CO has provided the government and housing stakeholders with high quality data and analysis. The inclusion in the latest National Housing Policy of key elements of the UN-Habitat global housing framework, such as the adequate housing criteria, and recommendations proposed by the CO a year before has been a major achievement.

At local level, in Mexico City, the progressive public policies have been influenced by CBOs and academics who enriched their expertise from their long-term global level experience with UN-Habitat.

The Mexican government and civil society have made significant contributions to the preparation, facilitation and follow up of the Habitat III conference, giving wide support to the recognition, adoption and implementation of the right to adequate housing.

## Sustainability

The impacts of UN-Habitat on Housing policies and public housing institutions, could be maintained over the short and medium term. However, over the longer term the sustainability of the impacts and continued influence is less certain, in part because of the CO's constrained financial resources and in part due to the uncertainty as to the new Government's capacity to implement the proposed policies.

The adoption of the global housing framework in the recent policies auger well for the development of improved pro-poor policies and the potential wider benefits resulting from improved access to adequate housing. However, no programs have yet been adopted to operationalize the apparent political commitment.

## Value-added analysis

In the case of Mexico, the most significant change, to which UN-Habitat has contributed is the adoption by the government of a new national housing policy. The evaluation has focused on the contributions of UN-Habitat to the improvement of this new housing framework.

The analysis has found that UN-Habitat has contributed in several important ways to the formulation of the National Housing Policy:

- UN-Habitat has proved to be a reliable partner for the government,
- UN-Habitat has provided a relevant and comprehensive housing framework in the form of the adequate housing criteria;
- UN-Habitat has provided the government and the housing sector stakeholders with key information;
- UN-Habitat has provided relevant policy recommendations.

The analysis showed that UN-Habitat has also had an indirect impact on the improvement of other related public policies and legal frameworks at national and local level.

## Selected recommendations

- The Mexico Country Office should develop a comprehensive and well-articulated housing policy and program framework to guide its work on adequate housing.
- The Country Office (supported by Nairobi) should become a strong advocate for pro-poor policies and programs.
- UN-Habitat should continue to give priorities to Knowledge Management, and should consult with users of the information on ways that the practical utility of the information could be further strengthened
- Ways should be found to disseminate knowledge and operational experience from technical assistance provided to municipalities to other municipalities and regions
- Improve UN-Habitat global and local knowledge and expertise on innovative approaches
- Develop best practices exchanges at global level
- It is recommended that participation of the CO in the Tren Maya project should be carefully reviewed. UN-Habitat should carefully assess the consistency of program objectives, design and implementation with UN-Habitat objectives on adequate housing for all, protection from eviction, cultural adequacy and other principles.
- UN-Habitat should consider incorporating a monitoring and possibly an evaluation system into some of the programs it is supporting.

## 2. INTRODUCTION

Mexico is the first of 3 country case studies included in the global evaluation. The other two proposed countries are Zambia, and Erbil in the Kurdish region of Iraq. The cases represent one of three levels of analysis for each region:

- **Level 1:** portfolio analysis of available data for the region. This is complemented by a survey sent to regional and country offices.
- **Level 2:** comparative country analysis for 3 countries in each region. This is based on analysis of country data and key informant interviews, but does not include country visits.
- **Level 3:** country case study based on a 1-2 week visit.

The purpose of the evaluation, as defined in the Terms of Reference (TOR) is to provide evaluative lessons and recommendations that could be used to influence future decisions concerning UN-Habitat's approach, and to encourage the use of results-oriented approaches in current and future housing policies, strategies, programs, projects and processes with the intent of achieving greater impact. The Mexico evaluation is one of several case studies designed to help understand how the global policies and programs operate within different country contexts, and to assess how effectively a global housing approach can be implemented widely.



Aerial view of Ecatepec, State of Mexico. © Shutterstock/somos\_sonideas

## 3. THE MEXICAN HOUSING CONTEXT

### 3.1 Mexico within the Latin American Habitat context

Latin America countries vary significantly with respect to heritage and colonial histories, radically different geographies and demographics (especially between mainland countries and the Caribbean islands), social development, political traditions and economies (from very poor to upper-middle income).

However, Latin American countries do share common urban and housing characteristics and trends, and Mexico is representative of most of them.

Latin America and the Caribbean is the most urbanized developing region in the world, with 81% of its population living in urban areas in 2018. The main challenge is not, as in other regions to address the issues of rapid urbanization but rather to improve quality of life, close inequality gaps and achieve sustainability in existing neighbourhoods and cities<sup>1</sup>.

As in most Latin American countries, Mexico has made great efforts in past years to reduce the housing deprivation. In Mexico the urban population living in slums decreased from 20% in 2000, to 11% in 2014. This progress has been achieved through housing policies based on new housing, saving programs, subsidies and credit schemes, and private sector participation. This strategy has reduced the quantitative deficit of housing but has not significantly addressed the socio-economic residential segregation and unequal access to housing, specifically for youth, the elderly, women, and ethnic groups. The most negative consequences of this regional trend are the growing rates of urban violence, abandoned inadequate housing and the permanence of the heavy reliance on auto-production<sup>2</sup> and auto-construction<sup>3</sup> of housing by the low-income and marginalized groups.

The Latin American countries are also characterized by many top down governance schemes which have been replicated in many countries, which have encouraged the wide-scale replication of these housing production models. Mexico is no exception to this with complex federal housing and urban governance systems and the participation of key housing stakeholders in regional networks.

### 3.2 The evolution of housing policies in Mexico

Mexican housing policy has gone through different stages, the "*Vivienda y ODS*" ("Housing and the SDGs") publication offers an overview of Mexican housing policies since the seventies. *We encourage the reader to refer to the publication for additional information.*

Between the 1940s and the 1960s, during the "Mexican miracle", housing policies were characterized by the major intervention of the State in the construction of large housing developments influenced by the European modernist ideas.

Between the beginning of the 1960s and the early 1990s, the Mexican State extended this approach and based its actions on an interventionist model characterized by public land regulation and the definition of location criteria for the housing supply.

Since the 1960s, Mexican civil society has been very active on housing, and many housing cooperatives were developed in the 1970s. Civil Society was also active at the global level, various NGOs, CBOs and networks participated actively at the first UN-Habitat conference, in Vancouver in 1976 (Habitat I).

1 United Nations, Habitat III Regional Report for Latin America and the Caribbean, 2017

2 The direct use of design and construction services (often small scale and local) by housing occupants

3 The self-construction of housing by its occupants

The first law on Human Settlements, (*Ley General de Asentamientos Humanos – LGAH, 1976*) was adopted at this time, and the Ministry of Human Settlements and Public Works was created a year later. The public sector drew heavily on professional expertise from the civil society.

In 1979, the first National Housing policy adopted several innovative strategies, among them the recognition of the different production forms of habitat<sup>4</sup>, and the creation of a financial institution, the National Popular Housing Fund (*Fondo Nacional de las Habitaciones Populares – FONHAPO*), to support the low-income population through loans and subsidies.

From the mid 1980S, influenced by neo-liberalism and the “Washington Consensus”, Mexico started to adopt a series of free-market economic policies and applied them to the housing market. This included the deregulation of planning, land and housing policies and the adoption of a model that delegated housing production to private sector.

From this period the collaboration on housing between Mexican civil society and the State has diminished considerably. The NGOs, associated in the Habitat International Coalition (HIC) however continued to be very active at the global level, and participated in the Limuru conference (1987), the Rio de Janeiro conference on sustainable development (1992), the Cities Summit 1993, and the Habitat II conference in Istanbul.

From the end of the 1980s, the government started to implement a program of massive production of housing, influenced by the Chilean model, and based on a public-private partnership and an “ABC” system, for Ahorro, Bonus, Crédito, (saving, subsidies, mortgage loan). Several public institutions, including the National Housing Organisms (ONAVIS), the Mexican federal institute for worker’s housing (Instituto del Fondo Nacional de la Vivienda para los Trabajadores - Infonavit), the equivalent institution for State Workers (FOVISSSTE), and the Sociedad Hipotecaria Federal (SHF) were strengthened to implement the strategy. Workers and employee’s contribution to the Housing Funds was deducted from

payroll, as well as mortgage payments. INFONAVIT soon became the largest mortgage lender in Latin America, with over 60 million people contributing in 2018.

The objective of this housing production model objectives was to strengthen the economy though the production of housing while addressing the quantitative housing deficit for the working class<sup>5</sup>.

The strategy has proven to be very effective in addressing the quantitative housing deficit and has resulted on the production of millions of single family housing units which facilitated the access to formal housing for thousands of people, and reduced the growth of urban slums<sup>6</sup>.

However, the strategy has not addressed the qualitative housing deficit. Most of the housing was constructed on cheap land on remote peripheries of cities or rural areas, with very poor access to economic opportunities and services. Poor construction quality and reduced living spaces also resulted from the lack of standards and controls.

The strategy has had major negative impacts on spatial management such as the acceleration of the rural-urban migration, and the uncontrolled urban spatial extension in most of the cities. While the urban population doubled, the urban areas grew 10 times at national level, and up to 20 times in certain municipalities.

The remoteness of most of the housing projects resulted in low access to services and transportation, and required unmeetable investments from cities and high transportation costs for households (up to 50 to 60% of incomes for poor households). As a result, many people chose to abandon these inadequate homes, and often also their jobs , with the purpose of avoiding loan repayments. The abandonment was also triggered by the poor construction quality and the unmet promises of developers to build public spaces and services<sup>7</sup>.

4 Romero G., Social Production of Habitat: Reflections on its History, Concepts and Proposals.

5 Paquette C. La production massive d’habitat social au Mexique : une politique du logement désormais mise en question,

6 Roy D., Bernal D., and Lees M., An exploratory factor analysis model for slum severity index in Mexico City, 2019

7 Ziccardi A.,Gonzalez Reynoso A., Política de Vivienda y Municipios en México, 2015

The massive abandonment of homes, resulted in decreased housing prices, vandalism, and increase of crime, violence and corruption. Many of these ghettos soon became controlled by criminal organizations. In 2010, the abandoned housing stock was estimated to 5 million units (or 14%).

In addition, the housing production system was only addressing the needs of the middle-income workers from the formal sector, and access to credit remained limited for marginalized households (youth, elderly, female headed households). Also, only about 5% of the unaffiliated workers (from the informal sector), which are estimated to be 60% of the national labour force, could benefit from a loan.

In response to this situation, from the early 2000s the government started to take measures to limit the uncontrolled urban spatial extension and to address the needs of the lower-income population. Among the measures introduced by the Housing Law (2006) and the National Housing Policy (2014-2018) are:

- the creation of urban polygons to limit urban sprawls, a series of graduated urban growth perimeters with decreasing subsidies (U1, U2 and U3);
- the incentive to build more multi-family housing ;
- the creation of the National Commission for Housing (Comisión Nacional de Vivienda - CONAVI) to support access to housing for low income households and marginalized groups;
- the inclusion of alternative financial support to, buy, improve or extend an existing home.

These measures have had very limited impact on the housing production inertia. From 2014 to 2017, 2.2 million houses have been built on the city periphery and 37, 5% of the homes built and financed had been abandoned.

In 2016, year of the Habitat III conference, the Mexican government adopted an improved Law on Human Settlements and Sustainable Urban Development (*Ley general de asentamientos humanos, ordenamiento territorial y desarrollo urbano*), influenced by the New Urban Agenda that was in process of development at

the global level. The new law centralizes and regulates coordination and participation between the different levels of government for regional and urban planning.

In 2019, the inauguration of the new Mexican President Andres Manuel Lopez Obrador resulted in a review of the housing sector, and a drastic reduction in housing construction until the adoption of new housing policies.

The first step has been the publication in March 2019 of the Social Housing Policy (*Programa de Vivienda Social*). The policy recognizes the obligation of the State in the promotion, respect, protection and guarantee of the right to adequate housing for all, and develops three strategies in order to progressively realize this right:

1. To address the need of the population with the greatest housing deficit;
2. To contribute to the major national challenges in terms of urban and social welfare; and,
3. To strengthen and increase interventions that support the social production of housing.

The Social Housing Policy defines the responsibility of CONAVI in the provision of access to adequate housing for the low-income population. A new National Housing Policy was then published in November 2019, which provides a framework for the whole housing sector. The policy is also based on the adequate housing criteria, and defines five strategic objectives:

1. To ensure the exercise of the right to adequate housing for all, especially the groups in greater condition of discrimination and vulnerability;
2. To ensure coordination between public housing institutions for the efficient use of resources public;
3. To promote jointly with the civil society and the private sector the conditions that ensure the exercise of right to housing;
4. To ensure the right to information and accountability of all the stakeholders of the of adequate housing system;
5. To establish a model of land-use management that considers housing as a central element of spatial planning;



The policy also reduces the construction of new housing to 30% of the supported interventions, and an increased support to auto-production and self-construction of houses, and to improvement and extension of existing homes.

Both policies aimed to ensure recovery of the sovereignty of the government on housing matters, with the promotion of the participation of the private housing sector under a regulated institutional framework. The housing sector reform has also been accompanied by a high turnover in staff in most institutions, and the incorporation of experts from academia and civil society.

As of the time of preparing this report, strategies and programs to operationalize these new policies have not been published.

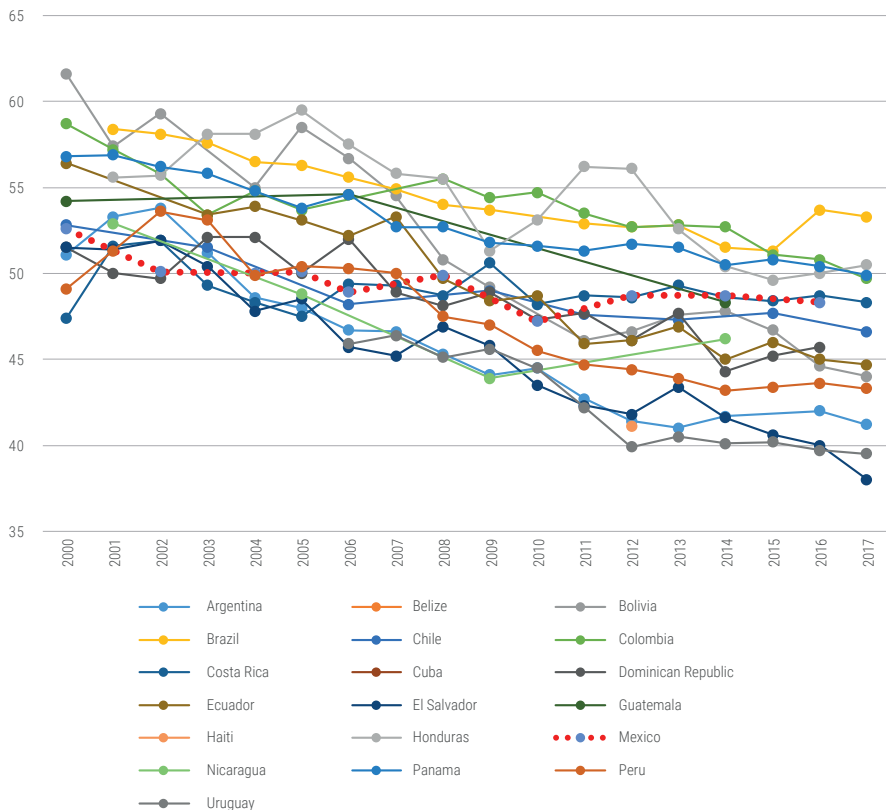
### 3.3 Evolution of poverty headcount and population living in slums

Mexico is the 11th largest economy in the world and the second largest in Latin America after Brazil. Yet income inequality in Mexico remains extremely high, Figure 1 shows that the country has a rather high GINI index, and that inequality ratio has been reduced more slowly than in most of the countries of the region.

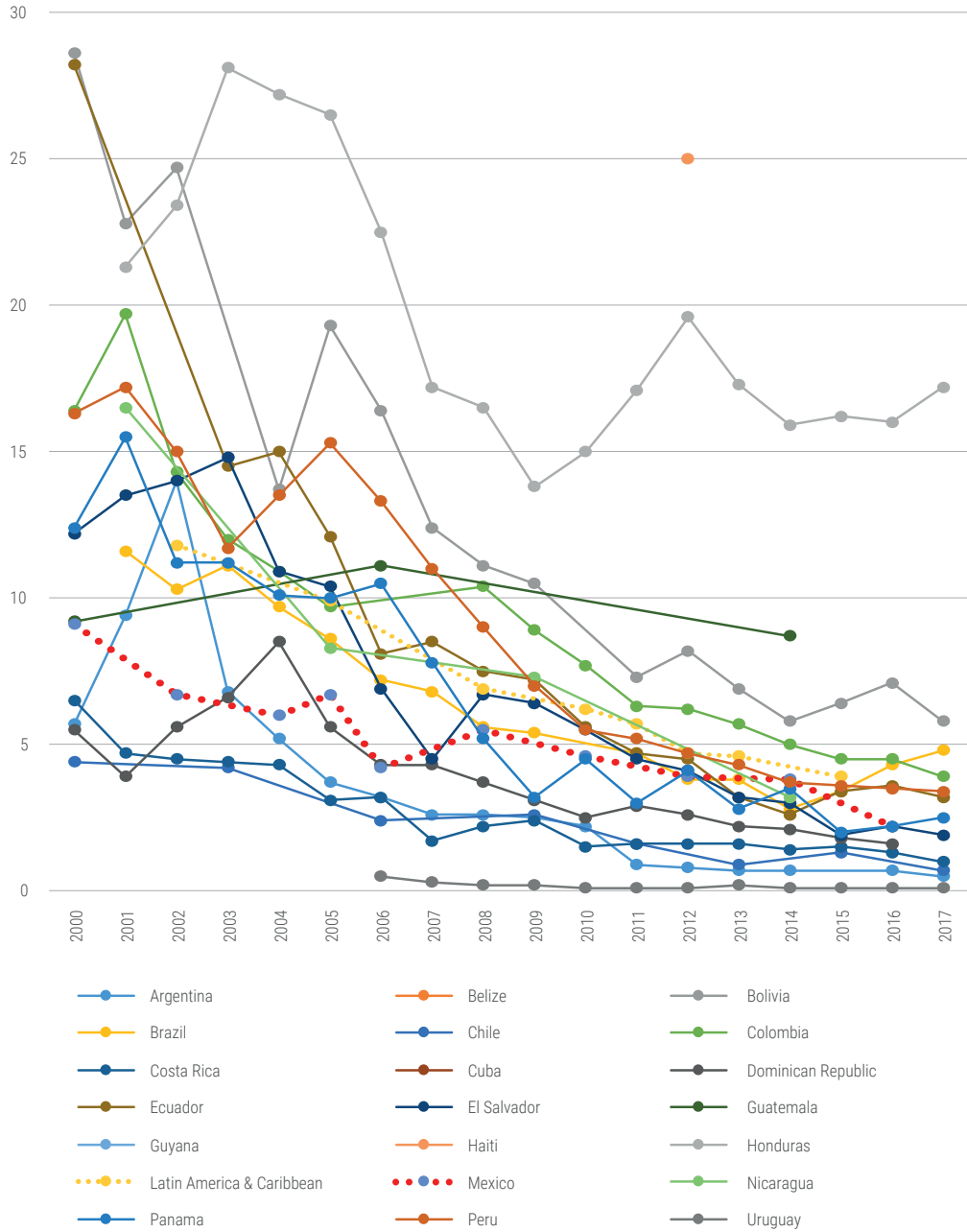
As shown in Figure 2 the country has a relatively high poverty headcount ratio (families earning below \$1.90 a day), below the average for the region but above most of the upper-middle- and high-income countries.

Thanks to major public housing programs, the country has one of the lowest proportions of urban households living in slums in the region, as detailed in Figure 3. The proportion of urban population living in slums has been halved within 3 decades, which is similar to the progress of the majority of countries in the region.

**Figure 2: GINI index (World Bank estimate)**

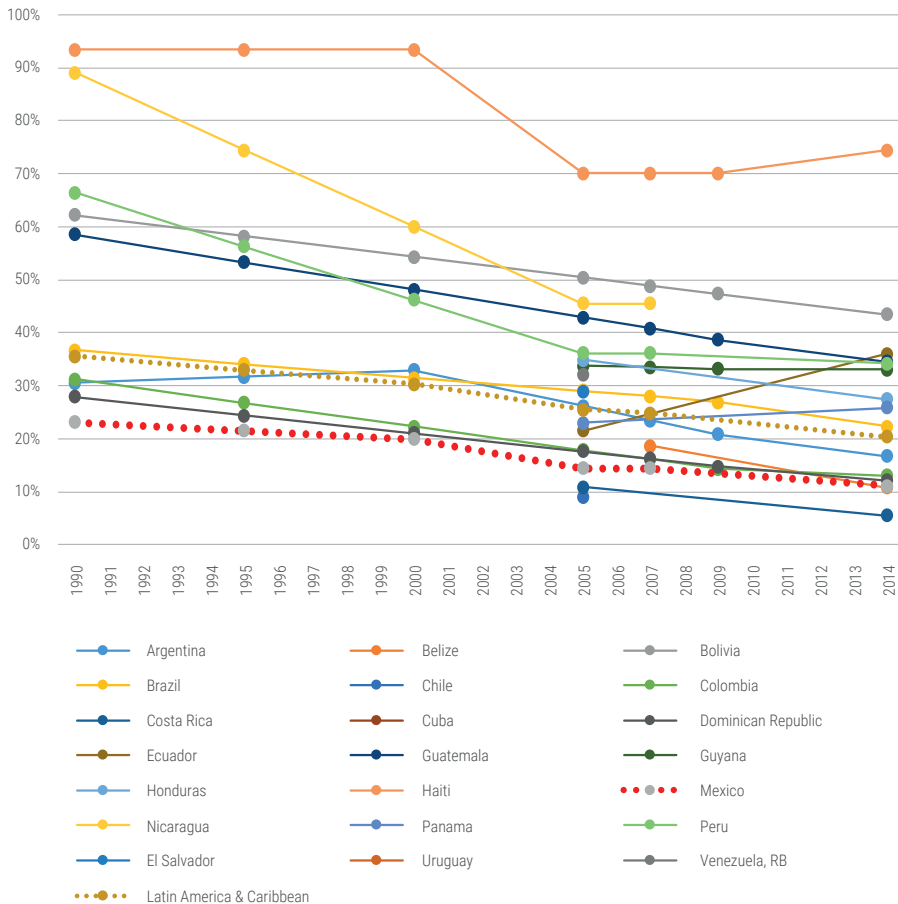


**Figure 3: Poverty headcount ratio at \$1.90 a day (2011 PPP) (% of population)**



Source: World Bank

**Figure 4: Population living in slums (% of urban population)**



Source: World Bank

### 3.4 The housing and urban development ecosystem in Mexico

- **Secretaría de Desarrollo Agrario, Territorial y Urbano (SEDATU)**

The Secretariat is responsible for the coordination of land use planning, urban development and housing policies at the federal level, created in 2013 and then reformed in 2016 with the new law on Human settlements.

- **Instituto del Fondo Nacional de la Vivienda para los Trabajadores (Infonavit)**

A public social service body with legal personality and its own assets. It is a tripartite institution, co-governed by public, private, civil society bodies. Its purpose is to

administer the resources of the National Housing Fund; to operate a system of financing for the acquisition, construction, repair, expansion and improvement of housing and to coordinate and finance housing construction programs. Infonavit is the largest mortgage lender in Latin America, with over 10 million mortgages. Seven out of 10 home loans in the country are financed by Infonavit, and it is estimated that one in four homes built in Mexico has been financed by the Institute

- **Fondo de la Vivienda del Instituto de Seguridad y Servicios Sociales de los Trabajadores del Estado (Fovissste)**

A decentralized public body of the Institute of Security and Social Services for State Workers (ISSSTE), whose purpose is to establish and operate a financing system that allows state workers to obtain loans for

the acquisition, repair, expansion, and improvement of housing. Fovisste is the equivalent of Infonavit for state employees, as Fovimi and Issfam (Military Housing Fund) are for members of the armed forces.

- **Comisión Nacional de Vivienda (CONAVI)**

A federal agency coordinated by SEDATU, its task is to formulate, conduct and evaluate national housing policy. Created in 2001 as a decentralized institution, then aggregated in 2016, to the new SEDATU. The commission provides loans and subsidies to low income households and marginalized groups, still 80% of which goes through the INFONAVIT-led housing production system (73% concern new housing). The organism was also in charge of the urban contention polygons, and has been a promoter of adequate housing rights, it has recently published the "Criterios técnicos para una vivienda adecuada" booklet.

- **Fondo Nacional de Habitaciones Populares (FONHAPO)**

A federal agency coordinated by SEDATU, it grants loans to develop urban and rural housing programs, mainly for people in situation of poverty. The activity of the Fonhapo has been reduced over the past years, it has stopped to deliver loans in 2012, and its mission and portfolio will be integrated to CONAVI in 2020.

- **Housing institutes at state level (Institutos de Vivienda)**

Decentralized public organizations, with legal personality and its own assets. Its purposes is to address the housing needs of the low-income population, through the granting of social interest loans for decent and sustainable housing. Its purpose is to contribute to the realization of the basic human right of housing.

- **Civil society**

The Mexican civil society is very active on housing matters. Many NGOs and CBOs are providing support to marginalized and disaster affected population. Most of them are also active at the global level, through events and networks. Those best recognized include, Casa y Ciudad, Movimiento Urbano Popular, HIC, Habitat for Humanity, Techo, ...

- **Academia**

Academics have been cooperated with civil society movements from the first experiments of the 1960s. They have also been very active at the global level from the 1970s, supporting global housing stakeholders to define and promote the right to housing, the right to the city<sup>8</sup>, or the social production of housing.

- **International organizations**

Many international institutions are active in Mexico and support authorities and institutions on housing matters. Among them financial institutions such as the World Bank or the Interamerican Development Bank have provided financial support for the development of housing finance programs. Other research and development agencies such as OECD, PNUD, IRD or WRI are providing research and consultancy services to public and private housing sector stakeholders.

### 3.5. The current status of the housing sector in Mexico

The housing sector in Mexico faces a number of major challenges inherited, mainly from the uncontrolled and massive housing construction systems implemented from the 1990s.

One of these challenges is the quantitative deficit, estimated at 3 million homes for the formal sector (employees affiliated to Infonavit or Infovisste) and at 9 million homes for the non-affiliated (informal sector). Among the population most in need are:

- the youth (CONEVAL estimates that only 2.6% of the 18-24 can afford a new home);
- the renters (which represent 15% of the tenure), as 62% of them cannot afford a new formal housing;
- the female single headed households which represents 33% of the households;

<sup>8</sup> "The right to the city is thus defined as the right of all inhabitants present and future, to occupy, use and produce just, inclusive and sustainable cities, defined as a common good essential to the quality of life". Habitat III Policy Paper: The Right To The City And Cities For All, 2017

- the indigenous population (21.5% of the total population identifies as indigenous);
- the slum dwellers (15% of the urban population covered by the CPI).

Another challenge is the qualitative housing deficit (inadequate housing), estimated by UN-Habitat to be 12.6 million housing units (38.4 % of private occupied housing units in Mexico). The qualitative deficit includes low quality construction materials, risk exposure or lack of access to services. CONEVAL estimates that for the 4 lowest population income deciles, 58% are living in inadequate housing. For indigenous populations this proportion grows to 79%.

The location of newly constructed homes is a constant issue as only 8 % of new built homes are in consolidated urban areas. Security of tenure is also a constant concern, even in the case of formal housing, it has been reported that 600,000 homes remain unregistered within the INFONAVIT system. Cultural adequacy is also a major concern when assessing and providing housing to indigenous population.

One major negative effect of earlier housing strategies has been the huge number of abandoned houses, actually estimated at 5 to 6 million homes (15% of the housing stock). The abandonment has caused declining housing price, vandalism and insecurity. Many news articles report cases of neighbourhoods taken over by criminal gangs which organize illegal renting, safe houses for drug manufacture, drug selling spots, drug storage, refuge for pipeline fuel thieves, or clandestine graves<sup>9</sup>. If insecurity can be a reason for abandonment in some areas (Guerrero, Sinaloa, Chihuahua, Chiapas y Oaxaca), the inadequate location and the lack of services, transportation and equipment remain the main causes throughout the country<sup>10</sup>.

One example of the abandonment phenomenon is the Tlajomulco municipality (visited for the purpose of this evaluation). Between 2000 and 2016 the housing stock in the area grew almost 700%, which represent over 170, 000 new homes built in 247 isolated housing projects. In 2016 vacant (abandoned) homes represented 35% of the housing stock.

The additional challenges of the Mexican housing sector cited by the key informants are:

- the challenge of providing adequate housing for low-income population inside a very speculative market,
- the lack of alternatives to ownership, and the lack of protection for renters;
- the lack of alternatives to unfamiliar house, and the inability to learn from the experiences on housing cooperatives;
- the lack of capacity at local level to develop appropriate and innovative policies and strategies.

## The current housing legal and policy framework

### Federal level

The current housing framework in Mexico is complex and involves many sectors (urban development, land, finance,) and institutions from the federal to the municipal level, which thus requires a strong coordination between federal, state and municipal agencies and policies.

The key documents currently framing the Housing legislation and policy are:

- The 1917 constitution, with its 1983 article 4 stating the right to decent housing, and its article 1, modified in 2011, referring to the obligation of the government to ensure the realization of right to housing;

9 Lau Velasquez J., Housing as an instrument for Violence, DPU UCL, 2017

10 CONEVAL, Estudio Diagnóstico del Derecho a la Vivienda Digna y Decorosa, 2018



Housing development for influx of people in Fraccionamiento Los Pericos area of Aguascalientes city, one of the most rapidly growing city in Mexico. © Shutterstock/Takamex

- The Ley general de asentamientos humanos, ordenamiento territorial y desarrollo urbano (2016), which introduced participation as a requirement for urban development projects;
- The Housing Law (Ley de Vivienda), adopted in 2006, and recently reformed and completed (2019);
- The National Development Plan (Plan Nacional de Desarrollo, 2019-2024)
- The Social Housing Policy (Programa de Vivienda Social, 2019);
- The National Housing Policy (Programa Nacional de Vivienda, 2019-2024).

### Local level

Despite the fact that municipalities can legislate on housing matters, very few have adopted sectorial laws and strategies. One exception is the city of Mexico which has adopted a series of innovative legal instruments to guarantee the right to housing for all, among them:

- Mexico City's New Constitution (2016), guarantees the right to adequate housing and the right to the city<sup>11</sup> in its articles 9 and 12;
- The recent constitutional law on Human Rights (Ley Constitucional de Derechos Humanos y sus Garantías de la Ciudad de México, 2019), refers to adequate housing rights (art.59) and protection against eviction rights (art. 60).

<sup>11</sup> Defined as : « the right to the city consists of the full and equitable use and usufruct of the city, based on principles of social justice, democracy, participation, equality, sustainability, and respect for cultural diversity, nature, and the environment”

## 4. THE UN-HABITAT MEXICAN PROGRAM

### Objectives and main interventions

#### Strategy

The UN-Habitat Mexican CO has not had a country strategy nor specific objectives for housing-related interventions over the evaluation period (2008-2019). The collaboration frameworks established with the Mexican government at the level of ONU-Habitat CO and at the broader UN Mission level, do not include specific objectives for housing programs. Also the UNDAF 2008-2012 and 2014-2019 do not mention housing as a privileged area of work.

The recent collaboration framework between UN-Habitat and the government (2019-2024) potentially provides support to adequate housing policies and programmes and improvement of living conditions in human settlements, as well as the promotion of the Rio +20 and Habitat III agenda, in coherence with the recently adopted National Development Plan 2019-2024.

Consequently, habitat was not a priority area of work for the CO until 2015 when a partnership was developed with INFONAVIT. Prior to 2015, the CO was more focused on urban development initiatives (such as implementation of the Habitat agenda) which included housing components but which did not include implementation of housing-focused programs. Until recently the priority of the CO remained focused on urban matters (urban planning, sustainable urban development, decentralization, management of territorial development, public spaces and safer cities) in coherence with earlier strategies supported by the EDs office or UN-Habitat management, and within the context of the preparatory and follow-up activities for Habitat III.

Only recently the CO has begun developing a series of interventions focused on housing, such as the widely acknowledged "Vivienda y ODS" (Housing and SDGs) publication (2018) and the « *Foro Internacional para la Urbanización Sostenible y la Vivienda Adecuada* » (Forum on sustainable urban development and adequate housing), in November 2019.

#### Historical evolution

The history of the relationship of UN-Habitat and the housing stakeholders in Mexico is closely aligned with the history of the development of the global housing agenda, marked by the three Habitat conferences (1976, 1996 and 2016). Over the past ten years, the country housing sector stakeholders have been involved in UN-Habitat global level events such as the WUF 2010 (Rio), the WUF 2014 (Medellin) and Habitat III conference (Quito), preparatory sessions (Toluca and Mexico City in 2016), and follow-up meetings, such as the 3rd Latin American and Caribbean Housing and Habitat Forum (2018)<sup>12</sup>.

At country level, the activity of the UN-Habitat CO was quite limited until 2012. Since 2012 the portfolio has expanded with the implementation of the City Prosperity Initiative programs in more than 300 cities,<sup>13</sup> and from 2016 with a series of technical assistance programs for the implementation of the New Urban Agenda in a series of Municipalities (Reynosa, San Nicolás de los Garza and Zapopan). See complete program list in Annex 1.

The housing related-programs became a central focus for the CO from the year 2016, as shown in Table 1, with the implementation of the SDGs and NUA related programs.

12 organized by ECLAC, MINURVI and the Urban Housing Practitioner's Hub (UHPH)

13 Equivalent to 70% of the population, the greatest coverage of the CPI assessment in the world.

The recent years have been marked by two flagship programs. The "Infonavit leading the 2030 Agenda in Mexico" program has introduced a partnership between INFONAVIT and UN-Habitat, leading to the production of the "Vivienda y ODS" publication. More recently, UN-Habitat has initiated a collaboration with the Ministry

for tourism, INFONATUR, for the development of a comprehensive sustainable territorial development strategy, along the planned route of a major railway project, the Tren Maya. One component of this project is the relocation of the population displaced by the railway and related tourist projects.

**Table 3. Housing related programs timeframe**

Project Title	'08	'09	'10	'11	'12	'13	'14	'15	'16	'17	'18	'19
Iberoamerican and Caribbean Forum on Best Practices												
Infonavit leading the 2030 Agenda in Mexico: Housing at the center of the Sustainable Development Goals												
La Nueva Agenda Urbana para Querétaro. La Territorialización de la Prosperidad Urbana en Querétaro, México.												
Sustainable Development Goals, in particular Goal 11 on cities, work related to indicators, tools capacity building and monitoring												
Sustainable Development Goals, in particular Goal 11 on cities, work related to indicators, tools capacity building and monitoring												
Technical Assistance for the implementation of the New Urban Agenda in Reynosa, Mexico												
Technical assistance to the Municipal Government of San Nicolás de los Garza in the Consolidation of a City Vision for urban and territorial development of the municipality, aligned with the 2030 Agenda and the New Urban Agenda												
The new urban agenda for Zapopan: Implementation of the Prosperity Index Territorialization Strategy (La Nueva Agenda Urbana para Zapopan: La implementación de la Estrategia Territorial de Prosperidad Urbana para Zapopan México)												

## Organization and national partners

The main partners of UN-Habitat in Mexico over the past years has been INFONAVIT, and SEDATU.

The partnership with INFONAVIT began in 2014, during the WUF in Naples and has led to the development of the CPI and ODS programs over the 2014 -2018 period.

UN-Habitat has progressively developed a cooperative relationship with SEDATU after its creation in 2013 and its strengthening by the NUA inspired "New law on human settlements" in 2016. The UN-Habitat office is now located in the SEDATU building, a sign of the privileged relation of the agency with the public institution.

UN-Habitat has also developed relationships with several civil society stakeholders, through collaboration, events and networks. One of these networks is the "The Coalition for Urban Transitions", a global initiative jointly managed by the C40 Cities Climate Leadership Group (C40) and WRI Ross Center for Sustainable Cities, which involved several INGO and academics in Mexico.

The relationship between UN-Habitat Mexico CO and the national NGOs and CBOs has diminished over the years, and the relationship is now rather distant. UN-Habitat in Mexico does not support any operational programs implemented by local or international NGOs.



## Evaluation and monitoring

The UN-Habitat interventions in Mexico have not yet been the subject of any external evaluation.

Most CO programs are included in the PAAS database, but only half of them have detailed information on outcomes and achieved results.

The CO does not have an impact monitoring system to assess programs impacts.

## The Theory of Change (TOC)

### Categorization of the Housing Approach

The program documentation review was the basis of the evaluation team's analysis of the program portfolio of the Mexico CO and highlighted the program's relevance to the global Housing Approach. The findings of this relevance analysis are presented in part 5.2.1. [Relevance.]

The housing approach implemented at the country level is characterized by:

- the importance of regional Advocacy and Knowledge management activities at the country level;
- the emphasis put on country level Knowledge Management activities;
- the limited Policy Advice and Technical Assistance support;
- the absence of direct or indirect Operational Activities.

The outputs and outcomes of each of these interventions are consistent with the intended results at global level.

## Mexico TOC

The analysis of how the Housing Approach has been implemented in Mexico has allowed the articulation of a country level TOC. Adapted from the theoretical Housing Approach TOC, the following figure details the characteristics of the Mexico Housing Approach.

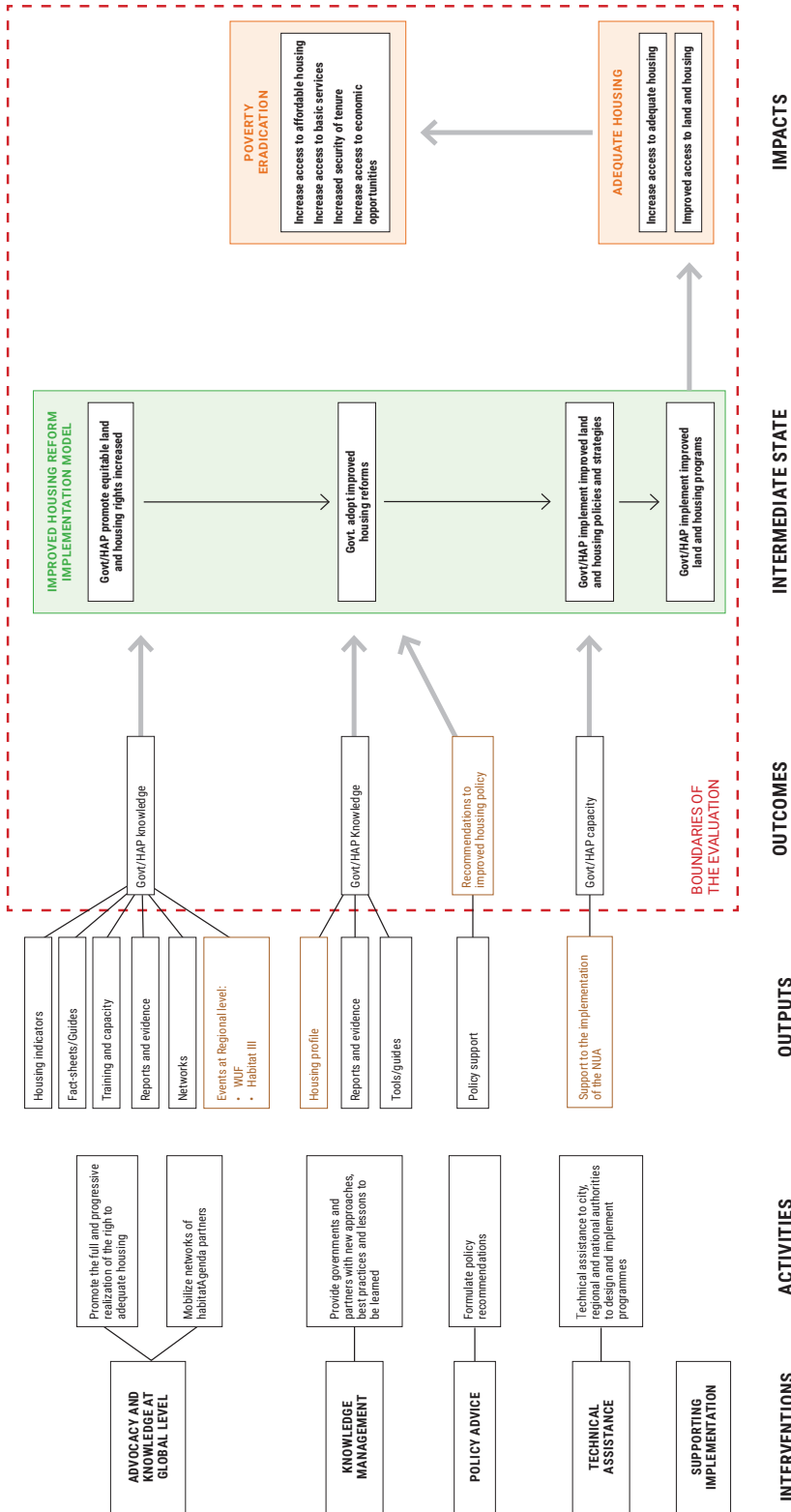
The main difference between the global and the Mexico TOC is the absence of implementation activities in Mexico, and the associated outcomes and impacts (in terms of slum upgrading and prevention for example).

The review of the program documentation identified certain outputs and outcomes, such as the events at regional level (WUF, Habitat III) and the key knowledge products (Housing profile, CPI reports, strategic recommendations).

The figure also defines the boundaries (limits) of the impact/contribution assessment, which will focus on:

- The impacts of global and regional level activities on government political commitment to adequate housing rights;
- The contribution of knowledge management and policy advice activities to the development and implementation of improved housing frameworks;
- The contribution of the approach to the improvement of access to adequate housing for all and to poverty reduction.

Figure 5. TOC of the Mexico Housing Approach implemented



## 5. THE MEXICAN CASE STUDY EVALUATION METHODOLOGY

### The purpose of the country case studies

- a. Mexico is the first of 3 country case studies to be included in the global evaluation. The other two are Zambia, and the city of Erbil in the Kurdish region of Iraq. The cases represent one of three levels of analysis for each region:
  - **Level 1:** portfolio analysis of available data for the region. This is complemented by a survey sent to regional and country offices.
  - **Level 2:** comparative country analysis for 3 countries in each region. This is based on analysis of country data and key informant interviews, but does not include country visits.
  - **Level 3:** country case study based on a 1-2 week country visit.
- b. The purpose of the evaluation, as defined in the Terms of Reference (TOR) is to provide evaluative lessons and recommendations that could be used to influence future decisions concerning UN-Habitat's approach, and to encourage the use of results-oriented approaches in current and future housing policies, strategies, programs, projects and processes with the intent of achieving greater impact. The Mexico evaluation is one of several case studies designed to help understand how UN-Habitat global policies and programs operate within different country contexts, and to assess how effectively a global housing approach can be implemented in widely different country contexts.
- c. It also became clear that a related purpose of the country case studies would be to help clarify what is the UN-Habitat Housing Approach. This is important for several reasons: the Housing Approach is often not clearly articulated, it evolves historically, and because it must be adapted every time there is a change of government. It also became clear that, at least in the case of a country such as Mexico where the program is operating under significant budget constraints, that the CO approach is largely supply driven. Consequently, the CO strategy has to be deduced from the ways in which the CO seeks to follow UN-Habitat global strategic guidelines while program content is responding to specific requests from the national, state and municipal governments.

### The proposed evaluation design framework

Box 1 summarizes the main steps in the design and implementation of the Mexico country evaluation. Each step is described in the following sections. There is an important difference between the present approach and conventional evaluation designs. Most evaluations try to compare the defined program goals and objectives with actual program performance, and then to pass judgment on how well the program has achieved its stated objectives. However, in the present case, the Mexico CO does not have a country program with clearly defined objectives and performance indicators. Instead the program has been largely demand-driven, responding to requests from government, and in most cases there is no clear indication of how these different activities relate to UN-Habitat's overall goals and objectives.

### Box 1. The proposed evaluation design for the Mexican case study

#### Step 1: Defining the key questions to be addressed in the evaluation.

These were adapted from the terms of reference and the inception report

#### Step 2: Defining the housing approach framework

UN-Habitat Mexico does not have a clearly defined housing approach or program strategy against which to assess performance. So the evaluation constructed a "comprehensive housing approach framework" [CHAF], derived from key UN-Habitat strategic documents at global level to use as a reference against which to compare actual CO activities.

#### Step 3: Defining the evaluation design

The design included the following elements:

- a. Constructing a theory of change describing how the UN-Habitat program was intended to achieve its objectives, and to identify the key assumptions and hypotheses to be tested.
- b. A historical analysis of how the program has evolved over time and how it has responded to changes in government policy and the evolving country context
- c. Defining a matrix, based on the housing approach framework and the theory of change which were used to identify the main areas covered by the country program and to compare these with the comprehensive housing approach.
- d. Estimating the value-added of UN-Habitat's contribution to the formulation and implementation of Mexican housing policies and programs. This is a simplified form of Contribution Analysis (CA) which is used because the necessary data was not available to conduct a complete CA. However, the Value-Added approach addresses similar questions to CA, but adapted to the limitations imposed by the more limited data availability.
- e. Assessing program impacts on poverty

#### Step 4: Data collection

Data collection combined:

- a. Review of available secondary data from government, UN-Habitat and other sources.
- b. A survey sent to the country office requesting detailed information on the country program
- c. Key informant interviews
- d. Visits to projects supported by UN-Habitat.

#### Step 5: Data analysis and report preparation

Data analysis used the housing program matrix, the theory of change, and the value-added framework to compare actual program activities with a comprehensive housing strategy. However, unlike a conventional evaluation which assesses how well a program has performed compared to defined goals and objectives, the present evaluation compares what has been achieved with what a comprehensive housing program would involve. However, there is no expectation that the country program could, or should cover all aspects of this comprehensive program, and the evaluation but does not pass judgment on the program. Instead, the evaluation provides a framework for UN-Habitat and other stakeholders to review and assess current activities (in Mexico and the other countries studied) and to draw lessons for future policy and program directions.

Based upon the assessment of the kinds and quality of data availability, which could only be determined once the evaluation team arrived in Mexico; the evaluation strategy has been to combine a number of different sources to construct a "comprehensive housing approach framework" which includes all of the elements discussed in UN-Habitat strategic documents. This provides a framework for comparing the areas on which the Mexico program has focused, the main achievements and the areas that have received less attention. However, the evaluation does not pass

judgment on the program focus and there is certainly no expectation that the Mexico program with its resource constraints could or should address all areas of the comprehensive framework. The purpose of this, and the other country case studies (planned to be conducted in January 2020) is to provide a framework and reference point for UN-Habitat to assess current performance and how programs have evolved over time.

### Step 1: Defining the key evaluation questions

The country case studies respond to the key objectives of the global evaluation although some questions can only be fully addressed at the global level. The 4 objectives defined in the TOR are:

- To determine to what extent identified changes in adequate and affordable housing and poverty reduction can be attributed to UN-Habitat's approach
- To determine to what extent UN-Habitat's approach influenced political commitment to adequate and affordable housing
- Assess impact on poor and vulnerable groups
- Assess how cross-cutting issues such as gender, youth and climate change have been addressed.
- Identify lessons and make recommendations.

The Inception Report also defines a set of key questions to be addressed

### Step 2: Defining the housing approach framework and the criteria against which the UN-Habitat Mexican housing program will be assessed.

There is currently no UN-Habitat housing program or approach for Mexico. Consequently, the evaluation identified a number of documents that could be used to describe the elements of a comprehensive UN-Habitat housing approach for Mexico. This will be compared against the Comprehensive Housing Approach Framework. The reference documents included:

- Documents reflecting the UN housing approach at the global and Mexican level, and

- Documents and key informant interviews reflecting the Mexican government housing approach.

This analysis identified 16 strategic priorities and 10 areas of intervention (see *Table 4 and Table 5*). These were combined into a matrix. These priorities and intervention areas build on UN-Habitat global documents. Note, it is possible that some of the matrix indicators may be modified as the analysis progresses.

These sources were combined to provide two complementary evaluation frameworks:

- A matrix for locating the current UN-Habitat Mexican program within the comprehensive Housing Approach framework.
- What are the areas on which the current program focuses? What are the strengths/relevance of different areas of intervention? How have the different areas of intervention evolved over time?
- A theory of change, based on UN-Habitat's global framework, adapted to the evaluation context. The TOC is discussed below.

### Step 3: Defining the evaluation design

#### Step 3.1 Constructing the theory of change

The TOC can be represented in one or more figures (depending on the level of detail and disaggregation) showing the intended implementation process for each of the 5 activity areas<sup>14</sup>, together with process and causal linkages between the different stages and a set of assumptions about how the mechanisms of transformation will work. Different processes can be rated in terms of their validity or adequacy and the ratings can be represented in the figure (for example using numbers or colours). Figure 4 presents a first representation of the generic TOC but this will be refined as the evaluation evolves. More detail can be provided for each country, but the more detailed country specific TOCs will retain the same structure so that different countries can be compared among each other and with the generic TOC.

14 The 5 activity areas are: (i) Advocacy and knowledge at global level, (ii) knowledge management, (iii) policy advice, (iv) capacity development and (v) supporting implementation.

The TOC can contribute to the evaluation in several ways:

- To describe and test the model of how the program is intended to be implemented and to test the validity of the assumptions at each stage of the model. This will include a focus on identifying and testing the assumptions linking the different stages of the TOC (activities, outputs, outcomes, impacts)
- To compare the scope and focus of the constructed UN-Habitat country housing program with the generic UN-Habitat housing model
- As a graphical representation of the focus, strength and quality of each area of the TOC. This can be done by using colours or numbers (ratings) for each cell.

### **Step 3.2 Historical analysis of how the program has evolved over time.**

Documents and key informant interviews are used to present a narrative of how the Mexico country program has evolved over time in response to changes in government housing policy, the national and international context and evolving international policy dialog on adequate housing.

### **Step 3.3 Defining a framework to compare the Mexican country program with a comprehensive housing approach.**

As discussed above two frameworks (models) are developed to locate the Mexican country program within the broader UN-Habitat Housing Approach. The first comprises two tables: Table 1 assesses how adequately Mexican CO activities and supporting regional activities address the normative and operational elements of the UN-Habitat housing approach, and Table 2 assesses how adequately housing strategic guidelines are addressed in the Mexican CO program. In both tables the level of country program activity is rated for each item for the current period and possibly at different points in the past. The second framework is the theory of change where the level of activities is rated for each stage of the process described in the TOC and critical assumptions are tested.

### **Step 3.4 Assessing the value-added of UN-Habitat's contribution to adequate housing policies and programs in Mexico**

The Inception Report proposed exploring the possible application of contribution analysis (CA) to assess the contribution of UN-Habitat to the observed changes in housing policies and programs in Mexico. However, based on a more detailed review of the available data in Mexico it became clear that it would not be possible to conduct a complete CA using John Mayne's methodology. Consequently, it was decided to use the value-added analysis (VAA) approach, which addresses the same questions as CA, but based on the more limited data availability (and consequently less rigorous analysis).

VAA can be used at two levels: to assess the contribution of a particular agency (in this case the UN-Habitat Mexico CO) to observed changes resulting from a particular housing policy or program; or it can be used to identify the different areas in which the agency has contributed to improvements in the overall situation with respect to adequate housing.

For any particular policy or program VAA addresses the following questions:

- **Question 1-1:** What changes have taken place with respect to the policy or program being studied? For example, the reduction in the number of vacant houses or the proportion of the population in a certain income decile who have adequate housing.
- **Question 1-2:** How did the agency contribute to the changes, and how significant were the contributions?
- **Question 1-3:** A number of additional questions can be asked about the nature of the program and its potential effects:
  - How big a quantitative and impact has it had?
  - Are the results/outcome likely to be sustainable
  - Does the program have the potential to be scaled up?
  - Did the program reach and benefit low-income and vulnerable populations?

- **Question 1-4:** It is also possible to assess agency performance in terms of the OECD/DAC evaluation criteria. But this is not always appropriate.

For an assessment of the overall contribution (value added) of the agency in the adequate housing field, VAA addresses the following questions:

- **Question 2-1:** What are the most significant changes that have taken place in Mexico (in general or over a particular period of time) with respect to adequate housing policies and programs?
- **Question 2-2:** What were the areas in which the agency contributed?
- **Question 2-3:** What were the kinds of contributions the agency made
- **Question 2-4:** How significant were the different contributions?
- **Question 2-5:** What were the areas or activities in which the agency had a comparative advantage, and what were the areas and activities in which other consultants or government agencies could have made a similar contribution?

A pragmatic approach is used to addressing these questions, where all sources of quantitative and qualitative data are combined, and where different sources of information are triangulated to strengthen the validity of the information and how it is interpreted.

### Step 3.5 Assessing program impacts on poverty

One of the questions to be addressed in the global evaluation concerns the extent to which UN Global housing programs have affected the levels and distribution of poverty. In the case of Mexico, until recently the country programs have not targeted the poorest sectors of the population and no studies have been conducted on any poverty-related outcomes. The only relevant data that is available come from the CONEVAL 2018 national survey on housing, which includes information on income levels of the populations in different kinds of housing and in different regions, and the 2019 study on the levels and distribution of poverty throughout the country. These studies will be reviewed but it is not clear whether they will provide any information relevant to the present evaluation.

### Step 4: Data collection

The nature of the programs does not permit the use of experimental or quasi-experimental designs. The role of UN-Habitat is normally to support programs initiated by government or sometimes civil society, and UN-Habitat is not able to control when and how programs are designed or implemented, and consequently it is not possible to introduce experimental controls (assigning some communities to experimental and some to control groups. Furthermore, it is rarely possible to have access to large-scale survey data so that so that quasi-experimental designs (for example using survey data to construct comparison groups through techniques such as propensity score matching. Consequently, the most common data collection methods are the following:

- Analysis of program documents and other secondary data.
- Key informant interviews and focus groups
- Project visits and observation.
- Where possible two or more sources of information are combined using triangulation to strengthen validity and compare different perspectives and interpretations.

### Step 5: Data analysis

The main analytical methods include:

- Tracking program implementation processes and achievements using the TOC. This will also assess the validity of the assumptions on which the different policy and operational activities are based.
- Assessing the focus and coverage of UN-Habitat Mexico program activities using the comprehensive program frameworks discussed in Step 1 and annex 1. (see annex 1 and Annex 1 Table 1.)
- A Value-added Analysis (VAA) framework is used to assess the significance and focus of UN-Habitat's contributions to the outcomes and impacts identified in the TOC and other documents.





## 6. THE MEXICO EVALUATION: FINDINGS

The UN-Habitat independent Evaluation Office follows the UNEG evaluation guidelines which assess program performance in terms of the OECD/DAC evaluation indicators [relevance, impact, efficiency, effectiveness and sustainability]. The present evaluation applies three of the OECD/DAC criteria: relevance, impact and sustainability). As indicated in section 4 the evaluation also employs: a matrix assessing coverage of the comprehensive housing framework, the theory of change and contribution analysis.

### Relevance of the UN-Habitat Mexican program for the promotion of a comprehensive housing policy

Relevance assesses how effectively the Mexico program is aligned with the different elements of a comprehensive housing strategy.

Table 2 summarizes the findings with respect to the relevance of the Mexico program. The relevance of the country program was rated on 9 dimensions where a rating of 1 indicates no relevance and a score of 5 indicates highly relevant. The Mexican country program was rated as highly relevant on: consistency with the Comprehensive Housing framework, and the relevance of the global framework; and significant relevance with respect to: knowledge management and consistency with the policies of country partners. The other dimensions were rated as moderately relevant or lower. Overall the value-added of the country program was rated as moderately relevant. Each dimension is discussed below.



Housing development for influx of people in Fraccionamiento Los Pericos area of Aguascalientes city, one of the most rapidly growing city in Mexico. © Shutterstock/ Takamex

**Table 4. The Relevance of the UN-Habitat Mexico Country Program**

## 1. CONSISTENCY OF COUNTRY PROGRAM WITH COMPREHENSIVE HOUSING FRAMEWORK



## 2. KNOWLEDGE MANAGEMENT



## 3. POLICY ADVICE



## 4. TECHNICAL ASSISTANCE



## 5. PROGRAM IMPLEMENTATION



## 6. CROSS-CUTTING ISSUES



## 7. CONSISTENCY WITH POLICIES OF COUNTRY PARTNERS



## 8. RELEVANCE OF THE GLOBAL FRAMEWORK



## 9. VALUE-ADDED OF THE COUNTRY PROGRAM



Rating code: 5 = Highly relevant; 4 = Significant relevance; 3 = Moderately relevant; 2 = Limited

## Consistency of the country program with the Comprehensive Housing Approach

The review of the available strategic documentation and the interviews with UN-Habitat country staff and partners did not identify a clear country office housing strategy. This was partly due to the fact that many activities were “demand driven”, responding to requests from national, state and municipal agencies. However, the review of the implemented activities shows a significant consistency with the Housing Approach. (See ToC)

### Advocacy and knowledge at the global level:

Mexican government agencies and civil society have been major partners with UN-Habitat in the adoption and further development of the global agenda on housing, from the early stages of its development in the seventies with the Habitat I conference and the recognition of the right to housing, until the latest accomplishments with the adoption of the NUA. UN-Habitat at the country, regional and global levels has actively encouraged the participation of Mexican housing agencies in the evolution of the global housing approach, and Mexican experience has been shared with other countries and international agencies.

The Mexican housing stakeholders have fully participated in the Housing Approach global level activities. Many Mexican country partners have been participating in the various events and networks at global and regional levels organized by UN-Habitat, which have provided a regional and global platform for the Mexican experiences.

The CPI reports were considered by many key informants to have been one of the Mexican program's most important contributions to urban development and housing policies and programs. The indices were cited as providing guidance on gaps and priorities in municipal development strategies.

### Knowledge management:

One constant activity of the Mexican country office has been to provide country governments and partners with data and knowledge on housing issues, with the intent to influence policies. Many reports have been compiled and shared at the national level, presenting original data and analysis. While the main focus of many reports was not directly on housing issues, they have always included data on housing facts and trends.

The recent “Housing and the SDGs” report has made a major contribution to the debate on housing and to the improvement of the national housing policy. Other key documents, such as the Housing Profile, the Mexican Cities reports or the many CPI reports have provided means to analyse and compare cities performance on housing.

Various respondents at the municipal and national level indicated that a valuable contribution of UN-Habitat is the knowledge management experience drawn from other municipalities and other countries. This broader experience can help anticipate issues and opportunities of which the municipalities and national agencies would not have been aware.

### Policy advice:

Until recently, providing policy advice has not been a central focus of the country office. However, the 2018 “Housing and the SDGs” report, developed with key national partners has provided the entire housing sector with recommendations on ways to improve the housing legal and normative framework. The government housing program for 2019-2024 (published in November 2019) acknowledges the importance of this and related UN-Habitat national and global publications.

## Technical assistance

The Mexican country office has been providing technical assistance to city, regional and national authorities in the form of consultancy assignments. These have, however, mainly focused on urban development, such as the support to municipalities for the implementation of the New Urban Agenda (Reynosa, Queretaro, Zapopan).

UN-Habitat has developed a partnership with INFONAVIT and between 2015 and 2017 has supported the analysis of the consistency of its programs with the SDGs. This has enabled the development of a new operational strategy and the creation of broader programs such as the improvement and extension of existing homes that go beyond INFONAVIT's exclusive focus on the purchase of new housing.

## Implementation

Direct or indirect program implementation have not been areas of activity of the office, whether it concerns new housing, reconstruction or slum upgrading. Nor has the country office developed partnership with implementing partners.

## Cross-Cutting issues

Analysis of the broader Mexican context shows that UN-Habitat cross-cutting themes (e.g. youth, gender, human rights, climate change) are very relevant to the Mexican context. However, the review of program documentation found that in most cases these issues were addressed in housing-related activities, but without constituting major lines of work.

The Housing Approach typology implemented in Mexico is consistent with the Housing Approach at global level. The approach developed at country level has focused on two components: (1) the knowledge production and sharing at local level and (2) the mobilization of country partners to engage in global level activities to improve and promote global housing frameworks.

## Consistency of the Housing Approach with country partners' priorities and approaches

The Housing Approach strategy which aims to foster the improvement of the legal and normative housing framework reveals a high level of consistency with the strategy of the national partners: both with government which has been improving its legal instruments on housing for several decades, and with civil society which promotes the greater inclusion in legislation of the different habitat-related rights.

Both public institutions and civil society have used the global level platforms and concepts to promote housing rights and improve their practices.

Interviews with public authorities and institutions shows that there is also a real demand for technical assistance and policy advice, especially from the local level, to fill a critical gap of institutional and technical competencies.

The requests from national level bodies are focusing more on data and evidence-based analysis. The CPI is frequently cited as an example of the ability of the country office to effectively respond to this demand,

The Mexican civil society has been continuously addressing issues relating to access to adequate housing for the low-income and the marginalized groups, among them, youth, elderly, women and indigenous people. These interventions have a limited echo in the approach implemented at local level by the CO as advocacy has not been a major line of work.

The context analysis showed a good consistency of the Housing Approach strategy, interventions and cross cutting issues, with the priorities of the housing sector stakeholders.

## Relevance of global frameworks to the Mexican housing context

Most stakeholders consider the global housing frameworks supported by UN-Habitat at the global level (adequate housing criteria and NUA) to be highly relevant for the Mexican context.

Adequate housing criteria are widely used as a reference to provide a comprehensive understanding of housing matters and associated rights. All the criteria address critical issues in the national debates on housing. Among them criteria for the location and accessibility of services criteria have been widely referenced in the critique of the former housing national strategy. Also, Affordability has always been a major concern in pro-poor policy development, and cultural adequacy still remains a challenge when providing adequate housing to indigenous communities.

The agenda 2030, NUA and the SDGs have provided many stakeholders with a framework for analysis of the housing context and related strategies. The SDGs have been adopted by a wide range of actors, from national institutions (INFONAVIT), to civil society (ECHALE), and municipalities (Tlajomulco).

The GHS and H@C, have also provided very relevant strategies, such as the need to develop and implement housing policies from federal to local level, the required political commitment on housing issues, the need to place housing at the centre of cities and urban development and the relevance of housing as an entry point to understand and address marginalization and poverty.

The global housing frameworks are in line with the Mexican housing context challenges and have been widely adopted by the housing sector stakeholders.

## Estimating the value-added of the UN-Habitat Mexico program

Most of the interviewed stakeholders have a long experience with UN-Habitat and they acknowledge the value-added and comparative advantage that Habitat brings in a number of areas of the national housing ecosystem.

From the seventies UN-Habitat has been the main global partner for civil society organizations and some national institutions in the promotion of the right to housing.

This recognition has established a solid reputation of trustworthiness for UN-Habitat in Mexico among many housing sector stakeholders. This is supported by the acknowledgment of the expertise of the agency on housing issues and the capacity to be an effective facilitator within the Mexican housing sector.

UN-Habitat is broadly recognized to play a key role as observer and evaluator, providing an external and objective perspective on the dynamics of the housing sector. Due to complex legal and institutional frameworks, and a federal and decentralized government, the different stakeholders feel rather isolated one from each other, and value the spaces for discussion and reflection, brought by UN-Habitat. The capacities of UN-Habitat to promote dialogue between different sectors and to integrate global concepts with local realities are widely acknowledged. However, some stakeholders regret that civil society and specifically the CBOs are no longer equally included in the exchanges.

UN-Habitat is widely recognized as a source of expertise on housing matters, able to build on a multidimensional vision of housing, and to integrate this with a focus on specific technical matters in areas such as finance and land. The concepts and documentation provided by UN-Habitat are considered as key reference for most of the stakeholders. This acknowledged expertise goes hand-in-hand with the growing role of UN-Habitat as a source of consultancy. Consulting services have become an important revenue generator for UN-Habitat, and has widened its areas of influence at the local level. The main clients are national institutions and bigger cities, which can afford comparatively expensive consultancy services, and seeking to use UN branded collaboration for financing or image.

The comparative advantage of UN-Habitat as a consultancy service was discussed with several UN-Habitat staff and some partners, mainly because the agency has reduced its capacity to bring its global-level technical expertise to the CO level. This is reported to be due to many factors. The existing expertise in Mexico is strong on housing issues and the UN-Habitat global level expertise is considered expensive, rather difficult and slow to mobilize, as well as not always relevant to complex local issues.

The consultancy services are only affordable for major cities, whilst the lack of capacities for improving and implementing strategy is more critical in smaller municipalities.

Moreover, some stakeholders expressed concern that by becoming deeply involved in consultancy partnerships with national institutions, UN-Habitat loses its independence and capacity to effectively criticize and influence public policies. Several respondents cited the Tren Maya program as an example of a high-risk collaboration where UN-Habitat could lose its image as a promoter of human rights, and of becoming perceived as a government ally in the processes of relocation of indigenous communities. The UN-Habitat staff involved in the project believes that the central role played by UN-Habitat in this mega project may be incompatible with its role in promoting safeguards to protect rights compliance, transparency and participation.

The Housing Approach objective of providing policy advice is not expressed as a need by public institutions, who rather seeks for evidence-based analysis and exchanges. This is reflected in the latest collaboration agreement between the Mexican government and UN-Habitat (2019-2024), which provides for the provision of "knowledge and experiences", "collaborative platforms" and "technical support and consultancy" – but does not mention UN-Habitat as providing policy advice.

The expectations from civil society organizations and academia regarding engagement with UN-Habitat have not been fully met, and some express concern that the agency, despite its expertise, is failing to advocate for housing rights, supporting dialogue between civil society and government and promoting the broader adaptation of innovative housing approaches developed at local level.

The value added of UN-Habitat is acknowledged by Mexican housing sector actors at both the global and the local level. UN-Habitat's technical expertise on housing matters and the development of concepts and agendas is acknowledged at the macro level, while the value-added at the local level mainly relates to the capacity to provide data and analysis, articulate global concepts and facilitate dialogue between stakeholders.

## Estimating the impact of the Housing Approach

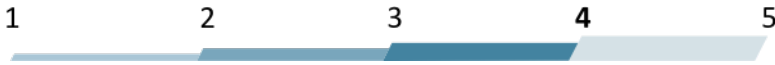
Impact assessment refers to assessing the extent to which intended impacts have been achieved, and the degree to which the changes can be attributed to the effects of the interventions of UN-Habitat Mexico. Table 3 summarizes the main findings with respect to impacts.



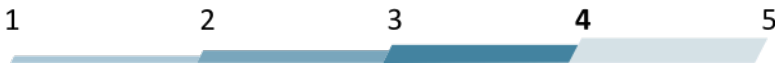
Hilltop favelas in Mexico City. © Shutterstock/Paul Vowles

**Table 5. The Impact of the UN-Habitat Mexico Country Program**

1. ADVOCACY AND KNOWLEDGE AT GLOBAL LEVEL



2. KNOWLEDGE MANAGEMENT



3. POLICY ADVICE



4. TECHNICAL ASSISTANCE AND CAPACITY DEVELOPMENT



5. SUPPORT TO PROGRAM IMPLEMENTATION



Rating code: 5 = High impact; 4 = Significant impact; 3 = Moderate impact; 2 = Limited impact; 1 = No impact.

**Advocacy and knowledge at global and regional level**

**Promotion of the realization of the right to adequate housing**

The promotion of the right to adequate housing has a particular dynamic in Latin America as there is an interaction and complementarity between the Habitat agenda and evolving government housing policies. This interaction can also be observed in Mexico where stakeholders have influenced government housing policies, while, at the same time government policies have influenced stakeholders.

The Mexican government and civil society have been closely allied with UN-Habitat in the promotion of the right to housing<sup>15</sup>, and in the preparation and follow-up of the Habitat I and II conferences. In the recent

Habitat III conference, this influence has continued, and the recognition of the right to the city at the global level is largely due to the advocacy of Latin American stakeholders, including the Mexican government and civil society.

At the same time, the improvements over the last four decades in the constitutional, legal and normative housing framework in Mexico has followed the same process as the evolution of the global agenda. In 1976, the same year as Habitat I, the General Law on Human Settlements (Ley General de Asentamientos Humanos) was adopted. In 2016, in the context of the preparation of the Habitat III conference, the new General Law on Human Settlements, Land Management and Urban Development (Ley General de Asentamientos Humanos, Ordenamiento Territorial y Desarrollo Urbano) adopted the right to the city as a guiding principle.

15 HIC, Habitat International Coalition and the Habitat Conferences, 1997-2016, oct.2018

Mexican civil society has been proactive in the definition and promotion of various concepts associated with the right to adequate housing (such as the Social Production of Habitat) incorporated in the federal housing policy in 2006 and in the Mexico City housing policy from 2001. The Mexican government has recently adopted in various key document and in the National Housing Policy references to the 7 criteria of adequate housing, as defined by UN-Habitat. The adoption of these frameworks illustrates the conceptual complementarities between national and global level, and the cross-fertilization process in action since the seventies.

However, the operationalization of the right to adequate housing suffers from various limitations. Many marginalized and low-income groups do not have access to adequate housing, specifically in smaller municipalities or rural areas, such as the indigenous communities. Moreover, the right to adequate housing, the right to the city and concepts such as the production of social habitat, adopted in the national policies are not always reflected in the legal and institutional mechanisms, especially at local level.

Some stakeholders regret the fact that the discrepancy between the endorsement of global level agendas and the political commitment and the achievements at country level is not always clear and represents a political risk for governments. In fact, UN-Habitat staff at national and regional level acknowledge the limited capacities of the agency in advocacy for the operationalization of housing rights that can go beyond the framework of the formal requests expressed by the public authorities.

### Events and Networks of Habitat Agenda partners

The development and promotion of the global agenda and frameworks on housing has been articulated through many networks and events. The Mexican housing stakeholders have been very active in these activities, for example in the preparation and follow-up of the Habitat conferences.

Since 2014, Mexican government and civil society have been participating in the various preparatory events of Habitat III, in New York (2014) Nairobi (2015), Surabaya (2016), Mexico City (March 2016) and Toluca (April 2016), and have been significantly influencing the conference agendas.

The preparation of Habitat III has been reported as very positive for the Mexican housing sector, as it has provided a forum for different stakeholders to debate on the national housing context and policies. These meetings, conferences and complementary informal communication channels have proven to be very useful in facilitating exchange and permitting a broader perspective for the analysis.

These meetings have also enabled the Mexican government to enhance its international visibility and to permit it to demonstrate its full endorsement of habitat-related rights and the Habitat agenda.

The Mexican government has also been an active partner in the follow-up activities to Habitat III supported by the Economic Commission for Latin America and the Caribbean (ECLAC) and the Ministros y Autoridades Máximas de Vivienda y Urbanismo de América Latina y el Caribe (MINURVI) with the support of UN-Habitat, to promote the implementation of the NUA. The activities include the development of an exchange platform to bring lessons learned and best practices at global level and share innovative approaches at the national level.

From 2008, UN-Habitat has also organized various events and platforms at the regional level, among them the "Iberoamerican and Caribbean Forum on Best Practices" (2008). These events have supported the exchanges of experiences and knowledge at the regional level, mainly for academics and civil society. The limited data on follow-up activities to these conferences has made it impossible to conduct a historical analysis to assess the impacts of these events.

**The Mexican government and civil society have made significant contributions to the preparation, facilitation and follow up of the Habitat III conference, giving wide support to the recognition, adoption and implementation of the right to adequate housing.**

**The numerous and varied events organized over the period, inside and outside the framework of Habitat III, have enabled the Mexican housing sector stakeholders to exchange experiences and best practices with the other countries of the region.**



## Knowledge production, analysis and dissemination

One major contribution of the Mexico CO to the housing sector is the production of data and evidence-based analysis. The importance of these publications was acknowledged by all of the stakeholders who were interviewed, and the publications are widely used as a reference in many of their own publications.

The most cited publication is the “Vivienda y ODS” [Housing and the SDGs] which develops an analysis of the Mexican housing context as well as proposing a series of recommendations, to address the challenges of the country housing sector. Another key document used in recent government publications is the “Elementos de una vivienda adecuada” [the elements of an adequate housing program] booklet, which details the adequate housing criteria.

Both published in 2018, these publications have been used as a reference in the preparation of the National Housing Policy, published in November 2019.

The numerous CPI reports on over 300 cities in Mexico have also been acknowledged as key resource documents, as they present a powerful tool to compare Mexican cities against an extensive set of indicators, including comparisons with cities in other countries.

Other influential documents include the “State of the Mexican cities”, published in 2011 and the “Mexican housing sector profile”, 2012. The data presented in these and other UN-Habitat reports are used as references in publications from public institutions, NGO and academics. They support the analysis of the housing context, particularly on the quantification of the dynamics of the housing sector. The recent National Housing Policy make various references to the UN-Habitat CO publications.

**Figure 6. Flagship reports from the Mexican CO**



The Mexican CO has provided the government and housing sector stakeholders with high quality data and analysis. These publications are well known, and their data and analysis have been widely used, and included in housing policies.

## Policy Advice

### Federal level

Influencing housing policy and intervening in the implementation of adequate housing programs had not been a CO objective until 2018.

However, the change of government last year provided an opportunity for the CO to engage with the new team at SEDATU, the ministry in charge of the elaboration of the housing policy, and to promote the use of the recommendations proposed in the "Vivienda y ODS" document. This has proven to be very effective as the National Housing Policy published in 2019 includes many of the recommendations made by UN-Habitat. The policy uses the global housing framework and the 7 criteria of adequate housing to analyse the current situation, and adopt strategies informed by the global housing frameworks and the recommendations made by UN-Habitat, such as "ensuring the realization to adequate housing rights for all and specifically to vulnerable groups".

The right to adequate housing, as well as the adequate housing criteria are also referred in the Social Housing Policy (Programa de Vivienda Social), published in March 2019.

The CO's recently increased influence on housing policy can be explained by several factors. The Mexican CO has progressively gained recognition at the country level through collaboration with several public institutions and municipalities, and the production of high-quality reports. The close working relationship developed with the SEDATU from 2016 is a demonstration of the relationship of trust created at the national level. In addition, the new staff at SEDATU, INFONAVIT and CONAVI, appointed by the new government is composed of relatively young professionals, many with international (rather than national) experience and sharing references and recognition of the global level agendas with the UN-Habitat CO staff, some of them even have had experience in the CO. On the other hand, the new government has shown reluctance to work directly with recognized housing experts from civil society, leaving UN-Habitat as the potential intermediary between civil society and SEDATU.

Most of the stakeholders recognize the great progress represented by the adoption of the policies, however, many also regret the fact that it does not include instruments for operationalizing the policies, nor does it address some key issues such as land management, housing finance and the capacities of local authorities.

## Local level

In Mexico City, the definition and successive revisions of housing policies and programs have been very progressive with respect to the recognition and implementation of housing rights.

The analysis has shown that these policies have been deeply influenced by experts from civil society, including academics, NGOs and CBOs. Interviews with several of these experts have highlighted the fact that even if they have not worked directly with UN-Habitat at the country level, the work with Habitat at the global level over several decades has strengthened their expertise.

This indirect impact of global level activities can also explain how concepts have been incorporated and modelled to better adapt to local realities and concerns. The recently adopted Housing and Urban Regeneration program (2019), which proposes the concept of "inclusive housing" to define the characteristics of housing projects to ensure social diversity and adequate housing for all, is an example of the influence of UN-Habitat policies.

The inclusion in the latest National Housing Policy of key elements of the UN-Habitat global housing framework, such as the adequate housing criteria, and recommendations proposed by the CO a year before has been a major achievement.

At local level in Mexico city, the progressive public policies have been influenced by CBOs and academics who enriched their expertise from their long-term global level experience with UN-Habitat.

## Technical assistance and capacity development

Until recently, technical assistance and capacity development to city and regional authorities on housing issues had not been a major focus for the Mexico CO. But this is changing as evidenced by recent technical assistance support provided to some municipalities on the implementation of the broad NUA.



View of a large new cheap social housing development of single homes for low-income workers, in a poor community in the outskirts of Mexico City. © Shutterstock/D Busquets

One recent and specific initiative to support the city of Tlajomulco in the development and implementation of an innovative strategy to address the abandoned housing issue, has potentially important lessons but has been rather limited in scope as small municipalities have limited technical and financial resources.

### Support to program implementation

Until recently, the Mexican CO had not developed operational activities nor established partnership with implementing partners, for post-disaster intervention, housing pilot projects or slum upgrading interventions. For example, UN-Habitat has not directly engaged in the post-earthquake reconstruction (2017) as the government has not requested assistance. UN-Habitat Mexico CO has only recently published a methodological guide on “Municipal strategy for integrated risk management” (2019).

The Tren Maya project in which UN-Habitat has entered into collaboration with FONATUR, is a potentially new area of work for the CO. The objective of the CO is to demonstrate how UN-Habitat approaches can be applied at policy, coordination and operational levels, and how the comprehensive analysis on housing issues can help to anticipate future problems, such as the negative consequences of resettlement.

This project is an opportunity to make a significant contribution to future housing policies and programs and to directly contribute to access to adequate housing for marginalized groups and low-income households. However, many stakeholders and some UN-Habitat staff stressed that it also represents significant challenges, in terms of reputational risk, with an involvement in sensitive political issues where the CO would have limited influence on project progress.

### Performance and impact monitoring

The lack of performance and impact monitoring has been a significant limitation in CO analysis of the effects of the Housing Approach at country level.

The Mexican CO is not able to monitor the impact of its interventions, as it does not usually have resources to monitor and evaluate the outcomes of the initiatives it supports. In addition, the project workflow of the CO does not have resources to develop initiatives outside of the framework of demand-driven assignments.

As a result, no assessment has been made in the past on the use of the potentially very important knowledge products by national housing sector stakeholders. Similarly, no evaluation has been conducted on the impacts of policies or programs supported by UN-Habitat, on the access to adequate housing or on poverty reduction.

## Sustainability

### Influence of UN-Habitat on policies

UN-Habitat usually has resources to sustain its work on Housing policies and housing public institutions, over the short and medium term. The collaboration initiated from the first months of the actual presidency, has been triggered by a long-term trustful reputation of UN-Habitat in the Mexican housing sector and is expected to continue within the actual political context. In addition, UN-Habitat has built its recognition at the country level on the production of recent high-quality data and analysis, which remain up to date and very relevant for the on-going revision of the housing sector.

However, over the longer term the sustainability of the impacts and continued influence of the new collaboration with government may be affected by several factors:

The CO budget is very small and it has not been able to retain a staff of experienced researchers and advisers. Most staff are on short-term contracts for a particular assignment and then they leave. So, the office is not able to build up a core of experienced staff and it is even difficult to ensure an institutional memory.

One consequence of this is that the office has to rely on contracted consultants for many technical supports of research assignments. Another major challenge is that consultants recruited through Nairobi are considered to be too expensive, administratively difficult to hire and often they do not have an experience that is directly relevant to Mexico. This means that that the office has to compete with other consultancy firms to attract national consultants (or international consultants with extensive experience in Mexico). The office, due to its resource constraints is often at a disadvantage compared to consulting firms.

Resource constraints also mean that the office has to accept a significant number of consultancies, often in areas in which the office does not necessarily have a comparative advantage, just to be able to earn money to cover their basic budget needs. So, they are not able to focus their efforts on areas where they would like to specialize.

### Impacts of CO promoted policies on access to adequate housing or all

The adoption of the global housing framework in the recent policies bode well for the development of improved pro-poor policies and the materialization of effects on the access to adequate housing in the country. However, no programs nor have been adopted yet to confirm and materialize the apparent political commitment on the revision of the national housing production model and on the development of pro-poor housing programs.

## 7. VALUE-ADDED ANALYSIS

The value-added analysis assesses the contribution of UN-Habitat to observed changes with respect to adequate housing, based on the logic of the Housing Approach.

The analysis will assess the areas where UN-Habitat has had the most significant impact. In the case of Mexico, the most significant change, to which UN-Habitat has contributed is the adoption by the government of a new national housing policy. The analysis will focus on the contributions of UN-Habitat to the improvement of this new housing framework.

### Contribution to the improvement of the national housing policy

#### The new National Housing Policy

The new government, elected in 2018, has undertaken since its inauguration a revision of the housing production system that has been operating since the nineties. This process has been marked by a major slowdown of the housing production while the new policies are being finalized and made operational, and by the development of a new National Housing Policy in November 2019. This policy has been acknowledged by most of the housing sector stakeholders interviewed as very relevant to the housing sector situation and as a significant step for the improvement of the housing production system in Mexico, even if some criticize its lack of operationalization.

As mentioned in the "Housing context analysis" section, the two main shortages of the previous housing production system have been, the massive production of housing with very poor access to services, and its access limited to the formal employees. The new policy proposes both an analysis of the housing context and a strategy to this address these shortages.

The National Housing Policy includes a diagnosis of the current housing situation in the country using the seven UN-Habitat criteria of adequate housing.

This is one of the few examples of national housing frameworks to make direct reference to this global framework, developed by UN-Habitat and OHCHR in 2009. The analysis is also supported by many qualitative and quantitative information produced by UN-Habitat on the Mexican housing context since 2011.

The strategy developed in the National Housing Policy is based on a series of five priority objectives, and their respective priority strategies and specific actions (See *part 2.5.1 Housing legal and policy framework*).

To develop this framework, the Mexican government has been relying on a housing policy document, published in 2018 by UN-Habitat Mexican CO, the "Housing and SDGs" booklet. Many objectives and strategies presented in the national framework can also be found among the UN-Habitat policy recommendations. The use of the adequate housing criteria and the recommendations provided by UN-Habitat is contributing to the significant improvement of the policy in many regards:

1. The analysis of the housing sector in a holistic manner and the recognition of the many shortcomings of the housing production in Mexico;
  - including in the previously ignored aspects of accessibility and cultural adequacy, addressing the access to adequate housing for marginalized groups: PwD, women, indigenous population, youth and elderly;
2. The development of pro-active strategies, relevant to the national housing context and consistent with global housing framework, which aim, among other objectives, to:
  - ensure the realization of the right to adequate housing for all;
  - develop alternatives solutions to the purchase of new homes;
  - provide financial support and solutions for the low-income population and the informal sector.

The new housing policy will frame public strategies and programs for the next 6 years (current presidential term), it can thus be estimated that it can potentially produce a significant impact on access to adequate housing for the Mexican people, including for low-income and marginalized population.

## UN-Habitat contributions

The analysis has found that UN-Habitat has contributed in different ways to the improvement of the National Housing Policy

- UN-Habitat has proved to be a reliable partner for the government and especially the SEDATU and INFONAVIT,
  - UN-Habitat is recognized, at the country level, for its expertise on housing and for the capacity to articulate broad concepts and global frameworks;
  - This recognition has been gained at the global level through the development of frameworks, conferences and networks, and at the local level, through the production of knowledge and the implementation of technical assistance programs;
  - The agency has been the main (and often only<sup>16</sup>) external partner for the government in the development of the Housing Policy;
- UN-Habitat has provided a relevant comprehensive housing framework in the form of the adequate housing criteria;
  - This framework has been produced at the global level and has proven its relevance in the Mexican context;
  - It has been promoted at the global level through events and publications;
  - The UN-Habitat Mexico CO has been promoting the adequate housing criteria at the country level, with the "Elementos de una vivienda adecuada" publication for example.

- UN-Habitat has provided the government and the housing sector stakeholders with key quantitative and qualitative information;
  - Among the key knowledge products cited by the National Housing Policy are "Housing and ODS", the "National Housing Sector profile";
- UN-Habitat has provided relevant policy recommendations to address the housing production system shortage and the housing deficits in Mexico;
  - It is difficult to assess to what extent the recommendations have fed the policies, however the analysis shows a great consistency in both documents and it has been reported by UN-Habitat staff, that SEDATU staff have requested to UN-Habitat the authorisation to use some of the provided recommendations.

The revision of the housing system and the development of a new housing policy has been undertaken by the new government, in its first months in office. Even if the shortcomings of the housing production system in Mexico have been known for many years, a strong political will is needed to address the underlying problems. This situation shows the need for political commitment to intervene on housing issues and the potential for UN-Habitat to support a housing reform through several complementary interventions, from advocacy to knowledge management.

## Other areas of comparative advantage

### Improvement of policies at national and local level

The analysis showed that UN-Habitat has had an indirect impact on the improvement of other public policies and legal framework at national and local level.

### Federal level

It has been found that the "New law on Human settlements", adopted in 2016, and the Social Housing Policy, published in 2019, have been influenced by global frameworks promoted by UN-Habitat.

16 At the exception of 3 academic papers, UN-Habitat is the unique non-governmental organization to be cited in the housing policy.

The “New law on Human settlements”, has been elaborated in the context of the preparation of the Habitat III conference, in which many Mexican public institutions and civil society organisation were participating. The meetings at global and regional level have supported the exchanges between Mexican stakeholders and the reflexion on the Mexican context. For several stakeholders this context has been influencing the elaboration of the new law and explain the high consistency of the law with the NUA.

The Social Housing Policy, developed by CONAVI this year, shows many references to the adequate housing criteria, and provide a pro-active strategy toward the access to adequate housing for low-income population. The global framework on adequate housing promoted at global and local level has been reported to have influenced this policy.

It is also noteworthy that the staff turnover in housing institutions, including CONAVI, has permitted the contracting of former civil-society housing specialists, who have been very active in the global level events and networks.

## Local level

At municipal level, the housing policies of Mexico City have been developed since the seventies in close collaboration with the civil society. The several NGOs and CBOs representatives interviewed acknowledge that their expertise has been strengthened through their participation in networks and events organized by UN-Habitat at the global level, and especially the Habitat conferences and their preparatory meetings events.

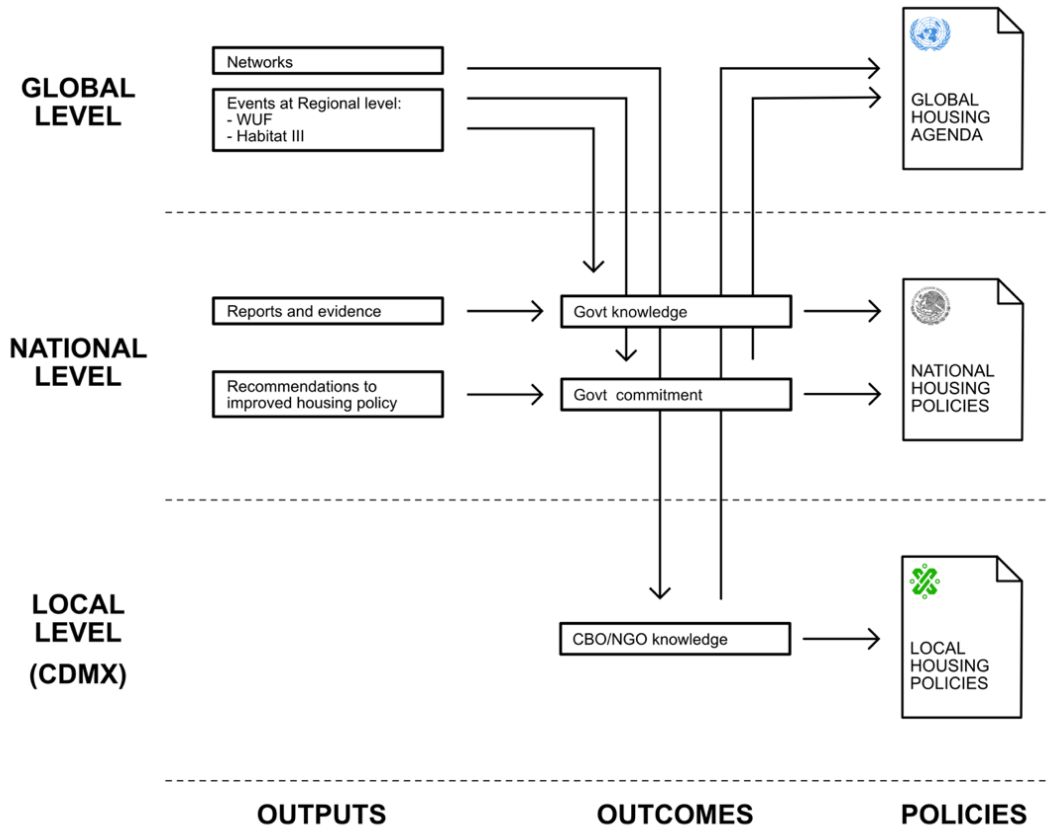
## Contribution graph

Figure 6 shows a schematic representation of the direct and indirect contributions of UN-Habitat to the housing policies improvement at national and local level, the figure also highlights the contribution of the Mexican housing sector stakeholders to the improvement of the global housing frameworks at global level.



Housing development for influx of people in Fraccionamiento Los Pericos area of Aguascalientes city, one of the most rapidly growing city in Mexico. © Shutterstock/Takamex

**Figure 7. Contribution relationship in the improvement of housing frameworks**



Source: Authors



## Contribution to poverty reduction and to the inclusion of other vulnerable groups

The UN-Habitat Mexico CO is not involved in the implementation of housing programs or projects, either for post-disaster interventions or slum upgrading. Many NGOs are active on these kinds of intervention in Mexico, especially in the context of the post-earthquake reconstruction.

The representatives of some organisations interviewed acknowledge the use of concepts and frameworks developed and promoted by UN-Habitat, in the design and implementation of operational interventions. Many NGOs and CBOs involved in slum upgrading (e.g. ECHALE), post disaster reconstruction (e.g. PNUD, HfH), or post-eviction interventions (e.g. MUP) are mobilizing the concepts, rights and frameworks supported by UN-Habitat at global level and are relying on the data and analysis develop at national level by the CO.

## Summary: Assessing the UN-Habitat Mexico Program in terms of the Comprehensive Housing Approach Framework

Based on UN-Habitat global frameworks, publications and documents, a Comprehensive Housing Approach Framework was developed. This is intended to capture the key elements of current UN-Habitat objectives and guidelines for national and global adequate housing strategies. The purpose of this framework is to provide a reference point for understanding the areas on which national UN-Habitat programs have focused and the areas that have received less attention (or have not been addressed). The framework is presented in two tables: Table 4 covers the strategic guidelines, and Intervention scope

In terms of Intervention Scope, the country program was rated as "very high" on Policy Advice, beside limited activity in this category, UN-Habitat has proved its added value and comparative advantage and has achieved significant impact.

The Housing Approach implementation has also been distinguished by an emphasis on knowledge

management activities, with the production of data and analysis on housing. These have been rated as "medium" to "high", considering the achievement of significant results in the improvement of housing policies.

Advocacy has been a very limited area of work, and rated as "very low or none", this is explained by the already significant commitment of the government and civil society on the promotion of adequate housing rights.

UN-Habitat has been provided limited technical advice support on housing in Mexico, this is explained by the low comparative advantage and value added, in a housing sector where technical capacities at federal level are great and financial resources at municipal level are limited.

The CO has not implemented or supported any operational activity, in consistency with its low acknowledged value added in this regard.

Table 5 covers the areas of intervention (intervention scope). It is fully recognized that due to resource constraints, government priorities and national contexts, no UN-Habitat program can, or even should, cover all areas. So, the analysis does not pass judgement on whether the program is focusing on the "right" combination of strategic areas, or whether the levels of activity are appropriate. This assessment will be made by UN-Habitat and other stakeholders based on the information included in the tables and in the case study report.

It is important to stress that this framework was based on the first draft of the Mexico case study, and it is likely to be revised based both on additional feedback from Mexico and on the experience of other country case studies.

## Coverage of the strategic guidelines

Table 4 shows that the Housing Approach in Mexico is rated "medium" to "high" for its relevance on most adequate housing and poverty reduction matters.

The level of activity of the CO on these strategic guidelines has been rated as "none" to "low"<sup>17</sup>, limited by choice and lack of opportunities.

Therefore, the respective impacts of the CO on adequate housing and poverty reduction is rated as “none” to “low”. The implementation of the supported new housing policies may bring, at medium term, significant changes in terms of the access to adequate housing for low-income population. This would materialize the contribution brought by UN-Habitat, at contributes to the realization of the Housing Approach objectives.

The value added and comparative advantage of UN-Habitat to engage in adequate housing issues is rated as “medium” to “high”, supported by the agency acknowledged expertise on housing and its capacity to articulate with global level concepts and frameworks. However, in a Mexican housing context where most stakeholders have great knowledge and are rather proactive on adequate housing issues, the value added of UN-Habitat is more difficult to demonstrate.

**Table 6. How actively are UN-Habitat strategic guidelines addressed in the current Habitat Mexico program?**

STRATEGIC OBJECTIVES	LEVEL OF ACTIVITY	RELEVANCE	IMPACT	COMPARATIVE ADVANTAGE	VALUE ADDED
<b>Adequate housing</b>					
Increase access to adequate housing to all	2	3	2	3	3
Increase access to adequate housing to low-income households	1	4	2	4	3
Support diversification of adequate housing solutions	1	4	1	3	2
Support diversification of government interventions in providing adequate housing	2	3	2	3	2
Support advocacy groups	1	3	1	1	2
Support self-organizing housing initiatives (by NGO or INGO))	1	3	1	1	2
Provide adequate housing to crisis affected population (conflict, disaster, migration, ...)	1	3	1	2	1
Improve living conditions in existing slums/informal settlements	1	3	1	3	2
<b>Poverty reduction and cross cutting issues</b>					
Increase housing affordability for low-income households	1	3	1	3	1
Increase housing affordability for all	1	2	1	2	1
Improve access to economic resources, affordable goods and services for low-income households	1	4	1	2	1
Improve social inclusion and integration at city-wide scale	1	4	1	2	1
Support gender or age sensitive housing strategies or programs	1	4	1	1	1
Improve access to adequate housing for female headed households	1	3	1	1	1
Improve access to adequate housing for youth	1	3	1	1	1
Support climate change sensitive housing strategies or programs	1	2	1	1	1

**Code:** 1= Very low or none; 2 = Low; 3 = Medium; 4 = high; 5 = very high

## Intervention scope

In terms of Intervention Scope, the country program was rated as “very high” on Policy Advice, beside limited activity in this category, UN-Habitat has proved its added value and comparative advantage and has achieved significant impact.

The Housing Approach implementation has also been distinguished by an emphasis on knowledge management activities, with the production of data and analysis on housing. These have been rated as “medium” to “high”, considering the achievement of significant results in the improvement of housing policies.

Advocacy has been a very limited area of work, and rated as “very low or none”, this is explained by the already significant commitment of the government and civil society on the promotion of adequate housing rights.

UN-Habitat has been provided limited technical advice support on housing in Mexico, this is explained by the low comparative advantage and value added, in a housing sector where technical capacities at federal level are great and financial resources at municipal level are limited.

The CO has not implemented or supported any operational activity, in consistency with its low acknowledged value added in this regard.

**Table 7. How actively are UN-Habitat areas of intervention scope addressed in the current Habitat Mexico program?**

INTERVENTION SCOPE	LEVEL OF ACTIVITY	RELEVANCE	IMPACT	COMPARATIVE ADVANTAGE	VALUE ADDED
<b>Advocacy at the global level:</b> Promoting the full and progressive realization of the right to adequate housing	1	2	2	2	1
<b>Knowledge at the global level:</b> Mobilizing networks of housing sector stakeholders	2	3	2	4	3
<b>Knowledge management:</b> Providing government and housing sector stakeholders with new approaches, best practices and lessons to be learned	3	3	4	3	3
<b>Policy advice:</b> Improving national normative framework	2	5	4	5	5
<b>Technical assistance:</b> Supporting city, regional and national authorities' capacities	2	4	2	2	2
<b>Implementation:</b> Supporting development and implementation of national housing strategies	1	3	1	1	1
<b>Implementation:</b> Supporting the implementation of adequate housing programs	1	1	1	1	1
<b>Implementation:</b> Supporting slum upgrading and prevention policies and strategies	1	1	1	1	1
<b>Implementation:</b> Demonstrate feasibility of strategies/programs through implementation	1	1	1	1	1
<b>Advocacy:</b> Strengthening monitoring, evaluation and learning on housing	1	1	1	1	1

**Code:** 1= Very low or none; 2 = Low; 3 = Medium; 4 = high; 5 = very high

## RECOMMENDATIONS

### Housing Policy

The Mexico Country Office should develop a comprehensive and well-articulated housing policy and program framework to guide its work on pro-poor housing.

- a. At present the country Office does not have a clearly defined housing program or policy and many activities are supply driven. This makes it difficult to monitor and evaluate the program as there are not defined criteria for assessing performance.
- b. In this respect, the purpose and status of the Housing and the SDGs in Mexico publication should be clarified as it is not clear if this is intended to present the country office housing strategy.
- c. Key documents for defining the policy should include key UN-Habitat Nairobi documents, Housing and the SDGs in Mexico (UN-Habitat Mexico 2018) with appropriate material from recent housing and poverty-related of the Government of Mexico.
- d. The policy framework should recognize (incorporate) the elements of Government policies that are consistent with UN-Habitat and should examine any areas of differences (of substance and focus).

The Country Office (supported by Nairobi) should become a strong advocate for pro-poor policies and programs

- a. Historically Mexican housing policies have not had a strong pro-poor focus and have tended instead to encourage the private sector to provide medium income housing (for families earning more than 5 minimum salaries). Within this context the Country Office has not been a strong voice for the reorientation of these policies. To be consistent with UN-Habitat global policies and priorities, the country Office should articulate and promote a more proactive pro-poor strategy and programs.

- b. The Country Office promote, and where appropriate monitor the provision of adequate housing for low-income and marginalized groups
- c. Assess the relevance of all policies and programs to the realization of adequate housing rights for all
- d. Advocate for pro-poor policies at all levels
- e. Advocate for pro-poor programs at all levels

### A greater focus on poverty and vulnerability

Historically, housing policies and programs in Mexico have not had a strong focus on the poorest and most vulnerable groups, and earlier policies focused on providing incentives to the private sector to provide affordable housing. Most of these policies did not achieve their objectives and one of the consequences has been millions of abandoned houses. The Country Office recognizes the need to have a clearer focus on affordable and adequate housing strategies, many of which will involve rehabilitation of existing units and the densification of housing in central urban areas. This is consistent with the stated goals of the recently-published government housing program for 2019-2024.

This new focus will require the collection of poverty data to assess the effectiveness of new policies in reaching poor and vulnerable groups. Much of the required data is already being collected by CONEVAL, which is recognized internationally as being on the cutting-edge of poverty research as applied to development policies. It is recommended that UN-Habitat should explore possible collaboration with CONEVAL to utilize their poverty data for assessing the accessibility of housing to low income populations. CONEVAL already uses its poverty data to assess the accessibility of housing and other public services (education, health etc.) to low-income populations.

## Data Collection and Knowledge Management

Dissemination of experiences from other regions of Mexico or from other countries.

- a. Sharing and dissemination of knowledge and operational experience is considered an area in which UN-Habitat has a comparative advantage. Many municipalities have only limited access to information on programs and strategies in other municipalities and regions and the information that UN-Habitat can provide is considered very valuable. Ways should be found to disseminate this kind of information more widely.
- b. Other important role for UN-Habitat is drawing on its international experience to help anticipate possible consequences of new policies or programs. UN-Habitat has extensive experience on, for example, the impacts of different kinds of housing interventions on land prices, the accessibility of different kinds of programs to low income populations, or the investment behaviour of households at different economic levels. UN-Habitat should exploit this important knowledge management function.
- c. Documentation on earlier housing policies and programs tends to be quite weak, further exacerbated by change of governments and staff turnover which seriously reduces historical memory. UN-Habitat should have the continuity to be maintain the historical memory and this should be a priority – even though the Mexican Office has also suffered from high staff turnover and a consequent lack of continuity and institutional memory.
- d. An important related function is the compilation and dissemination of information on innovative approaches to the design and implementation of housing policies and programs in Mexico and internationally. Resources have not always allowed the Mexican Office to maintain this kind of documentation, but this should receive a higher priority – particularly as this can be a relatively low-cost activities but with a significant value-added.

## Capacity Development

There is a large potential demand for capacity development support from the Mexico Office for several reasons:

- a. The new government is proposing significant changes in the orientation of the housing policies, so there is relatively little experience to draw on from the previous governments.
- b. Many of the staff working in the housing sector come from outside of government and have relatively little experience in the planning or management of housing programs – particularly for low-income families which is the stated priority of the new government.
- c. There is relatively little technical expertise at the municipal level for implementing housing programs.

In addition to the potential demand, UN-Habitat has relatively high credibility in Mexico, including at the municipal level. and Support the operationalization of policies at state and municipal level. Furthermore, requests for technical support have already been received from a number of municipalities.

Given the high level of potential demand at different levels, and the fact that the capacity of federal housing agencies to implement programs at the municipal level has always been limited, suggests that capacity development and technical support is an area where UN-Habitat can potentially make an important contribution.

Improve UN-Habitat global and local knowledge and expertise on innovative approaches

- a. through local initiatives
- b. through local actors and networks

Developing best practices exchanges at global level

- a. Facilitate internal access to UN-Habitat's on-going and achieved programs globally
- b. Promote exchanges on the Mexican experience
- c. Promote exchanges between Mexico and less advanced countries

The following are some of the possible modalities for providing this support:

- a. Develop operational contributions and partnerships
- b. Demonstration of pro-poor programs feasibility
- c. Support local initiatives (public or NGO)
- d. Support advocacy and learn from the ground
- e. Combine technical support with training workshops
- f. Document lessons from pilot municipal programs for replication in other regions.

### Careful assessment of the benefits and challenges of support to the Tren Maya project.

It is recommended that participation of the Mexico Office of UN-Habitat in the Tren Maya project should be carefully reviewed. While the project offers UN-Habitat the opportunity to contribute to the development of a social housing strategy into a major Government initiative, there are a number of potential risks. The project is likely to involve the forced relocation of indigenous and possibly other low-income groups, while also posing threats to environment and cultural heritage. There is extensive international experience on the negative outcomes of forced resettlement, and UN-Habitat could become involved in the protests that are likely to be organized by indigenous groups and civil society. It is also likely that UN-Habitat will have relatively little control over many of the decisions with which it may become identified in the press and other social media.

UN-Habitat should carefully assess the consistency of program objectives, design and implementation with UN-Habitat objectives on adequate housing for all, protection from eviction (especially for indigenous populations, cultural adequacy and other principles.

### Developing and strengthening Monitoring and Evaluation (M&E) Systems

There is an opportunity for UN-Habitat to contribute to strengthen the quality of the programs with which they are involved, as well as government housing policies and programs by strengthening the procedures for monitoring, evaluating and documenting these initiatives. At present M&E systems are weak or absent in many UN-Habitat programs.

Incorporating M&E into selected UN-Habitat programs

- a. UN-Habitat should consider incorporating a monitoring and possibly an evaluation into some of the programs it is supporting. A strategy of the national office is to respond to requests for technical support in a way which means that pilot programs can be used to develop protocols that can be applied more widely. This is particularly appropriate at the municipal level where UN-Habitat is supporting important initiatives in areas such as rehabilitation of abandoned houses.

Developing/strengthening M&E systems (including impact measurement) for UN-Habitat activities, especially operational programs.

Monitor the use and impact of knowledge products:

- a. Monitor the use and impact of knowledge products
- b. Monitor the creation and use of theoretical knowledge on adequate housing
- c. Monitor the use of reports and data.
- d. Monitor follow-up and use of recommendations by national, state and municipal agencies.

Incorporating M&E into support to government housing policies and programs.

- a. The government housing program for 2019-2024 was published in December 2019, and although it includes detailed guidelines for constructing baseline references for all goals, and quantitative outcome indicators, the plan does not include any direct reference to the creation of M&E systems. Given the frequent references to UN-Habitat housing strategies in the program, UN-Habitat may have the credibility to provide technical support in the development and implementation of an M&E system.
- b. An important element of the M&E system would be to identify pilot initiatives that could be assessed and documented to provide protocols for the scaling-up of successful pilots. Once the program is operational, it might also be possible to consider the possibility of modest experimental (or quasi-experimental) designs in which pilot designs are compared with conventional interventions in comparable communities.
- c. If these pilot evaluations are found to be useful to national, state and municipal agencies, the possibility could be considered of providing support the development of national M&E systems for all social housing programs.
- d. Before proposing any initiatives of the kinds discussed above, it would be necessary to coordinate with agencies such as CONEVAL, which is already conducting assessments of housing and similar social development programs to determine whether possible UN-Habitat initiatives would have a value-added and would not be duplicating existing M&E activities. The focus of current approaches of CONEVAL have been on the monitoring of the achievement of outputs defined in the original project document and most studies do assess outcomes or impacts. So these might be areas where UN-Habitat could complement, and add value to existing approaches.

Adapting elements of the present evaluation methodology into UN-Habitat's M&E systems

- a. The office should review the different elements of the methodology used in the preparation of this case study to consider whether they could be incorporated into the Office's standard M&E systems. For example, Contribution Analysis could potentially be adapted for assessing the value-added (contribution) of some UN-Habitat programs.

A focus on complexity and systems analysis

- a. A recent development in the international development field is the recognition that all programs, including housing, operate in complex systems with multiple actors – often with different objectives and methods of operation. Furthermore, the design, implementation and outcomes of programs are affected by multiple external factors such as the economic, political, socio-cultural, demographic and environmental context in which programs operate. Most evaluations do not address these factors and continue to use conventional linear models that largely ignore these important factors<sup>18</sup>.
- b. UN-Habitat, as the lead UN agency on housing and urban development research and policy should consider how to incorporate complexity and systems thinking into its research and evaluation work. Mexico, because of its high level of research capacity, could be considered as a pilot country for exploring ways to incorporate a complexity focus.

<sup>18</sup> See, for example, Bamberger, Vaessen and Raimondo (2016) Dealing with complexity in development evaluation.

## ANNEX 1. LIST OF PROGRAMS IMPLEMENTED IN MEXICO

Project Title	PAAS Code	PAG Value	Start Date	End Date
Assessment of the impact of crime on urban economic competitiveness,a pilot case in zapopan municipality	F111	300,000	01-May-12	31-Mar-20
Cities Prosperity Initiative (2013-2015) - Metropolitan Zone of Guadalajara	H153	1,200,000	25-Apr-13	31-Mar-20
Cities Prosperity Initiative (2013-2015) - Municipal of Cajeme	H157	50,000	22-Apr-14	31-Mar-20
Cities Prosperity Initiative (2013-2015) - Municipality of Zapopan	H154	800,000	01-Apr-13	31-Mar-20
City Prosperity Index of 130 Cities in Mexico	F130	1,000,000	01-Jan-15	31-Mar-20
Iberoamerican and Caribbean Forum on Best Practices	F081	1,548,015	01-Jul-09	31-Mar-20
Implementation of a Sustainable Urban Development Model in Mexico	F132	1,000,000	03-Aug-15	31-Mar-20
Implementation of the Extended City Prosperity Index in the City of Mérida, Yucatán, México.	P-17-06-16-31	120,000	01-Oct-16	31-Mar-20
Infonavit leading the 2030 Agenda in Mexico: Housing at the center of the Sustainable Development Goals	P-17-08-13-21	2,824,000	01-Aug-17	31-Dec-18
La Nueva Agenda Urbana para Querétaro. La Territorialización de la Prosperidad Urbana en Querétaro, México.	P-16-04-28-38	500,000	15-Apr-16	31-Mar-20
Monitoring Sustainable Urban Development:- The City Prosperity Initiatives	P-17-01-19-47	5,000,000	15-Jul-17	15-Jul-20
National Dialogues for Decentralization in Latin America and the Caribbean	F078	292,320	01-May-09	27-Mar-19
Partial Urban Development Programme	F070	227,687	01-Jun-08	01-Jul-09
Planning and Strategic Management of Territorial Development	F059	283,673	10-May-06	31-Dec-08
Promoting Sustainable Urban Development in Sinaloa: from subnational planning to local action	P-17-06-05-54	990,000	15-Jun-17	31-Dec-22
Strengthening the Effective and Democratic Management of Water and Sanitation to support the achievement of the MDGs in Peri-Urban Contexts of Chiapas and Veracruz	F074	757,281	01-Mar-09	31-Dec-11
Subnational and Local Urban Planning in Mexico	F131	1,000,000	01-Apr-15	31-Mar-20
support the efforts of the UN-Habitat Global Programme on Public Space	P-17-06-16-15	12,400,000	01-Jun-16	31-Dec-20
Sustainable Development Goals, in particular Goal 11 on cities, work related to indicators, tools capacity building and monitoring	P-17-01-19-8	95,000	20-Jun-16	31-Mar-20
Sustainable Development Goals, in particular Goal 11 on cities, work related to indicators, tools capacity building and monitoring	P-17-10-27-70	144,000	01-May-17	31-Jul-19
Technical Assistance for the implementation of the New Urban Agenda in Reynosa, Mexico	P-18-05-02-92	250,000	15-May-18	31-Mar-20
Technical assistance to the Municipal Government of San Nicolás de los Garza in the Consolidation of a City Vision for urban and territorial development of the municipality, aligned with the 2030 Agenda and the New Urban Agenda	P-19-12-02-75	500,000	01-Nov-19	31-Oct-21



Project Title	PAAS Code	PAG Value	Start Date	End Date
The City of Guadalajara as a Laboratory: Towards the consolidation of global best-practices for Safer Cities	P-19-10-01-87	69,608	28-Jan-19	30-Sept-22
The new urban agenda for Zapopan: Implementation of the Prosperity Index Territorialization Strategy (La Nueva Agenda Urbana para Zapopan: La implementación de la Estrategia Territorial de Prosperidad Urbana para Zapopan México)	P-16-11-09-37	600,000	01-Jan-17	31-Mar-20
Urban and territorial integrated development strategy for the southeast region in Mexico - Regional Corridor Tren Maya	P-19-05-17-87	5,500,000	01-Jun-19	20-May-23
Urban Poverty Reduction	F049	1,459,571	15-Oct-04	31-Dec-12
Urban Poverty Reduction in Mexico 2011-2013	F108	450,600	01-Sept-11	31-Mar-20
Urban Poverty Reduction in Mexico 2011-2013 SEDESOL	P-13-02-13-75	450,600	01-Sept-11	28-Aug-13

## ANNEX 2. LIST OF KEY STAKEHOLDERS INTERVIEWED

Organization		Key Informant
INSTITUTIONS	SEDATU	Martha Peña, Ministry Advisor
	SEDUVI	Luis Zamorano- Former Urban Development General Director (SEDUVI)
	CONAVI	Dr. Edna Vega
	INFONAVIT	Alejandra de la Mora, CIDS
	Tlajomulco Municipality	Andrés Ampudia Farias, director de Vivienda del Ayuntamiento Gustavo Alejandro Rivera Mendoza, Coordinador de Gestión Integral de la Ciudad de Tlajomulco
UN-HABITAT	UN-Habitat Mexico CO	Diego M. Pérez Floreán, Especialista para el desarrollo de programas y proyectos
		Eugenia De Grazia, Programme specialist
		Sergio Arredondo Ruiz, Consultor para la Implementación de la Nueva Agenda Urbana a Nivel Local
		Pierre Arnold, Consultor Urbanista
		Thomas Casanova, Analist
	Antonio Azuela, Legal advisor and expert in land management	
	UN-Habitat Regional Office	Elkin Velasquez, diretor of ROLAC
CIVIL SOCIETY	Movimiento Urbano Popular	Jaime Rello
	Habitat International Coalition	Enrique Ortiz
		Marai Silvia Emanuelli
	ECHALE	Francesco Piazzesi, director
Habitat for humanity	Luis Armenta Fraire, director	
ACADEMIA	UNAM	Maria de Lourdes Garcia Vazquez, coordinator Laboratorio de Hábitat Social, Participación y Género
		Gustavo Moreno
DEVELOPEMENT & RESEARCH	IRD	Catherine Paquette, LPED
		Bérénice Bon, UMR CESSNA
	WRI México	Gorka Zubicaray, Urban Economics Manager
		Natalia García Gerente De Regulación Y Normativa Urbana
	UNPD	Edgar Rafael Gonzalez
		Xavier Moya
		Mauricio Escalante
	Francisco García	

Organization		Key Informant
REGIONAL AND GLOBAL	ECLAC	José Luis Samaniego
		Natalia Yunis
	World Bank	Inês Magalhães, consultant

## ANNEX 3. LIST OF VISITED PLACES

Municipality	Visited places
<b>Tlajomulco de Zúñiga</b>	Chulavista Cerro El gato Villa Fontana Aqua Lomas del Mirador (Etapa 14 & 15) Arvento Silos

## ANNEX 4. LIST OF REVIEWED DOCUMENTATION

Documentation Category	Title / Subject
<b>Program Products</b>	Vivienda Y Ods
	Housing Sector Profile
	Housing Finance Mechanisms In Mexico
	Guía Metodológica Emugirde
	Extended Cpi Report - Guadalajara
	Extended Cpi Report - Mexico City
	Estado De Las Ciudades De-Mexico Cpi 2016
	Estado De Las Ciudades De-Mexico 2010-2011 - Sedesol
	Guía Metodológica Para La Estrategia Municipal De Gestión Integral De Riesgos De Desastres, 2019
	2010 Foro Iberoamericano Y Del Caribe Sobre Mejores Prácticas : 9. Programas De Mejoramiento De Vivienda En 2010 Foro Iberoamericano Y Del Caribe Sobre Mejores Prácticas : América Latina Y El Caribe
	2010 Foro Iberoamericano Y Del Caribe Sobre Mejores Prácticas : 5 Temas Selectos Del Hábitat Latinoamericano
<b>UN Office in Mexico</b>	UNDAF Mexico 2008-2012
	Cooperation Framework For Mexico (2002-2005)
	PNUD Programa Para México (2014-2018)
	PNUD - CPAP Mexico 2008-12
	México UNDAF 2014-2019
	Follow-Up To Country Recommendations: Afghanistan, Mexico, Peru And Romania - 2009 - A/Hrc/10/7/Add.2
<b>Housing Policies</b>	2014 Sedatu Programa Nacional De Vivienda 2014-2018
	Programas Nacionales De Desarrollo Urbano Y De Vivienda 2013-2018 Gobierno De La República
	Adaptation To Cc Strategy To 2030
	Ley General De Asentamientos Humanos, Ordenamiento Territorial Y Desarrollo Urbano 2016
	Ley Vivienda 2006
	Pmu Sedatu 2019 Programa De Mejoramiento Urbano
	Pnr Conavi 2019 Programa De Mejoramiento Urbano
	Políticas Nacionales De Desarrollo Urbano Y Habitacional De 2001- 2006
	Progama De Vivienda Social 2019
	Programa Nacional De Desarrollo Urbano 2014-2018
	Programa Nacional De Vivienda 2014-2018 - Logors 2016
	Programa Nacional De Vivienda 2014-2018
	Programa Nacional De Vivienda 2019-2024
	Programa-De-Vivienda-Incluyente-De-La-Cdmx - 2019

Documentation Category	Title / Subject
	Ley Const Derechos Humanos Cdmx - 2019
	Cdmx Programa Especial De Regeneración Urbana Y Vivienda Incluyente 2019-2024
	Constitucion Politica Cdmx
<b>Habitat III</b>	Toluca-Declaration
	Mexico-National-Report-Spanish
	Mexico-National-Report
	Habitat-ii-Nr-1996-Mexico
	Habitatiii-Regional-Report-Lac
<b>Context</b>	Wef Making Affordable Housing A Reality In Cities Report
	Urban Slums Reports- The Case Of Mexico City, Mexico 2003
	Poverty And Urban Inequality- The Case Of Mexico City Metropolitan Region - 2016
	Política Vivienda Mexico Actividad Habitacional Zona Metropolitana - 2016
	Idb - Housing Finance Mechanisms In Mexico
	Ocde - Mexico Transforming Urban Policy And Housing Finance
	Coneval - Medicion De La Pobreza - 2008-2018
	Mapas De Pobreza En Los Estados Unidos Mexicanos, 2008-2018 - 2019
	Fonhapo - Sedesol - Gea- Diagnostico Vivienda 2009
	Coneval - Estudio Diag Vivienda 2018
	Diagnóstico Del Programa De Apoyo A La Vivienda Del Fonhapo - 2017
<b>Research Papers</b>	The Housing Transition In Mexico - 2011
	Habitabilidad Y Política De Vivienda En México-2015
	Les Ensembles De Logement Géants De Mexico. 2008
	El Acceso A La Vivienda Adecuada En México Y Los Planteamientos De La Nueva Agenda Urbana- 2018
	Construcción Y Acceso A La Vivienda En México; 2000-2012
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