



**THE FIRST ASSESSMENT OF THE HABITAT COUNTRY
PROGRAMME DOCUMENTS (HCPDs)**

Consultant's Report
2010

ACRONYMS

CPR	Committee of Permanent Representatives
CPD	Country Programme Documents
CTA	Chief Technical Advisor
DED	Deputy Executive Director
EA	Expected Accomplishment
ED	Executive Director
ENOF	Enhanced Normative and Operational Framework
ERSO	Experimental Reimbursable Seeding Operations
FAs	Focus Areas MTSIP
GC	Governing Council
GLTN	Global Land Tool Network
GUO	Global Urban Observatory
HCPD	Habitat Country Programme Document
HPM	Habitat Programme Manager
HSFD	Human Settlements Finance Division
IASC	Inter Agency Standing Committee
ICTS	Information Communication Technical Services
MDG	Millennium Development Goals
M&E	Monitoring and Evaluation
MRD	Monitoring and Research Division
MTSIP	Medium-Term Strategic and Institutional Plan
OIOS	Office of Internal Oversight Services
PMO	Programme Management Officer
PSD	Programme Support Division
PRC	Programme Review Committee
RBM	Results Based Management
RMU	Resource Mobilisation Unit
ROAAS	Regional Office for Africa and the Arab States
ROAP	Regional Office of Asia and the Pacific
ROLAC	Regional Office for Latin America and the Caribbean
RTCD	Regional and Technical Cooperation Division
SC	Steering Committee
SUF	Slum Upgrading Facility
TCBB	Training Capacity Building Branch
UEPB	Urban Environmental Planning Branch
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNICEF	United Nations Children's Fund
UPMG	Urban Planning, Management and Governance
USD	United States Dollars
WUC	World Urban Campaign
WUF	World Urban Forum
W&S	Water & Sanitation
WSTF	Water & Sanitation Trust Fund

Executive Summary	i
1. Background and Purpose	1
2. Scope and Methodology	1
3. Quality of the present HCPDs	2
3.1 Observations and conclusions:	2
3.2 Recommendations:	3
4. Level of awareness, visibility and general policy impact of HCPDs	4
4.1 Observations and Conclusions	4
4.2 Recommendations	5
5. Combining the normative and operational roles of UN-Habitat	6
5.1 Observations and conclusions	6
5.2 Recommendations	9
6. Alignment with UNDAF/One UN processes	10
6.1 Observations and conclusions	10
6.2 Recommendations	11
7. The role of HPMs	12
7.1 Observations and Conclusions	12
7.2 Recommendations	13
8. Proposals for a new Template	15
PROPOSAL FOR NEW TEMPLATE:	i
UN-Habitat's proposed Strategy for the Sector	iii
The Process of preparing the second version of HCPDs	iv

Executive Summary

Background and Scope

The first objective of the Action Plan 2008-2013 under UN-Habitat's Medium Term Strategic and Institutional Plan (MTSIP) calls for "an enhanced normative and operational framework (ENOF) to enable UN-Habitat to play a leadership and catalytic role in promoting sustainable urbanization in at least 30 countries by 2013". In that line, the Action Plan identifies several "quick wins" as priority action areas, the second one being Habitat Country Programme Documents (HCPDs), which should promote, *inter alia*, "alignment of normative and operational activities at country level".

HCPDs have been prepared in 33 countries, and most of them are available in published form. Having started with a focus on operational activities, the HCPDs shall in future present the totality of UN-Habitat in-country activities, in accordance with its role as key vehicles to demonstrate the validity of ENOF at country levels.

With this background, the present report has been prepared to evaluate the experiences with and lessons learned from the first round of HCPDs, so as to establish an informed and substantive base for the agency when considering and taking decisions on a second phase. Based on these lessons learned, the report presents a number of conclusions on different aspects of the present versions of HCPDs, their quality in terms of substance, visibility and policy impact, their content with regard to normative and operational issues, the role of Habitat Programme Managers (HPMs) and their alignment with the UNDAF process. The report also presents a number of recommendations on these aspects, as well as on the matters of process when embarking on preparing the next round of HCPDs. Finally, the report suggests a modified template to assist in that preparation.

The report is mainly based on (a) a review of 33 existing HCPDs, interviews with selected staff members of different UN-Habitat divisions, responses to a detailed questionnaire from 17 HPMs, and missions to four countries, as selected by RTCD (Burkina Faso, Lebanon, Sri Lanka and Tanzania).

Well prepared HCPDs have a number of benefits for UN-Habitat, including

- a coherent review and strategy of human settlements activities at the level of client countries;
- a useful tool for strategy identification, planning, coordination and monitoring;
- involvement and ownership of government and other partners;
- country-level links to focus areas under the MTSIP;
- links with national development plans, UNDAF/One UN strategies, and Common Humanitarian Action Plans (CHAP);
- enhanced visibility of UN-Habitat in-country activities and a basis for advocacy work.

Findings, Conclusions and Recommendations

a. Quality of the documents

The overall quality of most HCPDs can be considered adequate, being first-time efforts to generate a concise document on country-specific UN-Habitat policy aspects, current in-country activities and programme strategy. Adequate in the sense that for the first time in the agency's institutional life, published documents have been made available on UN-Habitat's strategy for most of its client countries. However, a good number of HCPDs have shortcomings, which need to be addressed when preparing for the second phase. Many documents interpret the requirements for focus areas, policy context, strategy and priorities very differently, so that there are inconsistencies between the chapters or between issues, which have been overlooked or omitted.

It is recommended, when embarking on the second phase, to address these shortcomings effectively with the help of a modified and detailed template, and references to documents which were not yet available in the first round, like policy papers under the MTSIP, as well as a better coordination mechanism through a ENOF Task Force.

b. Raising the Visibility and Relevance of HCPDs in participating countries

In a number of countries, HCPDs are considered useful tools in raising the general awareness regarding the role of human settlements issues for national development, at the level of Government, the UN system operating in countries, and donor representatives. In several countries (e.g. Lebanon, Malawi, Namibia, Palestine, Sri Lanka, the first round of HCPDs had significant impact (apart from general awareness raising) on policy changes/policy reforms in the human settlements sector, setting of priorities for urban development, or on common country assessments in the context of UNDAF/One UN processes. A number of key policy documents under the MTSIP Action Plan (like policy papers on the 5 focus areas) were only made available by HQ after the first round of HCPDs was published and disseminated in their countries. To some extent, the limitations of HCPD relevance to the setting of national priorities result from the late arrival of HCPDs on the development scene of countries, when country development agendas and UNDAF/One UN mechanisms had already been largely formulated.

Limitations of visibility and relevance are also the result of not well coordinated and integrated processes in preparing the documents, both at the level of HQ and the participation of global programmes, and at the country level where full consultations with government, partners and the UN system were an exception rather than the rule. In several cases, global programmes of HQ continue to operate their in-country activities parallel to the HCPDs. Further, the lack of resources allocated from HQ, the UN system and donors to the implementation of HCPDs and their country strategies, further reduces the impact and relevance of otherwise well structured and comprehensive documents.

It is recommended, therefore, to significantly strengthen the process of preparing the substantive content of the second phase HCPDs, now that significant policy papers and documents on the state of cities in the regions are available, and global programmes are expected to contribute to this process. Strengthening the process also requires a well managed coordination mechanism at the level of HQ, with focal points from every division and regional office, to ensure the inclusion of normative activities of relevance to comprehensive and integrated country strategies.

c. HCPDs are key for the integration of UN-Habitat's normative and operational roles at country levels

Aligning the normative and operational capacities of UN-Habitat is a main rationale underlying the agency's MTSIP Action Plan 2008-2013. The first round HCPDs are fairly successful in establishing and demonstrating desired linkages between normative and operational activities at country levels. Previously, operational projects were identified and managed largely separate from UN-Habitat's normative work, and only loosely connected to the themes of the Habitat Agenda.

It is expected that, with the help of newly available policy papers on focus areas and other normative documents like the Guidelines for Decentralisation and Access to Basic Services, the second phase HCPDs are expected to have a significant potential to act as vehicles for integrating normative and operational activities, and for demonstrating their complementarities.

Largely because of their short period of existence, HCPDs only in a few countries have been instrumental or directly contributed to the identification and initiation of new operational projects (like in Lebanon, Palestine, Sri Lanka or Vietnam). Normative work through global programmes, information, data collection and capacity building activities find references in many HCPDs, but project activities are largely the results of direct HQ intervention. Generally speaking, HCPDs provide a good framework and rationale for the integration of normative and operational work, but still have to demonstrate their potential for mobilising actual projects which are funded by the UN system or bilateral donors.

In several countries (like Lebanon, Burkina Faso, or Sri Lanka), normative policy statements in HCPDs on matters of housing policy, decentralisation, slum upgrading, urban management or urban environment (incl. water and sanitation), have found entry into national policies on human settlements, often with reference to UN-Habitat's global mandate and leadership. It is expected that the next phase HCPDs will have such desired normative impact in a larger number of countries.

It is recommended that the new policy papers on the focus areas, as well as other normative documents (like the Guidelines on Decentralisation and Access to Basic Services, or the new strategy on climate change) should be the main policy reference when preparing the second phase HCPDs. In doing so, a country-specific balance needs to be found through broad country consultations, so that HCPD qualities of "country ownership" are not compromised. In doing so, special attention needs to be paid to new and emerging human settlements priorities, like impact of climate change on urban development, and reconstruction/recovery in post disaster/post conflict conditions. It is likely that these topics will constitute important development priorities for a number of countries, and have the potential for significant (bilateral) donor funding, as is already the case with post conflict/disaster situations.

It is further recommended that cross-cutting issues like gender mainstreaming, youth activities or attention to vulnerable groups are given more attention in the second phase HCPDs, as well as the need for partnerships with civil society and the private sector in support of the catalytic role of UN-Habitat country interventions. HCPD country strategies should make references to the specific tools available to UN-Habitat which represent the agency's competence.

There is considerable scope for closer linkages between operational and normative work when reviewing lessons learned from (operational) projects at country and regional level. The next phase HCPDs should include references to such UN-Habitat experience and lessons learned. Similarly, the preparation of regional and global reports on human settlements and the state of cities would also benefit from lessons learned in operational country projects.

d. HCPDs align with UNDAF/One UN processes

Coordinated by the UN Country Representative, UN agencies seek to make contributions to the Common Country Assessments (CCA) and the preparation of the United Nations Development Assistance Framework (UNDAF), or One UN process. In many countries, the present HCPDs are having a gradual and positive impact on the UNDAF process, leading to the gaining of recognition of UN-Habitat as a competent agency, in terms of having the potential to make useful contributions to the overall UNDAF themes like “poverty reduction and employment generation”, “access to basic services for all”, or “governance and democracy”.

Matters of human settlements like urban development or shelter are not directly identified as UNDAF country priorities, and are unlikely to be in future. When preparing for the next phase HCPDs, therefore, there is a major challenge to define country strategies for human settlements in a way that they are understood to contribute directly to the achievement of overall UNDAF priorities and expected outcomes. Although most UNDAF cycles had already started (2005-2010) when the HCPD planning period came into life (2008-2009), UN-Habitat was included as contributing to a number of specific expected outcomes when UNDAF documents were revised (e.g. Burkina Faso, Lebanon, Palestine, Sri Lanka, Vietnam).

In these countries, UN-Habitat and its HPMs are fully recognized by the UN Country Teams (UNCT) and regularly participate in UNCT meetings. In other countries, HPMs only participate when invited to make contributions to a specific agenda item, or do not participate at all, on account of UN-Habitat being considered a “non-resident agency”.

It is recommended that the next version of HCPDs make special reference to relevant UNDAF country themes and expected outcomes when elaborating on the country elements of UN-Habitat focus areas, and when defining human settlements strategies in the context of overall country priorities. HCPDs are expected to be rolling two-year programmes with operational budget allocations which, therefore, cannot be aligned completely with UNDAF 5 year planning cycles. Nevertheless, HCPDs should recognize the UNDAF cycles, and adjust more visibly to the overall UN country coordination not only in terms of country priorities but also in timing, considering that UNDAF programmes are usually revised and updated half way through their cycles.

e. HPMs have a key role for HCPDs

When preparing the next phase of HCPDs and, more so when coordinating their implementation at national level, the fundamental role of HPMs is unlikely to be reduced in terms of volume of work and scope of tasks. The work of representing UN-Habitat at country level extends beyond the specific project assignments of CTAs. The full scope of work includes functions of advocacy, public relations, coordination of ongoing projects, liaison with and policy advice to Government agencies and partners in civil society, participating in UN coordination bodies, joint programming and fund mobilization, and organization of events like World Habitat Day. It is evident that, in performing those functions in connection with coordinating the implementation of HCPDs, HPMs require

targeted and continuous HQ and regional office support in terms of policy and technical advisory services, backstopping of normative and operational activities, administrative assistance of PMOs and increased budget allocations.

However, in a number of countries, the work of HPMs is likely to remain limited in scope of work, operational and normative portfolio, overall impact on human settlements issues and UN system priorities. In these “low level intensity” countries (in Africa, Arab States, Asia and Pacific, as well as in Latin America), UN-Habitat presence can currently be characterized by (a) small or very small operational portfolios, (b) absence of global programmes, (c) low level of advocacy work and public relations, (d) exclusion of HPMs (and UN-Habitat) from UNCT and other UN coordinating and consultative bodies at country level, and (e) low Government priority for human settlements issues like urban development and shelter. In such situations, thorough assessments should be carried out by HQ and regional offices on the actual potential of HPMs (and their countries) to manage full fledged HCPDs.

It is recommended, therefore, to increase the level of substantive, administrative and budgetary support to preparing and implementing the next phase HCPDs, particularly in those countries in which HCPDs manage a wide scope of activities. The possibility of setting up a “two track HCPD system” might be considered. One track for countries characterized above, and in which UN-Habitat’s stated objectives of integrating normative and operational activities has (still) a limited impact and where project portfolios are small. Another track for countries with full-fledged portfolios, with a wide scope of country activities, and where HPMs fully participate in UN system coordination. Countries belonging to this track would include Burkina Faso, Mozambique, Lebanon, Sri Lanka and Vietnam.

f. UN-Habitat wide process for second phase HCPDs

As stated in the MTSIP Action plan for 2008 – 2013, the HCPDs shall become essential elements of implementing the Enhanced Normative and Operational Framework (ENOF). There is need, therefore, to set up a broad and inclusive process of preparing the second phase HCPDs which should involve (a) an interdivisional task force with focal points, including the regional offices, (b) the country HPMs, and (c) consultations with partners in Government and civil society of participating countries.

Several steps would be required from the time of embarking on the preparation process until its completion. These steps could be summarized as (a) preparing a first draft by HPMs under the supervision of RTCD and regional offices and in consultation with partners in Government and civil society, (b) review of the first draft by the ENOF task force to ensure desired inputs on policy, country strategy, project portfolio and budget issues, c) final review with partners at country levels, and (d) official launching and publication.

1. Background and Purpose

There are three distinctive events in the recent institutional life of the United Nations Human Settlements Programme (UN-Habitat) which determine the position and role of Habitat Country Programme Documents (HCPDs) in outlining and guiding in-country programmes, as well as promote efforts to integrate the organization's normative and operational work:

1. In October 2002, through a memorandum of understanding, UN-Habitat and UNDP made a commitment to establish Habitat Manager positions (HPM) in selected developing countries, for the purpose of promoting the implementation of the UN-Habitat mandate and of strengthening inter-agency coordination at country level. The first Habitat Programme Manager positions were established in 2003, after which the initiative grew rapidly to cover a total of 38 countries, 21 of which are located in Africa, 4 in Arab States, 7 in Asia and Pacific states, and 6 in Latin America and the Caribbean.
2. Following interdivisional consultations during the work programme period 2006-2007, and a subsequent review by the Committee of Permanent Representatives, decisions were taken to improve coordination of all UN-Habitat activities at country levels and prepare strategic country plans. HPMs were assigned a key role in preparing country plans in form of Habitat Country Programme Documents (HCPDs), in close consultation with Government development on national priorities, and align them with UN system-wide aid coordination processes such as common country assessments (CCA) and UNDAF. The overall purpose of the resulting HCPDs was to identify UN-Habitat focus areas and entry points for in-country activities, strengthen relationships with governments and donors, and assist in fund mobilization in line with country development strategies.
3. The Action Plan 2008-2013 of UN-Habitat's Strategic and Institutional Medium Term Plan (MTIP) identifies as its objective no.1 "to prepare and implement an enhanced normative and operational framework (ENOF) to enable UN-Habitat to play a leadership and catalytic role in promoting sustainable urbanization in at least 30 countries by 2013". The Action Plan considers Habitat Country Programme Documents (HCPDs) to be "strategic documents" in that process, with the expected benefits of "kick-starting ENOF at country level and improve working relations with UNCTs, UNDP and other resident agencies and partners".

Being in existence for two years (work programme 2008 – 2009) in most participating countries, it was considered appropriate to evaluate the experiences of preparing and operating HCPDs in accordance with stated expectations, in order to establish an informed and substantive basis for considering and deciding on their future course.

2. Scope and Methodology

During the course of 2006, and before the decision was taken to prepare country strategy documents in the form of HCPDs, an independent evaluation of the performance and impact of Habitat Programme Managers (HPMs) was carried out. In its conclusion, that report noted that the Habitat Programme Manager initiative had already made a positive impact on reducing the "structural disadvantage inherent in the previous lack of UN-Habitat in-country representation". The evaluation further concluded that, as a result of the generally effective performance of HPMs,

the human settlements development issues had already “acquired greater visibility and more adequate reflection in national and multilateral agendas”.

Different but complementary to and building up on the previous one, the present external evaluation study focuses on assessing the experience of preparing and implementing the Habitat Country Programme Documents. This assessment covers the wide range of issues and functions, which are accorded to and expected from the documents, in line with their strategic role as stated in the MTSIP. The range of issues extends to document preparation, including consultations within the UN system at country level, with governments and partners, advocacy, monitoring and data collection, dissemination and publicity, aligning with UNDAF and related processes, guiding the coordination of normative and operational activities among the divisions of UN-Habitat, and assisting in fund-raising with donors, apart from documenting the country-specific human settlements issues with respect to the UN-Habitat focus areas.

In order to gather and analyse pertinent information on HCPDs from different perspectives, and in order to capture the above issues, the consultancy employed the following methodology:

- a. review substantive documentation and background information on MTSIP and its operational plan 2008-2013, HPM evaluation and other in-house documents;
- b. review of pertinent UN documents on donor coordination and international cooperation, like UNDAF documents and the Paris Declaration on Aid Effectiveness;
- c. review of 33 published and non-published Habitat Country Programme Documents (HCPDs);
- d. preparation of a detailed questionnaire for HPMs, covering the process of preparing HCPDs and their use in accordance with expectations;
- e. analysis of 18 in-depth responses to the questionnaire from HPMs on their experiences as main users of HCPDs (responses received and used for this report came from Burkina Faso, Cambodia, Eritrea, Ghana, Lebanon, Lesotho, Liberia, Malawi, Mexico, Namibia, Nepal, Pacific Countries, Palestine Territories, South Africa, Sri Lanka, Uganda, Vietnam, Zimbabwe);
- f. missions to 4 countries, as selected by RTCD (Burkina Faso, Lebanon, Sri Lanka, Tanzania), to assess the usefulness of HCPDs and the role of HPMs, including in-country consultations with Government representatives and NGOs, as well as with UN coordinators and UNDP country directors;
- g. consultations with UN-Habitat’s Regional Offices ROAAS and ROAP;
- h. in-house interviews with the Deputy Executive Director, as well as with senior staff members in PSD, Global Division, Monitoring and Research Division, and Human Settlements Finance Division

3. Quality of the present HCPDs

3.1 Observations and conclusions:

Given the broad and wide range of functions accorded to the HCPDs within the framework of in-country activities, in-house coordination and the MTSIP Action Plan, the type of responses to expectations directed to the documents varies considerably.

Overall, the quality of the first round of most HCPDs is adequate, if assessed from the expectation of generating concise documents which summarize the national urban policy context, outline the country specific issues of the UN-Habitat focus areas, identify human settlements priorities, and list ongoing activities and potential for future cooperation, considering they are first-time documents. Having said that, it should be noted that a number of HCPDs have shortcomings which should be addressed in their second version:

- a. Requirements for a narrative on the national urban policy context are sometimes understood as presentation of some basic data on urban development, leaving out an assessment of main urban development problems (e.g. Ecuador, Malawi, Namibia, Nigeria, Senegal, Chad);
- b. Similar observations are made on the presentation of focus areas in a number of documents. In particular, focus area 1 on advocacy, monitoring and partnership is not always well understood, most HCPDs limit their narratives to raising issues of vulnerability and capacity building (e.g. Cap Verde, Colombia, Ghana, Malawi, Namibia, Nepal, Liberia, Nigeria, Philippines, Pakistan, Rwanda, Rwanda, Senegal, Chad, Vietnam); focus area 5 on human settlements finance gets often only a cursory treatment, with little information on the housing finance sector, or is omitted altogether (e.g. Ghana, Liberia, Malawi, Mozambique, Nepal, Pakistan, Rwanda, Chad, Vietnam);
- c. UN-Habitat's proposed strategy for the sector is not always consistent with paragraphs on programme objectives and urban sector priorities or with the programme components of tables (e.g. Cap Verde, Chad, DR Congo, Ghana, Madagascar, Mozambique, Nigeria, Philippines, Senegal, Uganda, Zambia);
- d. Documents make no reference to UNDAF priorities and expected outcomes (e.g. Cape Verde, DR Congo; Chad, Costa Rica, Burundi, Ecuador, Madagascar, Philippines, Uganda);
- e. Statements on implementation arrangements differ in focus and level of detail; only some of the HCPDs have a paragraph on gender and/or gender mainstreaming;
- f. Listing of UN-Habitat assisted projects under "Programme framework" is not always consistent with statements on sector priorities; their presentation varies considerably in terms of level of detail and funding requirements.

3.2 Recommendations:

With the help of a new template for preparation of draft HCPDs (second phase), some of the observed shortcomings in the first draft should be addressed by HPMs and backstopping Regional Offices, in consultation with global programme managers and HCPD divisional focal points at HQ level. However, a certain level of diverse treatment of issues and paragraphs should be maintained and encouraged to allow for diversity of the documents in line with varying country strategies, their scope and overall focus. Otherwise, HCPDs may turn out to be too prescriptive and in danger of losing originality in emphasis, specific country profile and, eventually, risk losing Government/country ownership.

In order to address this tendency, which has been observed by several HPMs, intensive consultations will be needed at country level, during the drafting process as well when endorsing/approving the document by the respective country authorities. In a number of countries, these processes of consultations with partners in Government and civil society would benefit from

being less “prescriptive” (term used by several HPMs) and more participatory. For larger programmes, a national workshop with all stakeholders should be considered during the consultation phase.

The next generations of documents need to make specific references to major documents and publications of UN-Habitat which were not yet available when preparing present versions, notably:

- a. the policy papers should be the basis of giving direction to the narratives of focus areas, as they represent the normative thrust of UN Habitat’s strategy under the MTSIP;
- b. The International Guidelines on Decentralisation and Access to Basic Services for All outline UN-Habitat’s strategy of working with local authorities as a major group of partners in implementing the Habitat Agenda; they serve as a catalyst for policy and institutional reform at the national level to further enable and empower local authorities to improve urban governance in attaining the human settlements related Millennium Development Goals;
- c. The regional reports on the State of Cities (Africa, Asia, Latin America) provide relevant information on major urban challenges, which need to be addressed by the next round of HCPDs.

4. Level of awareness, visibility and general policy impact of HCPDs

4.1 Observations and Conclusions

Generally speaking, the consultative process of preparing HCPDs and their application in guiding in-country activities have been of considerable help in raising the level of awareness regarding the importance of human settlements issues, both viz. Government and partners, as well as within the UN system country presence. Most HPMs report of increased level of attention to the competence of UN-Habitat in handling matters related to shelter and urban development, and in addressing national priorities of poverty reduction, access to basic services, governance and decentralization. HCPDs have generally been useful in strengthening the catalytic role of UN-Habitat in most countries, albeit to varying degrees.

In several countries, the HCPDs are increasingly used for networking activities with Government agencies, and as approved policy reference for new government initiatives in the fields of shelter, slum upgrading, urban strategies and capacity building at local government levels. It has influenced urban policy reforms in some cases and was helpful in assuring donors of UN-Habitat’s competence in reconstruction activities (inter alia in Lebanon, occupied Palestinian Territories and Sri Lanka). In one country, all focus areas and UN-Habitat programme objectives are “fully integrated” and “well-structured” into the national development plan, UNDAF outcomes and the One UN Plan, as reported by the country’s HPM (Vietnam). UN-Habitat’s programme objectives under the focus areas and its competence are also very well included and referenced in the national development plans and UNDAF outcomes of Burkina Faso, Lebanon, Mozambique and Sri Lanka. The current HCPDs in these countries have helped in that process.

However, in a number of other countries, the HCPDs had only limited real impact (apart from general awareness raising) on policy changes/policy reforms and the process of setting up national priorities, as well as on the UNDAF process. It should be kept in mind that the UNDAF period

was already well underway in most countries (2005-2010) when the HCPDs were launched and the documents disseminated. In several countries, HCPDs were not considered by UNCTs for inclusion/reference in the UNDAF process, as UN-Habitat did not allocate financial contributions to its efforts to bring the significance of shelter and urban development issues to the attention of UN partners. This position has also been taken by Government bodies in charge of drafting and coordinating national development plans.

With a critical view, and as reported by a number of HPMs, the quality of the first round of HCPDs is not quite up to a high standard, as inputs from a number of stakeholders were lacking during the consultative and formulation stage. Particularly, the involvement of local authorities and their national associations, although major partners in all strategies, get only little or no mention in the focus areas and in the chapter on UN-Habitat's strategy for the sector. Several HPMs observed that lack of funds did not allow for wider and more focussed consultation, a broad-based launching of the document at country level, and a corresponding start of a pilot project to demonstrate the agency's competence to partners in Government and the UN system.

As one HPM observed: "(The HCPD) has the potential to be a useful document, but without seed money to kickstart implementation, it is hard to see how our partners can take the HCPD seriously. All UN Agencies with country programme documents (CPDs) have core resources and are able to attract resources to fill funding gaps. This is not the case with UN-Habitat". Similar statements are made by most HPMs. An allocation of core resources would directly enhance the potential of HCPDs to assist UN-Habitat in living up to its desired catalytic role for advocacy and networking with different development stakeholders, for the purpose of mobilizing resources.

The lack of core resources allocated by UN-Habitat HQ to the HPMs seriously impedes the impact of HCPDs (and of the otherwise good or excellent work of HPMs) to

- (a) raise the level of awareness on the relevance of the human settlements focus areas in addressing national priorities of poverty reduction, growth with equity, governance, access to basic services, gender, respect for democratic principles and human right, and the like, among UN country teams;
- (b) establish stronger partnerships with donor agencies in those countries whose government partners expect corresponding funding contributions from a UN agency when offering policy or technical advice;
- (c) raise funds from potential donor countries on project proposals addressing human settlements issues, if the competence of UN-Habitat is not recognized by partners in the UNCT, and if project proposals are not supported by brief feasibility studies. It should be noted here also that, following the Paris Declaration on Aid Effectiveness, donors have become reluctant in a number of countries to dialogue directly with UN agencies, particularly if they are not visible in the UNDAF process;
- (d) carry out serious advocacy work on normative issues (e.g. national workshop, TV documentary, feature article);

4.2 Recommendations

It should be recognized here that these deficiencies and limitations in the awareness and impact of HCPDs are only partly related to the quality of the documents. Even with "excellent" HCPDs in

terms of presenting the issues, identifying priorities and matters of layout and graphics, the documents will not be able to significantly change this situation, unless a corresponding package of increased financial and backstopping support to HPMs is being considered.

Special events like World Habitat Days or national workshops on issues of shelter and urban development are useful tools to raise awareness and build advocacy, but may need to have a stronger focus on specific country priorities in order to mobilize better the attention of government and partners. UN-Habitat country websites, in existence in some countries, should be set up in all countries with reference to and as complementary to HCPDs in the second round. The Information Division should look into the possibility of placing feature articles on topical issues in local newspapers of countries, outlining the competence of UN-Habitat in addressing national goals of poverty reduction and governance through such initiatives like slum improvements through assisted self-help, land policy reforms, urban planning and urban strategies, reconstruction and recovery, or measures against the effects of climate change in urban areas.

The process of consultation and drafting of the new round of HCPDs should be significantly strengthened, when policy papers on the focus areas become available. Abstracts of policy papers should be referenced in the HCPDs, so as to outline and illustrate the meaning of the medium term goal of enhanced normative and operational framework at country level.

More and more specific involvement should be directed to local authorities and their national associations, being major partners for the world urban campaign, for dialogue on decentralisation and local self-governance, for advocacy work, as well as for most operational strategies and programmes. Similar comments are valid for the need to pay more attention to matters of partnerships with organizations of the civil society, as well as the involvement of the private sector, so as to enhance the potential HCPDs in outlining catalytic strategies for more impact of human settlements interventions and going to scale.

In presenting the UN-Habitat policy and specific competence through the chapters on focus areas, special attention needs to be accorded to matters of gender, gender mainstreaming, support to youth groups and other vulnerable groups. Particularly, questions of women empowerment through access to land and housing finance, as well as increased women representation in matters of governance, should find specific reference in the new HCPDs in proposals for UN-Habitat strategies. As these issues are sometimes referred to as “cross-cutting”, it is recommended that each focus area addresses them, both in the part taken from the new policy papers, as well as in outlining the UN-Habitat’s specific country strategy for the focus area in question. Further, the chapter on “institutional arrangements” equally would benefit from a paragraph on gender mainstreaming and attention to youth and other groups.

5. Combining the normative and operational roles of UN-Habitat

5.1 Observations and conclusions

Implementing the global and normative mandate of UN-Habitat is a main rationale for the organization’s Action Plan 2008-2013 of the Medium Term Strategic and Institutional Plan. The first round HCPDs are reasonably successful in establishing and demonstrating desired linkages between normative and operational activities at the country level. The significance of these linkages

becomes evident, if compared with previous conditions of operational country projects, which were identified and implemented largely separate from UN-Habitat's normative work, and only loosely connected at the general policy level through the themes of the Habitat Agenda.

The normative work of the organization at country level, as well as the operational projects now benefits from having developed a set of different instruments and tools, most of them emanating from UN-Habitat's collective experience during the past years, such as global campaigns and global programmes, advocacy and information activities, policy advice, expert group meetings and technical publications, urban observatories, capacity building activities, urban profiling, as well as biennial flagship reports on the state of cities and the comprehensive and authoritative Global Report on Human Settlements. Most HCPDs make reference to these tools in their narratives on the focus areas.

Most recently, policy papers on the MTSIP focus areas summarize the substantive issues under the normative mandate, while providing the rationale and policy direction for the operational activities. Although the topics of these focus areas were already available at the start of initiating HCPDs, the consultative and drafting process of their present first version did not yet benefit from having the final version of policy papers at their disposal. Despite these shortcomings, most of the current HCPDs include references to the global policy issues under the different focus areas. However, this is less evident in several HCPDs with regard to focus area 1 (advocacy, monitoring and partnerships) and focus area 5 (strengthened human settlements finance systems) which in these cases were not well understood or missed out altogether (see above list of countries).

While most HCPDs made an effort to address each focus area, they found the issues under focus area 2 (participatory urban planning, management and governance), as well as focus area 3 (pro-poor land and housing, and (to some extent) focus area 4 (environmentally sound basic infrastructure and services) to be of main relevance to the priorities of national development plans, and to UNDAF themes. Global programmes on urban development strategies and urban governance, on housing and land policy, and on urban slum improvements appear to have the greatest potential for pursuing the normative mandate of the organization at country level.

Similarly, current HCPDs are perceived to have the most useful impact on joint programming for new operational projects with funding from either UNDP, one UN Funds or other sources like Peace Building Funds, if these new projects are connected to the priorities under focus areas 2, 3 and 4. In some countries, issues under focus area 1 (advocacy, monitoring and partnerships) are also mentioned as having good potential for mobilizing the commitment of government and its partners, as are issues under focus area 5 (financing human settlements).

However, the case of HCPDs having been directly instrumental for initiating new projects cannot yet be made in most countries, mainly because new project formulations were already underway when HCPDs were disseminated, so that the connection to UN-Habitat's normative issues in the HCPDs was rather established retroactively. Nevertheless, it is to be expected that the new version of HCPDs, if prepared as a participatory and consultative process with Government and its partners, as well as with the UNDAF/UN Delivering as One process, will have a more significant impact on setting up the substance, policy direction and modalities of new projects. As mentioned also elsewhere, the potential of the new HCPDs becoming more effective "vehicles" for setting up a

project portfolio also depends significantly on UN-Habitat's ability to allocate funds to countries and their HPMs for consultation, feasibility studies, short local consultancies and joint programming. As some HPMs observe, there is little recognition of UN-Habitat's mandate and stated competence among Government, partners and the UN system, if a well articulated and pretty HCPD is not matched with financial resources of the organization, either as core funds/seed capital, or to fund the preparation of studies in support of (joint) project proposals.

In a number of countries, normative policy statements in HCPDs on questions of housing policy, urban management and governance, decentralization, slum upgrading, and on issues of urban environment (including water and sanitation) have found entry into national sectoral policies of Governments, often with reference to UN-Habitat's global mandate and leadership (e.g. in Burkina Faso, Lebanon, Malawi, Namibia, Palestine, Sri Lanka). In turn, as mentioned by several HPMs, consultations with Government agencies, donors and the UN system are now benefiting from references to already endorsed national policies, also when negotiating for joint programme initiatives for operational projects and mobilisation of funding. In a few countries, national shelter policies are currently being revised, taking into account UN-Habitat's policy issues on pro-poor land and housing.

A few HPMs point out that, while national policies incorporate issues under the focus areas outlined in the HCPDs, the national policies have been formulated on the basis of own assessments of Government and civil society, and without involvement or reference to UN-Habitat or the HCPDs. It should be noted in this context that HCPDs became available only recently in most countries (in several countries still not in a printed or published form) so that national urban policies could only benefit from the Habitat Agenda and from experiences with past operational projects.

Most HPMs report on new issues or priorities which should be considered when embarking on the process of preparing the next version of HCPDs. Among them, two are prominently mentioned: (a) human settlements response to climate change, and (b) disaster mitigation and post conflict/disaster recovery and reconstruction.

The implementation of the international Guidelines on decentralisation and access to basic services must also be considered among key priority areas to be addressed during Phase II of HCPDs. With regard to the desired guidance provided by HCPDs in assisting the HPMs, Regional Offices and HQ in setting up country project portfolios, most HPMs consider the current HCPDs useful, as they present a focused and goal-oriented strategy in consultations with governments and its partners, as well as with potential donors and the UN system. A few HPMs reported on new joint programme initiatives with Government, UNDP and other agencies for operational projects in which the comparative advantage of UN-Habitat on shelter, waste management and sanitation, as presented in the HCPDs, led to project approvals.

All HCPDs include lists of projects and country programmes under the headings "Recent and Ongoing Work" and "Programme Framework", including project proposals in various stages of consultation or funding approvals. Most of these projects contain normative as well as operational elements to the extent that one may conclude that many of these projects apply the normative issues of UN-Habitat through operational activities.

By doing so, most projects have the potential to demonstrate desired synergy, leading to efficiency gains and integration of the range of tools available to the organization. In fact, such processes of intended linkages in country level projects lead to mutual reinforcements and real alignment of normative and operational work which to the extent, that the concept of normative/operational integration becomes indivisible.

5.2 Recommendations

The newly available policy papers should form the basic reference for preparing drafts on the UN-Habitat focus areas. It is proposed that narratives on each focus area should start with some paragraphs extracted from the policy papers, particularly on (i) situation, (ii) lessons learned and (iii) key results and strategies. Following that, the chapters on focus areas in the new round of HCPDs should summarize a few salient country-specific points with regard to issues under a focus area, and outline UN-Habitat's proposed strategy in response to current national priorities.

When setting up the broad consultative process on the new round of HCPDs at country levels, two major concerns need to be addressed:

1. the focus areas need to reflect the normative issues of the UN-Habitat mandate; and
2. priorities for the UN-Habitat proposed country strategy have to be based on the national priorities for the sector, as understood by Government and civil society.

In this interactive process, a country-specific balance has to be found so as to not compromise on the notion of country ownership. Such balance requires a flexible response by UN-Habitat's normative mandate to the specific and changing priorities of national development. That way, the new HCPDs should be able to avoid certain features of a "shopping basket" which may be interpreted by Government and civil society as offering a broad menu for selective collaboration with UN-Habitat.

Chapters on "UN-Habitat Proposed Strategy for the Sector" would benefit from listing the type of assistance and expertise the organization has available for identifying projects and preparing proposals to assist Government and its partners in addressing their priorities. Such assistance would extend to offering advisory services on topical issues, expertise in project identification and formulation, data collection, capacity building, advocacy and public relations.

There is considerable scope for closer linkages between operational and normative work that can be derived from feedback on lessons learned from operational projects at country level. Such lessons, however, only become available and can be made visible, if a determined effort is made to analyse the large volume of technical reports from operational projects which tend to be looked at as a project cycle requirement, and then forgotten on the shelves of offices. Brief references to lessons learned from previous projects at country level may be useful to be included in the narratives on focus areas for country strategies. The drafting and preparation of UN-Habitat's flagship reports on the state of human settlements/cities in the regions would also benefit from such feedback on lessons learned from UN-Habitat's country projects.

Special attention would need to be paid to new and emerging human settlements priorities as concerns UN-Habitat's normative mandate, like response to climate change and

reconstruction/recovery in post conflict/disaster situations. Basically, these issues could be treated as additional focus areas in countries which are affected and which expect a response from UN-Habitat (and the UN system). Alternatively, they could be incorporated, on a country-by-country basis, into the already existing focus areas in countries that are affected. In the case of urban development contributing to and affected by climate change, the new Climate Change Strategy 2010 – 2013 of UN-Habitat should be incorporated in the HCPD strategy on focus area 4. Environmentally sound Basic Infrastructure and Services.

It is recommended to consider the allocation of Foundation core funds to countries, including for the implementation of the international Guidelines on decentralisation and access to basic services, so as to match the arguments of the new HCPDs in support of UN-Habitat's policy issues and comparative advantage with seed capital to allow for required studies in situations of joint programming, pilot and initial project phases, short term advisory services on matters where Government or partners in the UN system call for a quick and competent input.

6. Alignment with UNDAF/One UN processes

6.1 Observations and conclusions

On the basis of common country assessments (CCAs) and poverty strategy papers (PSPs), and in consultation with Government policy statements/documents on national priorities, efforts of formulating and monitoring a coordinated response by the UN system in the form of United Nations Development Assistance Framework (UNDAF) are in existence since almost a decade. Under the coordination of the UN Country Representative, UN agencies contribute to this process, given their specific mandate and competence in addressing the UNDAF themes. The dissemination of HCPDs is having a gradual and positive impact on the UNDAF process, as the document has assisted the HPM (and UN-Habitat by extension) to gain recognition from other agencies, as to the specific issues under the Habitat Agenda, as well as the specific expertise and comparative advantage of the organization. More recently, coordination is being enhanced by a more focused formula for coordination, entitled "UN delivering as One" (One UN). It is now a challenge for UN-Habitat to contribute substantively and strategically to this process in several of the pilot countries selected by the UN system for this purpose, like Cape Verde, Mozambique, Rwanda, Tanzania and Vietnam. A separate assessment of UN-Habitat's contribution to this process is foreseen in the course of 2010.

UNDAF country themes usually cover broad development goals in support of poverty reduction, human rights, access to basic services and governance. These central themes vary from country to country more in emphasis than in substance. Issues of urban development and shelter are usually not included, and it is unlikely that this scenario of UNDAF themes will change in future. The main reason for the dominance of the above themes is linked to the overwhelming dominance of UNDP and other major UN agencies like UNICEF in defining the overall direction of UNDAF.

It is a major challenge for the next version of HCPDs, therefore, to define human settlement country strategies in a manner, which directly addresses the key UNDAF themes. The current HCPDs do this only in some cases or on the sideline. The chapters containing lists of current and proposed projects and programmes in support of UN-Habitat's country strategies do not include references to UNDAF outcomes, so that the contribution of UN-Habitat projects in meeting

UNDAF goals and expected outcomes remain sometimes invisible or remain marginal. However, there are other cases where the current UNDAF cycles contain direct references to UN-Habitat strategies as contained in the HCPDs, and where some expected UNDAF outcomes are being attributed to UN-Habitat programmes of projects. Examples where HPMs, with the help of particular projects under the HCPDs, have been able to make such positive contribution to the UNDAF process (even at a time when HCPDs were not yet available in published form) are Burkina Faso, Lebanon, Mozambique, Sri Lanka or Vietnam. In all of these countries, HPMs are fully recognized as members of the UN Country Team, and participate as contributing agency representative in meetings, consultations with Government and new initiatives of UN Country Teams (UNCTs).

However, the picture of UN-Habitat representation and the participation of HPMs at meetings of UN agency representatives through UNCT and other established set ups varies a lot. In a number of countries, the HPM is not recognized as full member of the UNCT, and participates only when invited, usually to a meeting with an agenda item related to urban development, water and sanitation or shelter. The reason given for this selective participation, as stated by these HPMs, is that membership in UNCT is restricted and only open to “resident agencies”, meaning agencies represented by international staff members.

As a result of this situation in a number of countries, the present (and possibly future) versions of HCPDs tend to be accepted as pieces of information at the discretion of UNCTs only, rather than as “official” documents.

As a further point of observation, the UNDAF cycle of 5 years does not align with the HCPD life of only two years. In practically all countries, this discrepancy in programme cycle has been noted by both HPMs and UNCTs, and is seen by UN Resident Coordinators as a drawback in aligning the HCPDs and the proposed UN-Habitat strategies with the UNDAF process. While there are plausible reasons for UN-Habitat to define the period of validity of HCPDs, e.g. a biennial Work Programme (a shorter cycle has more programme focus and requires mainly updates and revisions for the next cycle, rather than complete series of new consultations), options for a closer alignment with UNDAF cycles should be considered. This is particularly valid, if HCPDs shall demonstrate a closer relationship and substantive contribution to the outcomes under UNDAF and One UN.

6.2 Recommendations

The next version of HCPDs should make specific reference to UNDAF themes and expected outcomes, so that expected results of UN-Habitat country strategies can find entry into UNDAF cycles and expected outcomes. These specific references, to be introduced in the chapters on UN-Habitat country strategy, as well as the list of proposed projects, require consultations at UNCT level when preparing the next HCPD. Each UNDAF theme of relevance to UN-Habitat’s mandate and comparative advantage (like poverty reduction, access to basic services, governance) should include the specific role for UN-Habitat as a contributing agency, with a defined outcome under UN-Habitat’s responsibility.

The procedures and processes of UN country teams need to formalize the recognition of UN-Habitat and its competence in addressing UNDAF themes and making specific contributions to their expected outcomes in a number of countries. Unless that is done, the impact of HCPDs, even

of top quality, tends to be very limited in those countries which do not have a large and multi-component human settlements programme.

There is need for a better alignment of UNDAF/One UN planning cycles (5 years) with HCPD programme periods (2 years). The next UNDAF cycles in most countries are 2011-2015, while a few countries have cycles from 2008 – 2012 (e.g. Sri Lanka, Mexico, Pacific Region).

7. The role of HPMs

7.1 Observations and Conclusions

As noted in the chapter on scope and methodology of this report, this evaluation study does not focus on the role and status of Habitat Programme Managers as such, as that has been done in a previous evaluation report. However, a few points are taken up here, as they directly affect the quality, impact and process of the next round of HPMs.

As already observed by the previous evaluation study, most HPMs do an outstanding job in their effort of representing UN-Habitat at the level of their country.. Since the inception of working through HPMs, their multifaceted role has become both more specific in focus, as well as enlarged in scope of tasks and demands. Today, the work of representing UN-Habitat at country level includes functions of advocacy, public relations, coordination of ongoing projects, liaison with and policy advice to Government agencies, focal point on human settlements issues for civil society, representing the organization at UNCT and other UN coordination bodies on policy as well as on substantive matters of agency competence, fund mobilization through joint programming and donor consultation, and organization of events like World Habitat Day. Where UN resident agencies often benefit from having expertise on various aspects of their mandate available at country level, the HPM largely has to rely on his/her own capacity. Where there are shortcomings, they do not only result from inadequate or substandard HPM performance, but they also have to do with question of status viz. other UN agencies, inadequate financial, policy and substantive support from HQ and Regional Offices, apart from matters of qualification.

The question of status of HPMs in representing UN-Habitat as a “non-resident agency” appears to be an issue for other UN agencies more than for the HPMs themselves. All HPMs have the UN staff member status of national professional officer, rather than international professional staff, which is the rule for UN resident agencies. In the general pecking order of the UN civil service, that status is at times associated by other UN agencies with the notion of “junior staff members”, limiting the acceptance of HPMs in the mandate and proceedings of UN Country Teams. On the other hand, it should be noted that HPMs who can benefit from previous senior assignments in the hierarchy of Government and who coordinate large UN-Habitat country programmes with substantive inputs to national development priorities, tend to be fully recognized as competent UN-Habitat representatives by Resident Coordinators, other UN agencies and donors. As already mentioned above, these HPMs are full members of UNCT, UNDAF procedures, UN as One initiatives, donor consultations, and the like, notwithstanding their status as national officers.

It is evident that the performance of HPMs in carrying out their wide range of duties also depends on the level and continuity of policy support, technical advisory service, quality of backstopping, and administrative assistance from HQ and Regional Offices. Most HPMs receive such support

from the substantive Divisions of HQ and from their Regional Offices, either on a regular basis as backstopping or in connection with global programmes, or ad hoc and when requested in cases of upcoming consultations on new initiatives. Similar support on administrative and budgetary issues and requests, by contrast, is at times wanting, as noted by many HPMs, or only forthcoming after reminders.

The above observations on the increased scope of work of HPMs should be qualified in the sense that there are a number of countries in which HCPDs and the work of HPMs are likely to remain limited in portfolio and impact for some time to come. In such situations, a thorough assessment would be needed by HQ and Regional Offices on the potential and commitment of the particular country, and the corresponding requirements for increased financial and substantive support from HQ, if that situation of “low level intensity and impact” shall be significantly improved. In these countries, to be found essentially in Africa and Latin America, UN-Habitat presence can be characterized by (a) small operational portfolios, (b) absence of global programmes, (c) low levels of advocacy work and public relations, (d) exclusion of HPMs from UNCT and other UN coordinating and consultative bodies, and (e) low priority at Government levels on urban issues.

On the other hand, countries in which HCPDs and HPMs have already achieved and can benefit from higher levels of awareness, large operational portfolios, presence of global programmes and recognition at the level of UN and Government, financial and substantive support during the next round of HCPDs may focus more on consolidating and expanding these gains.

7.2 Recommendations

It appears from the above observation that there are merits in UN-Habitat establishing a “two track system” of HPM operations and corresponding HCPDs. One track which manages full-fledged, large scale country and multi-component strategies of a normative and operational nature. The second track with countries in which UN-Habitat’s stated objective of integrating normative and operational activities has (still) a limited impact, and where project portfolios are small. Countries currently qualifying for the “full track”, and with a pilot and demonstration function for other countries in their regions, would include Burkina Faso, Egypt, Mozambique, Lebanon, Nigeria, Sri Lanka and Vietnam.

With regard to the concern that a number of HPMs remain excluded from the deliberations of UN country coordinating bodies, supportive correspondence from HQ to UN Country Representatives, with reference to the MOU with UNDP, may be useful. The matter should also continue to be raised by backstopping missions to the respective countries. However, it appears from positive examples where UN-Habitat is fully represented and recognized at the level of UNCT and other UN coordinating bodies, that factors like policy and specialized competence of UN-Habitat and its HPM on country priority issues like post-disaster recovery and rehabilitation, shelter, or water and sanitation has a positive impact on the HPM becoming a full member of UN country teams.

The package of financial support from HQ to the HPM activities should be reviewed as a matter of urgency. While the current annual allocation of USD 5,000 comes from RTCD general purpose budgets, it is recommended that the sources of financial support be widened to include allocations from global programmes with substantial activities in countries, as well as from funds provided to

UN-Habitat by donor countries in support of the strategy of ENOF under the MTSIP Action Plan. It is further recommended that global programmes with substantial Country activities review the involvement of HPMs jointly with Regional Offices, so as to find a suitable formula of joint financial support from HQ, in light of HPM “vehicle” functions for global programmes. Similar reviews should be carried within RTCD and with substantive divisions in country situations where UN-Habitat has international CTAs working either alongside or separately from HPMs, for the purpose of creating more integrated UN-Habitat country teams.

Corresponding with the recommendation to increase the financial support extended to HPMs, consideration should be given to enlarging HPM teams. As a minimum, most HPMs would benefit from having an administrative assistant. The demands for substantive and competent UN-Habitat contributions to working groups under the UNDAF/UNDAP/UN as One, procedures would call for at least one further substantive national professional staff who would also complement the capacity of the HPM to coordinate and manage the operational and normative country portfolio.

8. Proposals for a new Template

In light of the above comments and recommendations, there is need to generate a new template in order to give direction, a uniform outlook and substance to the preparation of a second round of HCPDs in the participating countries. The new template should be based on a few principles emanating from the recommendations, and on lessons learned from the first generation:

- a. Different from the first round, the new HCPDs should be understood as essential tools (“quick wins”) of the MTSIP Action Plan 2008-2013, for the purpose of “promoting the alignment of normative and operational activities at the country level (ENOF)”; as such, they should be products of UN-Habitat as a whole, rather than of one Division with discretionary inputs from other divisions;
- b. The text requires inputs from and clear references to a number of key documents on normative issues and on global reports which have been produced in recent years and were not available when embarking on the first version of HCPDs, including:
 - the series of policy and strategy papers on the focus areas of UN-Habitat’s MTSIP (by April 2010, only one is available in preliminary version: *focus area 3: access to land and housing*;
 - the *International Guidelines on Decentralisation and Access to Basic Services for all* ;
 - the *Climate change strategy 2010 – 2013*;
 - the most recent version of the *Global Report on Human Settlements*, as well as of the *State of the World Cities Report*, including its regional reports;
- c. The new HCPDs require a uniform structure and layout which, at the same time, must allow for flexibility of priorities and strategies, in order to reflect the specific country issues and concerns, so that the final product is also “owned” by the country authorities concerned;
- d. The new template should focus on making improvements on the already existing one, rather than discarding or disrupting an already accepted general pattern;
- e. The list of ongoing and future projects in a given country should not be limited to operational projects, but include all UN-Habitat supported activities under advocacy and information, data collection, capacity building, global programmes, as well as operational projects.

PROPOSAL FOR NEW TEMPLATE:

Table of contents

THE URBAN CHALLENGE (replacing Situation Analysis)

National Urban Policy Context

- 2 paragraphs outlining the main issues which determine human settlements conditions and trends, focussing on summarizing key parameters,
- 2 paragraphs explaining the institutional responsibilities for the human settlements sector at national and local level.
- Box with basic human settlements data

Responsibilities and sources: national consultations, HPM assessments, regional reports on state of cities, RTCD and regional offices

Focus Area 1: Advocacy, Monitoring and Partnerships

- 2 paragraphs on documented UN-Habitat policies to outline the subject in global terms;
- 3 subchapters with subheadings on national aspects of the focus area, including problem statements and national strategy on:
 - a. advocacy for and public awareness of human settlements issues
 - b. monitoring of trends and data collection analysis
 - c. partnerships with civil society
 - d. other aspects (as identified by HPMs and national consultations)

Responsibilities and sources: policy paper on focus area 1, HPM assessments, Information Division, GUO /LUO, partnership section, relevant global programmes, national consultations, regional offices

Focus Area 2: Participatory Urban Planning, Management and Governance

- 2 paragraphs on documented UN-Habitat policies to introduce the subject in global terms;
- several subchapters with subheadings on national aspects of the focus area, including problem statement and national strategy on:
 - a. urban planning and management
 - b. urban governance and institutions
 - c. decentralization and local authorities
 - d. other aspects as identified by HPM and national consultations

responsibilities and sources: policy paper on focus area 2, Guidelines on Decentralisation, regional reports on state of cities, HPM assessment, RTCD and regional offices, Global Campaign on Urban Governance, Training and Capacity Building Branch, relevant global programmes, national consultations

Focus Area 3: Pro-poor Land and Housing

- 2 paragraphs on documented UN-Habitat policies to introduce the subject in global terms;
- several subchapters with subheadings on national aspects of the focus area, including problem statement and national strategy on:
 - a. land for housing
 - b. informal settlements and slum upgrading
 - c. other aspects as identified by HPM and national consultations, like post disaster/conflict reconstruction and recovery.

Sources and responsibilities: policy paper on focus area 3, Global Land Tool Network, Slum Upgrading Facility, RTCD and regional offices, relevant global programmes, HPM assessment, national consultations

Focus Area 4: Environmentally sound Basic Infrastructure and Services

- 2 paragraphs on documented UN-Habitat policies to introduce the subject in global terms;
- several subchapters with subheadings on national aspects of the focus area, including problem statements and national strategy on components of the focus area, like water and sanitation, access to basic services, urban transport, solid waste management, local agenda 21, effects of climate change on urban areas, post disaster reconstruction. Given the wide scope of this focus area, the setting of priorities depends largely on the result of national consultations.

Sources and responsibilities: policy paper on focus area 4, Guidelines on Access to Basic Services for All, Water and Sanitation Branch, UN-Habitat publications and strategy papers on water and sanitation, solid waste management, climate change, urban transport and sustainable cities/local agenda 21, relevant global programmes, RTCD and regional offices, HPM assessments, national consultations

Focus Area 5: Strengthened Human Settlements Finance Systems

- 2 paragraphs on UN-Habitat policy for this focus area to introduce the subject in global terms;
- 2-3 paragraphs on key national issues of housing and urban finance, including problem statements and strategy for the sector; focus and priorities depend largely on results of national consultations

Sources and responsibilities: policy paper on the focus area, relevant documents produced by ERSO and SUF, Human Settlements Finance Division, RTCD and regional offices, HPM assessments, national consultations

STRATEGY FOR 2011-2012 (UNDAF Period)

National Development Goals and priorities

- several paragraphs outlining Government's long-term development policy agenda as stated in national development plans; this part is mainly a summary of national/Government priorities on overall development issues under cooperation with the UN system, like poverty reduction and employment generation, promotion of human rights and democracy, access to basic services, governance and decentralization; reference to relevant UNDAF/One UN and MDG priorities and expected outcomes

Sources and responsibilities: national policy documents on human settlements, UNDAF/One UN documents; HPM assessments,

UN-Habitat's proposed Strategy for the Sector

Urban Sector priorities

Several paragraphs outlining:

- the relevance of human settlements activities for meeting overall national development goals, particularly for priorities of poverty reduction, access to basic services governance and role of local authorities;
- the specific contributions of human settlements activities to meeting UNDAF goals and expected outcomes;
- national priorities for the human settlements sector, with reference to national issues outlined under the above chapters on focus areas;

Programme objectives

Several paragraphs outlining:

- mandate/legislative authority/specific Government request to UN- Habitat for support to human settlements development issues;

Sources and responsibilities: review of current HCPD, relevant government documents on h.s. policies, interdivisional task force on HCPDs, RTCD, regional offices, HPM assessment, national consultations

Urban Sector Capacity Development Needs

The chart presenting the main capacity development needs of national and local government in support of addressing the urban sector priorities should be reviewed in light of changing sector priorities;

The chart layout should keep the current standard for sake of continuity.

Implementation Arrangements

Several paragraphs on

- overall strategy of UN-Habitat in addressing the urban sector priorities and national development goals in the country;
- strategic partnerships with national and local partners in Government, civil society and private sector to outline catalytic role and potential of UN-Habitat interventions;

- potential for joint programming of new (operational) projects, and for catalytic capacities to upscale interventions;
- reference to specific management tools and sources of knowledge available in UN-Habitat to be mobilized/applied in support of implementing the strategy;

Sources and main responsibilities: drafting by HPM, UNOF Task Force and regional offices, national consultations

Table on Recent and On-going work

- i. UN-Habitat
- ii. Partners

Both tables would largely remain in terms of structure and layout, but would require updating.

Programme Framework

The table on (new) UN-Habitat supported country activities under advocacy and information activities, data collection and monitoring, capacity building global programmes and operational projects should be structured along the listed urban sector priorities under the above chapter on UN-Habitat's proposed strategy for the sector. Next to the title of (new/future) project activities, references should be made to relevant UN-Habitat focus areas, as well as to expected UNDAF/One UN outcomes.

There should be 4 columns on objectives, key indicators, main partners (incl. funding partners), and (expected) resources for the biennium, with an indication of already secured funds and still unsecured funds.

Sources and responsibilities: UN-Habitat ENOF Task Force on HCPDs, RTCD, Regional Offices, HPMs

The Process of preparing the second version of HCPDs

When preparing the second version of HCPDs, a number of lessons learned will determine not only the substance of a new template, but equally condition and shape the process of preparation, which is likely to be complex and time-consuming. Especially so as the new version of HCPDs shall live up to the challenge of being comprehensive documents on the full scale of UN-Habitat country activities, involving all Divisions in preparation, as well as regional offices, country authorities at national and local level, as well as partners in civil society. In policy terms, the HCPD process will become an essential part of ENOF, demonstrating the required alignment of normative and operational activities at operating countries.

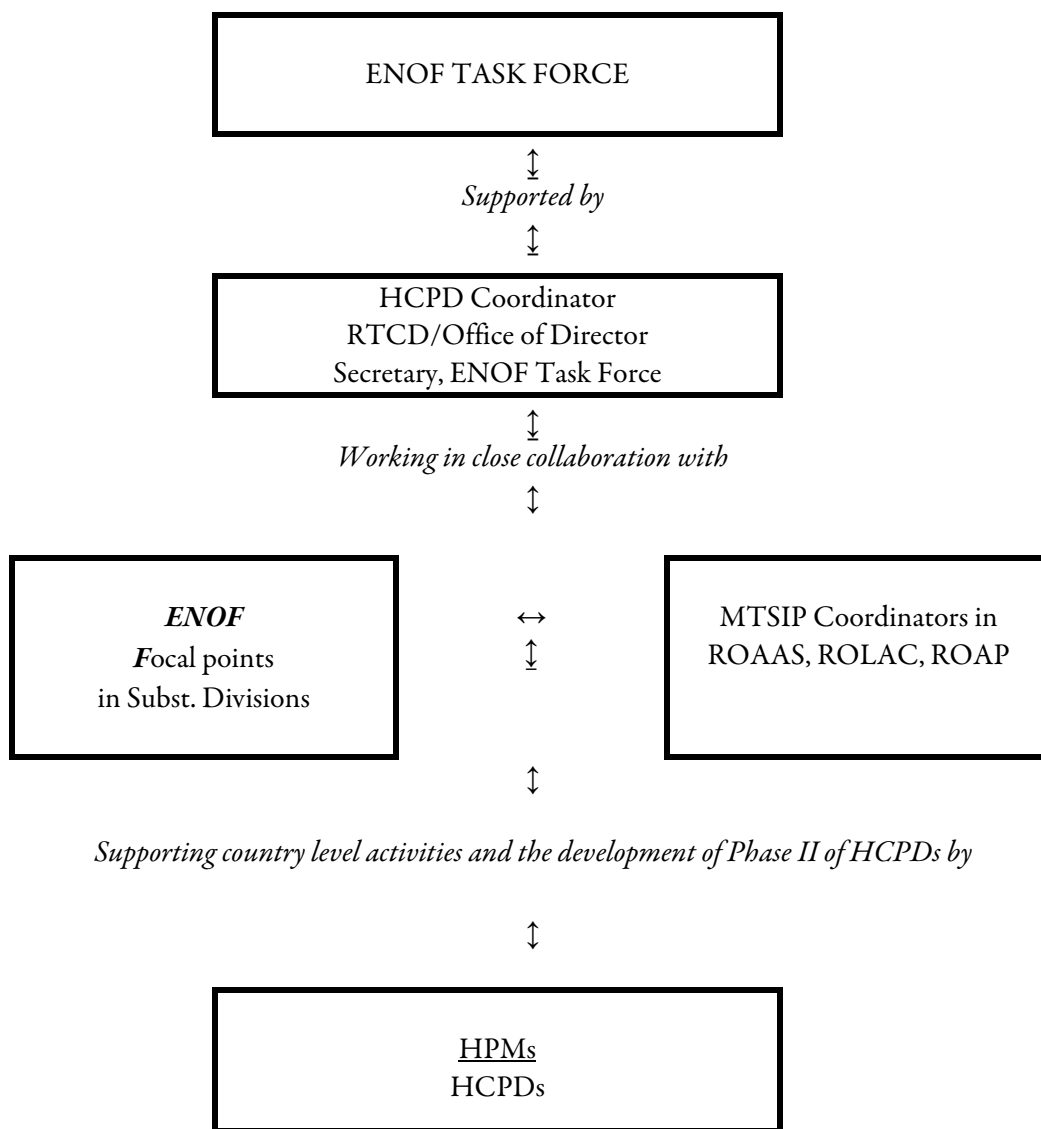
While this principle appears plausible, its application requires a clear set of responsibilities of the different actors involved in this process, plus a coordination mechanism both at the level of UN-Habitat HQ and at the country level.

As a first step, a draft HCPD shall be prepared by the HPM, in collaboration with Regional Offices and HCPD focal points to be nominated in each Division at HQ level, so as to allow for draft inputs from every stakeholder of the MTSIP Action Plan and ENOF process.

In order to get this process moving, it is recommended to build upon the already existing interdivisional ENOF Task Force. With an HCPD coordinator and ENOF TF secretary, the ENOF Task Force requires HCPD/ENOF focal points in each regional office (MTSIP focal points already under deployment), nomination of HCPD/ENOF focal points in every Division, as well as the participation of all HPMs with instructions to prepare first drafts.

The first drafts shall be initiated by the HPMs who are already familiar with the process and on the basis of the proposed template, supervised and coordinated by RTCD and its regional offices. In preparing the first draft, it may be useful for HPMs to organize an informal workshop with UN-Habitat partners at national level, as well as representatives of local authorities and civil society organizations (as appropriate), for the purpose of country consultations at an early stage. Before submitting the first draft to HQ, the HPM shall also consult with the UNCT to align priorities and strategy with the UNDAF/One UN process.

The first draft should be introduced to the ENOF Task Force to generate contributions from all Divisions, so as to ensure the inclusion (as required) of global programmes, advocacy and information activities, capacity building, GUO, as well the cross-cutting issues and concerns of gender, youth and other groups. Further, the ENOF Task Force shall see to it that the draft version is compliant and aligned with the relevant provisions and policy statements under the MTSIP, its policy papers and other relevant documents on the normative functions of UN-Habitat.



Following the deliberations of the ENOF Task Force, the draft HCPD shall be sent back to the HPM who, jointly with the resp. Regional Office and Government focal points, should organize a national workshop on UN-Habitat's proposed new country programme. With the participation of relevant government authorities at national and local level, partner organizations of civil society, UN coordination and selected donor representatives, such national workshop/consultation should help to finalize the document and seek country ownership, before it can be officially launched. Ideally, the whole process should be completed in six months time and repeated every two years, so as to establish two-year rolling programme planning cycles.